Executive

Thursday 5 April 2018

A meeting of the Executive will be held at the Town Hall, Royal Leamington Spa on Thursday 5 April 2018 at 6.00pm.

Membership:

Councillor A Mobbs (Chairman)

Councillor N Butler	Councillor A Rhead
Councillor M Coker	Councillor A Thompson
Councillor M-A Grainger	Councillor P Whiting
Councillor P Phillips	

Also attending (but not members of the Executive):

Chair of the Finance & Audit Scrutiny Committee	Councillor Barrott
Chair of the Overview & Scrutiny Committee and Whitnash	Councillor Mrs Falp
Residents' Association (Independent) Group Observer	
Labour Group Observer	Councillor Quinney
Liberal Democrat Group Observer	Councillor Boad

Emergency Procedure

At the commencement of the meeting, the Chairman will announce the emergency procedure for the Town Hall.

Agenda

1. **Declarations of Interest**

    Members to declare the existence and nature of interests in items on the agenda in accordance with the adopted Code of Conduct.

    Declarations should be entered on the form to be circulated with the attendance sheet and declared during this item. However, the existence and nature of any interest that subsequently becomes apparent during the course of the meeting must be disclosed immediately. If the interest is not registered, Members must notify the Monitoring Officer of the interest within 28 days.

    Members are also reminded of the need to declare predetermination on any matter. If Members are unsure about whether or not they have an interest, or about its nature, they are strongly advised to seek advice from officers prior to the meeting.

2. **Minutes**

    To confirm the minutes of the meetings held on 7 February & 7 March 2018
    (To follow)

13. **Royal Naval Club, Adelaide Road, Royal Leamington Spa**

   To consider a report from the Chief Executive   **(Pages 1 to 7)**

14. **Significant Business Risk Register**

   To consider a report from the Leader   **(Pages 1 to 24)**

15. **Public and Press**

   To consider resolving that under Section 100A of the Local Government Act 1972 that the public and press be excluded from the meeting for the following item by reason of the likely disclosure of exempt information within the paragraphs of Schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006, as set out below.

Item Nos.	Para Nos.	Reason
16	1	Information relating to an Individual
16	2	Information which is likely to reveal the identity of an individual
16, 17 & 18	3	Information relating to the financial or business affairs of any particular person (including the authority holding that information)

16. **Exchequer and Benefits Redesign**

   To consider a report from Finance   **(Pages 1 to 4)**
   (Not for publication)

17. **Europa Way**

   To consider a report from the Chief Executive
   (Pages 1 to 14, plus appendices 1 to 3 and Plans 1 to 4))
   (Not for publication)

18. **Minutes**

   To confirm the confidential minutes of the meetings held on 7 February & 7 March 2018   **(To follow)**
   (Not for publication)

   Agenda published 26 March 2018

The agenda is also available in large print, on request, prior to the meeting by calling 01926 456114.

	Executive **5 April 2018**	**Agenda Item No. 3**

Title	Information Governance Framework
For further information about this report please contact	Graham Leach Democratic Services Manager & Deputy Monitoring Officer 01926 456114 graham.leach@warwickdc.gov.uk
Wards of the District directly affected	None
Is the report private and confidential and not for publication by virtue of a paragraph of schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006?	No
Date and meeting when issue was last considered and relevant minute number	N/A
Background Papers	General Data Protection Regulation, Data Protection Act 1998 and Data Protection Bill.

Contrary to the policy framework:	No
Contrary to the budgetary framework:	No
Key Decision?	No
Included within the Forward Plan? (If yes include reference number)	No
Equality Impact Assessment Undertaken	No

Officer/Councillor Approval		
Officer Approval	**Date**	**Name**
Chief Executive/Deputy Chief Executive	15/3/2018	Andrew Jones
Head of Service		
CMT		
Section 151 Officer	15/3/2018	Mike Snow
Monitoring Officer	15/3/2018	Andrew Jones
Finance	14/3/2018	Jenny Clayton
Portfolio Holder(s)	22/3/2018	Andrew Mobbs
Consultation & Community Engagement		
All Heads of Service – 15/3/2018		

Final Decision?	Yes
Suggested next steps (if not final decision please set out below)	

1. **Summary**

1.1   The report brings forward proposal for a new Information Governance Framework for Warwick District Council, revised relevant policies and a proposed action plan for the year ahead.

2. **Recommendation**

2.1   That the Executive approves the Warwick District Council, Information Governance Framework (Appendix 1).

2.2   That the Executive approves the following policies, as set out in the appendices to the report:
(a)   Data Confidentiality & Privacy (Appendix 2)
(b)   Access to Information and Rights (Appendix 3)
(c)   Incident Management (Appendix 4)
(d)   Records Management Policy (Appendix 5)

2.3   That the priorities for Information Governance for the year 2018/19 be; (1) training and awareness of Information Governance with staff and Councillors; (2) Delivering a Data Quality Policy; (3) embedding protective marking of documents; and (4) a review of data retention schedules with Service Areas.

2.4   That the Executive recommends to Council that the scheme of Delegation G(13) be amended to read as follows: Make decisions under the provisions of the DPA 1998, GDPR and DPA 2018.

2.5   That the Executive recommends to Council the Constitution be amended so that it recognises the Council has appointed an Information Governance Manager to act as Data Protection Officer for the Council.

3. **Reasons for the Recommendation**

3.1   From 25 May 2018 the UK will be subject to the General Data Protection Regulation from the EU. These will replace the current Data Protection Act 1998 and will be supplemented (and in due course) replaced by the Data Protection Act 2018. This act will also define the approach by the UK in respect of the requirements of the EU Data Protection Directive, know as the Law Enforcement Directive.

3.2   The Council will be required to abide by the regulations because of its need to handle personal data in order to carry out its functions as a local authority.

3.3   Under the regulations the Council must appoint a Data Protection Officer. The Council has completed this duty via a shared Information Governance Manger with Stratford District Council as part of a two year agreement.

3.4   There was a delay in completing the agreement for the above post and because of the technical knowledge the above post would need and oversite role it provides a large proportion of the work to bring forward the attached framework was delayed until they were in post.

3.5   The proposed Information Governance Framework provides the overall structure for Information Governance within the Council and establishes who will be responsible for the approval of relevant policies and training.

3.6 The Framework and associated policies are based on good practice from other authorities and shared knowledge through partnership but also reflect the requirements placed on the Council by the new regulations.

3.7 The Information Security & Conduct Policy has not been brought to the Executive as this Policy is one that has been considered, and approved, by Employment Committee on 21 March 2018

3.8 The priorities for the forthcoming year in respect of Information Governance. mainly focus on further training for Officers and Councillors but also further developing the sub-policies within the Framework and importantly the Data Quality Strategy. This is to ensure the Council's commitment to have robust information governance practices in place are firmly embedded within the Council.

3.9 The proposed amendments to the scheme of delegation are proposed to reflect the changes in statute and regulation to enable current working practices to continue.

4. **Policy Framework**

4.1 **Fit for the Future (FFF)**

The Council's FFF Strategy is designed to deliver the Vision for the District of making it a Great Place to Live, Work and Visit. To that end amongst other things the FFF Strategy contains several Key projects.

The FFF Strategy has 3 strands – People, Services and Money and each has an external and internal element to it. The table below illustrates the impact of this proposal if any in relation to the Council's FFF Strategy.

FFF Strands		
People	**Services**	**Money**
External		
Health, Homes, Communities	**Green, Clean, Safe**	**Infrastructure, Enterprise, Employment**
Intended outcomes: Improved health for all Housing needs for all met Impressive cultural and sports activities Cohesive and active communities	Intended outcomes: Area has well looked after public spaces All communities have access to decent open space Improved air quality Low levels of crime and ASB	Intended outcomes: Dynamic and diverse local economy Vibrant town centres Improved performance/ productivity of local economy Increased employment and income levels
Impacts of Proposal		
No direct impact	No direct impact	No direct impact
Internal		
Effective Staff	**Maintain or Improve Services**	**Firm Financial Footing over the Longer Term**
Intended outcomes: All staff are properly trained	Intended outcomes: Focusing on our customers' needs	Intended outcomes: Better return/use of our assets

All staff have the appropriate tools All staff are engaged, empowered and supported The right people are in the right job with the right skills and right behaviours	Continuously improve our processes Increase the digital provision of services	Full Cost accounting Continued cost management Maximise income earning opportunities Seek best value for money
Impacts of Proposal		
The framework and polices intend to put in place good governance structure to ensure staff can act in accordance with the law and continue to deliver excellent service.	*The framework and policies provide assurance to our customers that their personal data and information is handled securely and treated with the respect that it deserves.*	*No direct impact.*

4.2 **Supporting Strategies** - The report does not directly relate to any of the supporting strategies.

4.3 **Changes to Existing Policies** – the report does not propose any amendments to Existing Policies

4.4 **Impact Assessments** – An impact assessment has not been undertaken because the report brings forward new policies in line with EU regulations and statutory requirements.

5. Budgetary Framework

5.1 The report does not impact on budget framework for the Council.

5.2 The registration fee with the information commissioner as a data controller for this Council is likely to rise from £500 to £2,900 but this will be met within current budgets for 2018/19

5.3 The cost of the Information Governance Manager has previously been agreed by the Executive for two year contract with Stratford on Avon District Council. This contract is reviewed every two months and a decision on the long term arrangement will be brought back to Executive early 2019.

6. Risks

6.1 The main risk associated with the report is the non adoption of the proposed Framework and Policies because the revisions need to be in place ahead of GDPR coming into force on 25 May and time needs to be allowed to make staff aware of these.

6.2 There Executive will note some gaps within the current Framework which are being developed in detail. It will be noted that a significant

7.   Alternative Option(s) considered

7.1   The Executive could consider approving the Information Governance Framework and policies with suitable amendments but this is not recommended because these have been developed using best practice and experience from other authorities.

Information Governance Management Framework

Version: 1
Date Issue: April 2018
Next Review date: Issue date plus 12 months
Reference: ??
Team Owners: Democratic Services
Protective Marking: Official

Contents

Approvals

V	SMT	

Review

V			

Author: Democratic Services Manager & Deputy Monitoring Officer

Warwick District Council – Information Governance Framework

1.   Introduction

1.1   Information is a vital asset for the provision of services to the public and for the efficient management Council services and resources. As well as protecting confidentiality and ensuring rights to access public and personal information, it plays a key part in governance, service planning and performance management.

1.2   Information governance is concerned with how information is held, obtained, recorded, used and shared by the organisation to achieve compliance with information governance laws and current best practice.

1.3   Information is used here as a collective term to cover terms such as data, documents, records, web content, images and biometric data.

1.4   It is essential that the Council has a robust information governance management framework, to ensure that information is effectively managed with accountability structures, governance processes, documented policies and procedures, staff training and adequate resources.

2.   Senior Roles

2.1   Executive and Portfolio Holder
The Executive is the lead Councillor body responsible for ensuring governance and decision making within Council policies. The Leader as Portfolio Holder for Strategic Leadership has specific service responsibilities and this includes the Democratic Services team, who lead on information management, and IT.

2.2   Chief Executive and Corporate Management Team
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. Together with Deputy Chief Executives they form the council's Corporate Management Team ensuring delivery of an effective council-wide information governance approach.

2.3   Senior Information Risk Owner (SIRO)
The Senior Information Risk Owner (SIRO) is overall responsible for managing information risk in the council and is a member of the Senior Management Team. The SIRO is the Deputy Chief Executive & Monitoring Officer and:
- ensures information governance compliance with legislation and council policies
- provides a focal point for managing information risks and incidents
- prepares an annual information risk assessment for the council.
- fosters a culture for protecting and using information within the council

2.4   Information Asset Owners
Heads of Service are designated Information Asset Owners and are responsible for the management of information risk for their service's information assets. This includes ensuring that their information assets are properly recorded in the Council's information asset register.

3. Key Policies

3.1 The key policies in the framework (shown below) are:
- The Data Protection Policy – aimed at all staff
- Information Rights Policy – aimed at the public
- Information Security & Conduct Policy – aimed at all staff

3.2 These policies are supported by sub-policies, standards and procedures are shown in the framework diagram. Outputs will be produced from use of these standards and templates, for example privacy assessments, awareness guides and training material.

4. Key Governance Body – Senior Management Team

4.1 The Senior Management Team's (SMT), which comprises of the Chief Executive , Deputy Chief Executive's and Heads of Service, will have information governance responsibilities are to:

- Approve and ensure a comprehensive information governance framework, policies, standards, procedures and systems are in place and operating effectively throughout WDC.
- Prepare the annual Information Governance Assessment and update the Information Risk Assessment, including action plans.
- Coordinate Information Governance compliance and improvement activities (DP, FOI/EIR, security, quality, and records management) across WDC.
- Monitor information handling and breaches, implement assurance controls (including regular audits) and take corrective actions
- Ensure training and action plans for information governance are progressed throughout WDC, evaluate the impact and effectiveness of governance training.
- Communicate the information governance agenda

4.2 The Group will meet as part of the regular SMT agenda and for the relevant items the Senior Information Risk Owner, Democratic Services Manager, ICT Services Manager, and Information Governance Manager, or their nominated deputy, will also attend the meeting.

4.3 They will also receive advice and guidance from Internal Audit, Legal Services, and other relevant organisations and officers as they require.

5. Resources

5.1 The Information Governance Manager will provide expert advice and guidance to all staff on all elements of Information Governance. The team is responsible for:
- Providing advice and guidance on information governance to all staff.
- Developing the Information Strategy, Information Governance Framework of policies, standards and procedures and the Information Governance Improvement Plan.
- Working with Information Asset Owners (and their representatives) to establish protocols on how information is to be used and shared.

- Developing Information Governance awareness and training modules for staff.
- Ensuring compliance with Data Protection, Freedom of information, Records Management, Information Security and other information related legislation via the regular information audit and register of processing activity update.
- Providing guidance and advice on Privacy Impact Assessments.
- Coordinating and processing corporate information requests, processing requests on behalf of business units and supporting information coordinators in other business units.
- Integrating Government and Information Commissioner guidance, policies and codes of practice
- Providing support to the Senior Information Risk Owner for internal Information Governance related issues.

5.2 The ICT Management team is the lead for technical security management of the infrastructure and technical security advice, including areas such as: PSN Code of Connection, PCIDSS and device policy.

5.3 The Legal Services team provide expert legal opinion on all information governance matters to all service teams.

5.4 There will be identified roles in the Service Areas whose role includes some aspects of information governance and ensuring compliance. These will vary according to the services provided.

6. Governance Framework Responsibilities

6.1 Service Area Management Teams
They are accountable for the effective management of information risk and information governance compliance, as well as supporting and promoting the policies, standards and procedures. The teams comprise of the Heads of Service and Managers for each service area.

6.2 Heads of Service
Each is an Information Asset Owner who is accountable for information assets within their business unit. They are able to understand how it is held, used and shared and address risks to the information. They are responsible for updating the Register of Processing Activity as required and at least annually.

6.3 Council Managers
Managers are responsible for the implementation and adherence to this policy framework and any associated standards and procedures within their service and teams.

6.4 Other Parties
Disregard for information governance policies by employees may be regarded as misconduct to which the council's Dismissal and Disciplinary Procedure applies and a serious breach of any policy may be treated as gross misconduct and may lead to dismissal.

Disregard by contractors and agents working for the council will be regarded as a contractual breach. Disregard by volunteers and work experience

students working for the council may lead to terminating their work agreement.

7. Training and guidance

7.1 Information Governance training for all staff will be mandatory as part of induction, to include all employees, secondees, agency and voluntary staff. This will be through e-learning modules that are accessible on any device.

7.2 Further modules as appropriate to the role will be available through e-learning or classroom session, developed internally or through recognised providers, for example the NHS.

7.3 All staff will be required periodically to complete update/refresher training.

7.4 Awareness sessions may be given to staff as required, at team meetings or other events.

7.5 Regular reminders on information governance topics are made through corporate and local team briefings, staff news and emails.

7.6 Policies, procedures, standards and advice are available to staff at any time on the Information Governance pages.

8. Information Security Incident Reporting

8.1 The Information security incident reporting procedure is available to all staff, and is available for download. All information security incidents involving digital or manual records whether actual or suspected, should be promptly reported to the ICT Services' Helpdesk via an individual's line or Service Area Manager, or to the Democratic Services Manager and Deputy Monitoring Officer.

9. Monitoring and review

9.1 This policy and the supporting standards will be monitored and assessed annually in line with legislation and codes of best practice and subject to audit review.

9.2 An Equality Impact Assessment/ Analysis on this policy was undertaken on ? and will be reviewed each time the policy is updated, or before if required.

10. Further Information

Democratic Services Manager, Riverside House, Milverton Hill, Royal Leamington Spa, CV32 5HZ
Telephone: 01926 456114

Appendix 1 Information Governance Framework

	IG Management	Confidentiality	Access to Information	Information Security	Records Management	Data Quality
Policies (Executive or Employment Committee approval)	Information Governance Framework	Data Protection Policy	Information Rights Policy	Information Security & Conduct Policy Information Security Incidents and Breaches Policy	Records Management Policy	Data Quality Policy
Sub-Policies (SMT approval)	N/A	Privacy Impact Assessments	Freedom of Information Act Publication Scheme	Information Asset Register Monitoring Policy (Electronic communications) Removable Media Policy Remote Working Policy Email Acceptable Usage Policy	Data Retention Sub-Policy Data retention Schedules	To be confirmed during 2018/19

				Internet Acceptable Usage Policy

Data Handling Policy

Software Policy

Digital Forensics Readiness Policy

GCSx Acceptable Usage policy

Human resources Information Security Policy

Information Risk Classification Schemes

Physical Environmental Security Policy | | |

Warwick District Council – Information Governance Framework

Training and Awareness	There will be a planned approach to training and awareness for each policy. This will be role based, regularly assessed and should equip each person to fulfil their responsibilities. **For example Requests for Information – A Quick Guide**				

Procedures	N/A		Requests for information		
New and Changed Systems	N/A				
Compliance	There will be a timely and effective monitoring, reporting and compliance regime through, ¼ reports SMT and Annual reports through the Service Area Plans and Portfolio Holder statements as well as being a monitored feature within internal and external audits.				

Appendix 2 - External Legislation and Regulation

Data Protection Act 1998
Human Rights Act 1998
Freedom of Information Act 2000
Environmental Information Regulations 2004
Local Government Acts
Copyright, Design and Patents Act 1998
Computer Misuse Act 1990
EU Data Protection Regulation (GDPR) 2016 (applicable from 25 May 2018)
Privacy and Electronic Communications Regulations
CCTV - Code of Practice / Commissioner

Warwick District Council
Data Protection & Privacy Policy

For queries regarding this policy, please contact:

Democratic Services Manager and Deputy Monitoring Officer.

www.warwickdc.gov.uk
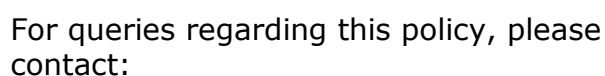
Data Protection and Privacy Policy

Revision History

Document	Data Protection and Privacy Policy
Author	Graham Leach
Date Completed	9 February 2018
Review Date	TBC once approved

Version	Revision Date	Revised By	Revisions Made
1.0	February 2018	Graham Leach	Original Document

Approvals
This document requires the following approvals:

Name	Title
Information Governance Manager	
ICT Manager	
SIRO	
Executive	

Distribution
This document has been distributed to:

Name	Title
All Staff	
All Members	
WDC Website	

Table of Contents

1 Management Summary

1.1. This is a key policy in a set that is underpinned by a number of other related policies, codes of practice and guidelines that form the WDC's Information Governance Framework. The Framework covers the wider requirements for compliance with information law and best practice.

1.2. Data Protection legislation requires Warwick District Council to handle personal information relating to living identifiable individuals in a fair, safe, responsible and secure manner. There are other rules relating to information privacy, such as, the Privacy and Electronic Communications Regulation and the common law of confidentiality. In additional a range of information is defined as exempt from disclosure under the Freedom of Information Act and should also therefore be treated as private and confidential.

1.3. This policy sets out the Council's requirements regarding the appropriate and responsible use of personal and private information.

1.4. Data Protection legislation and the General Data Protection Regulation attempts to strike a balance between the privacy rights of individuals and the legitimate interests of other parties who need to access that personal information for specified purposes.

1.5. The Council deals with individuals' personal information every day, in all sorts of formats, much of which is very private. Much of this personal information is shared with other organisations (mainly contractors and government bodies), mostly in the interests of the individuals concerned but it may also be used for purposes deemed to be in the public interest.

1.6. The Council expects everyone who works on its behalf to recognise their responsibility for treating personal and private information with the care and respect it deserves. The same applies to those bodies with which the Council shares personal information.

1.7. The effect of a data protection breach can be very distressing and damaging to the individual concerned, and can also be damaging for the party responsible for the breach. The law does not create unreasonable barriers to the use of personal or private information, but it does subject individuals and organisations to significant sanctions for unfair, unlawful, disproportionate, or reckless use of private data.

2 Policy Statement

2.1 Warwick District Council regards the lawful and correct treatment of personal information as very important to successful operations and to maintaining the confidence of those with whom we deal. We will always do our utmost to ensure that our organisation treats all information lawfully and correctly.

2.2 To this end we fully endorse the requirements of the General Data Protection Regulation (GDPR) and Data Protection legislation

3 Purpose

3.1 To ensure that all managers and staff apply appropriate measures to comply with the requirements of the GDPR and Data Protection legislation and so meet the Council's statutory requirements and avoid any incidents involving personal information that might cause harm or distress to individuals or cause the Council to incur statutory penalties.

4   Scope

This policy applies to:
- all employees
- all workers who are not employees (e.g. individuals supplied through an agency or other company or partner or subsidiary organisations, contractors, individuals seconded to the Council or otherwise engaged on Council business)
- all volunteers and any individuals on work experience at the Council
- all Councillors.

Any reference in this document to "employee" is deemed to be a reference to any of the above.

Note that the access to information and rights aspects of Data Protection legislation are covered by the Access and Rights Policy.

5   Policy Requirements

There are a number of requirements set out in this Policy under the following headings:-

- The Council's Data Protection and Privacy Commitment
- The Data Protection Principles
- 'Special Data'
- Data Protection Breaches

The Council's has other policies, sub-policies and guidance on the use of personal information, which also form part of the Council's Information Governance Framework.

5.1 Data Protection and Privacy Commitment

The Council has made a Data Protection and Privacy Commitment which explains the approach taken by the Council to comply with the Data Protection legislation, the Human Rights Act 1998, the duty of confidence, other legislation and best practice relating to the use of personal information. Everyone to whom this policy applies is required to meet the Data Protection Commitment.

The Data Protection and Privacy Commitment is as follows:

The Council will seek to meet its obligations in law and in spirit by ensuring that we:-

- **Value the personal information entrusted to us** and make sure we respect that trust. There should be no surprises for the data subject in the way that we process, use or share their personal information. The data subject will be already well informed before we use their data.

- **Go further than just the letter of the law** when it comes to handling personal information, and adopt good practice standards, that ensure transparency and accountability.

- **Address privacy risks first** when we are planning to use or hold personal information in new ways, such as when introducing new systems. We will assess the risks and impacts on data subjects in a Privacy Impact Assessment document when required by data protection law.

- **Inform individuals when information will be shared** and why, and ensure that the organisations that we share information with fully comply with the information law.

- **Give access to data subject's information** when they request it, as well as processing updates and corrections in a timely manner. Please also refer to the Information Access and Rights Policy.

- **Keep personal information to the minimum necessary** and delete it when we no longer need it. The Council's record retention policy and schedule will be publically available and the information retention period for personal data will be stated when the information is collected.

- **Have effective safeguards in place to make sure personal information is kept securely** and does not fall into the wrong hands. The Council has an Information Security and Code of Conduct Policy and range of sub-policies including an information handling policy that deals with protective marking.

- **Provide awareness training to all staff who handle personal information** and treat it as a disciplinary matter if they misuse or don't look after the information properly;

- **Put appropriate financial and human resources into looking after personal information** to make sure we can live up to our promises;

- **Regularly check that we are living up to this commitment** and report on how we are doing.

5.2 The General Data Protection Regulation (GDPR) Principles

All employees must comply with the six GDPR principles and the Council's policies and guidelines that underpin those principles, which state that an individual's personal information shall be:

1. Processed lawfully, fairly and in a transparent manner in relation to individuals;

2. Collected for specified, explicit and legitimate purposes and not further processed in a manner that is incompatible with those purposes;

3. Adequate, relevant and limited to what is necessary in relation to the purposes for which they are processed;

4. Accurate and, where necessary, kept up to date.

5. Kept in a form which permits identification of data subjects for no longer than is necessary for the purposes for which the personal data are processed.

6. Processed in a manner that ensures appropriate security of the personal data, including protection against unauthorised or unlawful processing and against accidental loss, destruction or damage, using appropriate technical or organisational measures.

5.3 Special Data

Data Protection legislation makes it clear that there are some categories of personal information that require extra caution when handling:-

- racial information
- ethnic information,
- health information,
- religious beliefs,
- political views
- sexual life,
- sexual orientation
- trade union membership,
- biometric data
- genetic data)

All those handling personal information must be aware of the extra sensitivity of these categories of personal information and be aware that any data protection breaches involving these will have correspondingly more serious consequences for the data subject and the Council.

5.4 Register of Processing Activity

The General Data Protection Regulation (GDPR) requires the Council to keep a record of all personal datasets that it holds with essential details about collection (legal basis), use, security, sharing, and retention. This register must be kept fully maintained by the services teams collecting and using the personal data.

5.5 Data Protection Breaches

Any incident that could or does lead to loss, disclosure or temporary exposure of personal information must be reported as prescribed by the WDC Information Security Incident Management Policy and Procedure. The Council has procedures for investigating data protection and privacy breaches and all those affected will be expected to co-operate with any such investigation.

Serious data protection breaches will be reported to the Information Commissioner by the Council's Data Protection Officer.

Disregard for the Council's data protection and related policies by employees may be regarded as misconduct to which the council's Dismissal and Disciplinary Procedure applies and a serious breach of any policy may be treated as gross misconduct and may lead to dismissal. In the case of contractors, representatives, workers and volunteers, this may be grounds for termination of that relationship with the council.

Disregard for the Council's data protection and related policies by Councillors will be regarded as a breach of the Code of Conduct and will be considered in line with the adopted arrangements for the determination of complaints about Councillors.

6   Roles & Responsibilities

Every employee and other person to whom this policy applies is responsible for the appropriate use and protection of personal information which is in their possession or use. Everyone is also responsible for familiarising themselves with their obligations under this policy and related ones, for ensuring their own compliance and for seeking guidance where they need it.

6.1 The Executive
The Council's Executive are responsible for ensuring that sufficient resources are made available to support the Council and its employees in meeting the obligations under this policy.

6.2 Chief Executive and Deputy Chief Executives
The Chief Executive and Deputy Chief Executives are responsible for ensuring a co-ordinated response from the Council and its employees to this policy and for keeping under review the Council's approach to personal information, data protection and privacy.

6.3 Data Protection Officer
The Council has appointed an Information Governance Manager who will act as Data Protection Officer for the Council. They are responsible for reporting on Data Protection compliance, advising on Privacy Impact Assessments for new systems and liaison with the Information Commissioner over data breaches, data protection notifications and other issues as appropriate.

6.4 Heads of Service
Heads of Service are responsible for the information assets under their control including personal information.
- This includes identification, access, security, and privacy of personal information and updating their information asset details in the Register of Processing Activity (ROPA).
- They are responsible for making sure employees who access or handle personal information are suitably trained in data protection and privacy in order to understand their obligations under this policy.
- They will incorporate an assessment of data protection and privacy risk into their risk management arrangements as designated Information Asset Owners.
- Any new or amended systems for processing personal data must be screened for the possible need to produce a full Privacy Impact Assessment (PIA) as specified by the GDPR Privacy by Design requirement.

6.5 Managers
Managers are responsible for controls that ensure compliance with this policy. This will include:
- The induction of new staff,
- The implementation of compliant new procedures and systems
- Providing appropriate communications and awareness-raising of the policy requirements (both among employees and contractors with whom the deal)

7   Review & Revision

7.1   This policy will be reviewed as it is deemed appropriate, but no less frequently than every 12 months.
7.2   Policy review will be undertaken by the Council's Data Protection Officer.

8 References

8.1 The following Warwick District Council documents are relevant to this policy:
- Information Governance Framework
- Information Access and Rights Policy
- Information Security and Code of Conduct Policy
- Records Management Policy
- Information Security Incident Management Policy

9 Key Messages

9.1 The following are key messages from this Policy:

- All employees must comply with the Council's Data Protection and Privacy Commitment, the six Data Protection Principles and the all underpinning Council policies and guidelines.
- Special care must be taken when handling 'special' personal information.
- Any incident that could, or does lead to loss, disclosure or temporary exposure of personal information must be reported.

Warwick District Council
Information Access and Rights Policy

For queries regarding this policy, please contact:
Democratic Services Manager and Deputy
Monitoring Officer.

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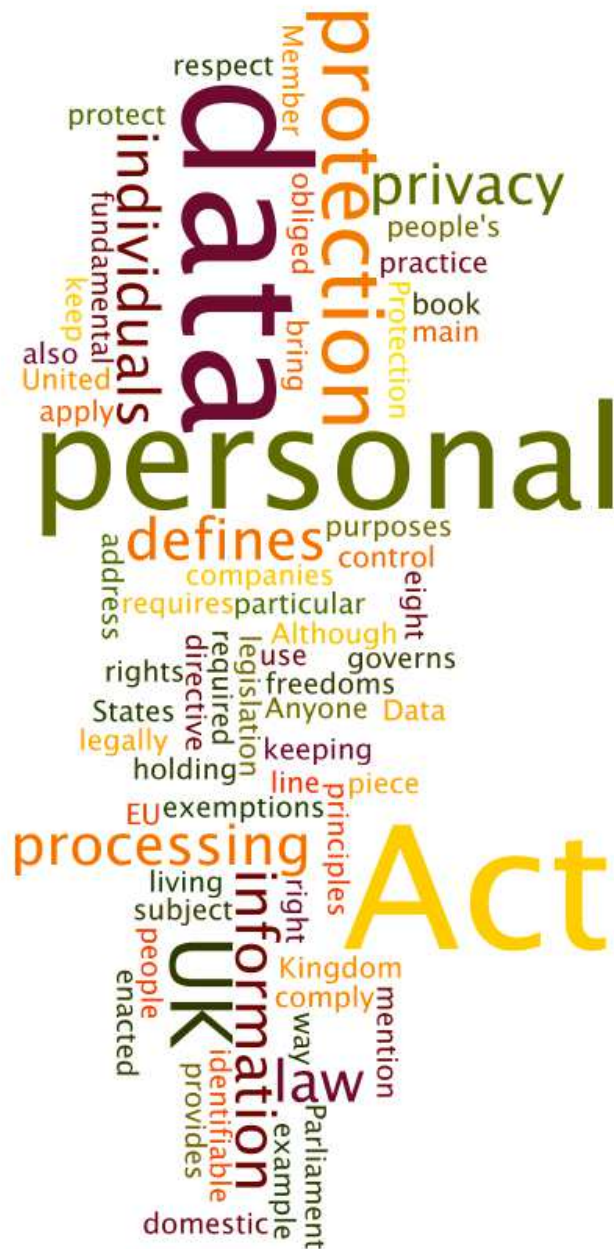
Information Access and Rights Policy

Revision History

Document	Information Access and Rights
Author	Anna Moore
Date Completed	
Review Date	TBC once approved

Version	Revision Date	Revised By	Revisions Made
1.0	February 2018	Anna Moore	Original Document

Approvals
This document requires the following approvals:

Name	Title
Information Governance Manager	
ICT Manager	
SIRO	
Executive	

Distribution
This document has been distributed to:

Name	Title
All Staff	
All Members	
WDC Website	

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1   Management Summary

This document sets out the Council's policy in relation to both access to information and the exercise of information rights, including compliance with information law, primarily Freedom of Information and Data Protection legislation and the associated best practice.

This policy aligns with other policies in the Information Governance Framework, these are:-
- the Data Protection and Privacy Policy,
- the Information Security and Conduct Policy; and,
- the Records Management and Retention Policy.

There is also more detail guidance in sub-policies and procedures also falling within the scope of the Information Governance Framework.

This policy is to ensure that the Council gets the balance right between:-
- Being transparent and proactive by making information accessible whenever it can be and by disclosing and sharing information when necessary.
- Being helpful in ensuring people can exercise their information rights.
- Protecting information that needs to be retained, secure and confidential.

The issues covered are:-
- Privacy Notices
- Data Subject Consent
- Freedom of Information requests.
- Data Protection Subject Access) request handling.
- Protectively marked documents
- Self-service information
- Fraud and phishing.
- Other information rights

2   Policy Statement

Warwick District Council recognises that information rights are important in ensuring that the Council operates in a transparent and accountable way, but that they give the power to the individual to control the use of their personal information. This policy set outs the Council's requirements in order to meet its legal obligations.

3   Purpose

The purpose of this policy is to ensure that:-
- Council's approach to access to information complies with legal, transparency and established best practice requirements.
- Services are aware of the broader information rights defined under data protection law and able to handle correctly and promptly with any request received.

More specifically to ensure that:-

1. When we collect or receive peoples' information they are provided with the details of how we use that information that we are required to give by law.
2. When we ask for a person's consent to collect and use their information, we do so according to data protection legal requirements.

3. Guidance is available to persons wanting to access either the Council's information or the information that we hold about them personally.
4. Requests for information are correctly identified. Not all will require a formal Freedom of Information response if they can be dealt with more quickly.
5. Requests for access to personal data are generally treated formally and include the necessary safeguards to prevent inappropriate disclosure.
6. Protectively marked are handled correctly under Freedom of Information. Data Protection and confidentiality law.
7. A self-service approach is actively encouraged where public information that is regularly requested can be made available on the WDC website using search facilities or by reference to the Publication Scheme.
8. Employees do not fall victim to phishing techniques or others involving fraud that are aimed at illegally obtaining access to confidential or personal information.
   Where a requestor is invoking rights other that access to information, e.g. data rectification or erasure, services must ensure that these can be dealt with on a timely basis.

4   Scope

This policy applies to:
- all employees
- all workers who are not employees (e.g. individuals supplied through an agency or other company or partner or subsidiary organisations, contractors, individuals seconded to the Council or otherwise engaged on Council business)
- all volunteers and any individuals on work experience at the Council
- all Councillors.

Any reference in this document to "employee" is deemed to be a reference to any of the above.

5   Policy Requirements

5.1 Privacy Notices
When we collect or receive peoples' personal information they must be provided with the details of how we will use that information. The data protection legislation requires that the Council gives the detail shown in Appendix. The provision of this range of information is very important as the data subject needs it to exercise their rights. The Information Commission has set out very specific guidance on how this can be provided without information overload. This information must be provided for all existing and new uses of personal information.

5.2 Consent
Where consent is required to obtain personal information, because there is no other legal basis for collecting it, consent must be positively and unambiguously affirmed. No reliance can be placed on consent obtained by default, implied consent or inferred consent, and a record must be held of the consent. In addition it is no longer permissible to use consent as a legal basis for holding and using information where, for example, the information is necessary to perform a statutory function or any situation where the data subject has no effective choice. This approach must be taken to all existing and new uses of personal information involving consent.

5.3 Access to Information – Guidance

Guidance must be available to persons wanting to access either the Council's information or the personal information that we hold about them. This will be on the Council's website with links to and from the Council's top level Privacy Notice and to the Publication Scheme

5.4 Freedom of Information Requests

Requests for information under Freedom of Information Act (FOIA) or Environmental Information Regulations (EIR) must be correctly identified. The request does not have to name the Act or Regulation specifically and conversely the requestor may name the FOIA or EIR mistakenly when the request is for personal data. Deal with requests for publically available information as routine requests unless the information is more difficult to locate, complex in nature, or subject to possible restrictions. A self-service approach is encouraged for FOIA/EIR requests where public information that is regularly requested can be made available on the WDC website using search facilities or by reference to the WDC Publication Scheme.

5.6 Subject Access Requests / Data Protection

Requests for access to personal data will be treated formally and include the necessary safeguards to prevent inappropriate disclosure.

Everyone must however be aware that there are situations where personal information is disclosable:-

- For the prevention, detection and prosecution of crime
- Where there is a risk of significant harm to an individual.

There is more detailed information on dealing with these situations in the Confidentiality and Privacy Policy and the Guide to Information Requests (see 5.8 also Fraud and Phishing.

5.7 Protective Marking

Protectively marked records and information must be handled correctly under Freedom of Information, Data Protection and confidentiality laws. Be aware that the protective marking is a broad indication of the content and handling required. A more detailed examination of the document content may be required for FOI and DPA request purposes. There is more specific guidance on Protective Marking in the Information Handling Sub Policy

5.8 Fraud and Phishing

Not all requests for personal or confidential information will be genuine. Employees must be alert to the possibility that the person requesting the information may not be genuine. Fraudsters and phishers can be very credible. Anyone routinely applying for information in an official capacity must follow an established sharing protocol. There must be a sharing protocol in place for any routine sharing of personal or confidential information. For ad hoc confidential information sharing identity and authorisation checks must be carried out.

5.9 Personal Information Breaches

Information security issues are covered in the Information Security and Conduct Policy and breaches by the Incident Management Policy. Where an incident is likely to result in a high risk to the 'rights and freedoms' of a person the Data Controller shall notify the data subject without undue delay unless action has already been taken to address those potential concerns. This is partly to ensure that affected individuals can take timely action where this is needed.

5.10 Other Rights - Rectification, Erasure, Restriction

A requestor may invoke other rights e.g. data rectification or erasure etc. Services must ensure that these can be dealt with on a timely basis. The Appendix shows the other rights now available to data subjects. The Council is required to act on any such request without undue delay. Services must make sure that their information systems whether manual, network and email folder based, Electronic Records Management or Business Application enable the Council to fulfil those requests fully and reliably where they are found to be correctly invoked.

6 Roles & Responsibilities

6.1 The Council's Executive

The Council's Executive are responsible for ensuring that sufficient resources are made available to support the Council and its employees in meeting the obligations under this policy.

6.2 Chief Executive and Deputy Chief Executives

The Chief Executive and Deputy chief Executives are responsible for ensuring a co-ordinated response from the Council and its employees to this policy and for keeping under review the Council's approach to information access and data rights.

6.3 Data Protection Officer

The Council has appointed an Information Governance Manager who will act as Data Protection Officer for the Council. They are responsible for reporting on Data Protection compliance, advising on Privacy Impact Assessments for new systems and liaison with the Information Commissioner over data breaches, data protection notifications and other issues as appropriate.

6.4 Heads of Service

Heads of Service are accountable, as Information Asset owners, for ensuring that all information risks relating to their information assets or service areas are properly assessed and action is taken where necessary to reduce the Council's information risk exposure.

6.5 Managers

Service Managers are responsible for ensuring that their service areas comply with this Policy and act to ensure that compliance is maintain, including for new or changed services or business processes.

7 Review & Revision

This policy will be reviewed as it is deemed appropriate, but no less frequently than every 12 months.

Policy review will be undertaken by the Council's Data Protection Officer.

8 References

The following Warwick District Council documents are relevant to this policy:
- Warwick District Council – Information Governance Framework
- Warwick District Council – Data Protection and Privacy Policy

9   Key Messages

- Information rights are important in ensuring that the Council operates in a transparent and accountable way,
- These rights give some powers to the individual to control the use of their personal information.
- The Council must be able to respond to rights requests in an appropriate and timely way.

Privacy Notice Contents

Privacy Notices must to include the following information, but there is flexibility about how this is provided and the Information Commission advocate a tiered approach that provides information at the most appropriate time in the data collection process:

- The identity and the contact detail of the data controller.

- The contact details of the data protection officer.

- The purposes of the processing for which the personal data are intended as well as the legal basis for the processing.

- The right to withdraw consent where data is collected under this legal basis.

- The recipients of the personal data, or categories of recipients.

- Being informed about transfer outside the EEA and the personal data safeguards that would apply.

- The period for which the personal data will be stored, or the criteria used to determine that period.

- The existence of the right to request from the controller access to and rectification or erasure of personal data or restriction of processing concerning the data subject or to object to processing as well as the right to data portability.

- The right to lodge a complaint with the supervisory authority.

- The right to be informed of automated decision making including profiling as well as the significance and consequences for the data subject.

- Details of any further or secondary processing.

For queries regarding this policy, please contact:
Democratic Services Manager and Deputy
Monitoring Officer.

www.warwickdc.gov.uk

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Information Security Incident Management Policy and Procedure

Revision History

Document	Information Security Incident Management Policy and Procedure
Author	Ty Walter
Date Completed	10 August 2009
Review Date	10 April 2015

Version	Revision Date	Revised By	Revisions Made
1.0	31 Dec 2008	Ty Walter	Original Document
1.1	06 Jan 2010	Ty Walter	Appendix 1 – 2.1 Procedure updated to include notifying GovCertUk.
1.2	12 Oct 2011	Ty Walter	Update to include reference to the Council's Digital Forensic Readiness Policy and minor updates to the 'reporting an incident procedure'.
1.3	23 Nov 2012	Ty Walter	Updated to include notifying PSN for any PSN security incidents categorised as 'major' or 'emergency'.
1.4	13 Feb 2015	Graham Leach	Updates to include the role & responsibilities of the Democratic Services Manager and Deputy Monitoring Officer in the process.
1.5	Feb 2018	Graham Leach/ Anna Moore	Updated to reflect new

Approvals
This document requires the following approvals:

Name	Title
Senior Management Team	
Executive	

Distribution
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All Members	

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1   Management Summary

This policy is a constituent part of Warwick District Council's Information Governance Framework which sets out a framework of governance and accountability for information governance across the Council.

Safe use of the Council's information and IT systems is essential to keep it working effectively. All users of Council information have a responsibility to

- Minimise the risk of vital or confidential information being lost or falling into the hands of people who do not have the right to see it
- Protect the security and integrity of IT systems on which vital or confidential information is held and processed
- Report suspected information security incidents promptly so that appropriate action can be taken to minimise harm.

This document provides a framework for information security incident/event handling and response within Warwick District Council. Underpinning the Council's approach is the need to take prompt action in the event of any actual or suspected breaches of information security or confidentiality to avoid the risk of harm to individuals, damage to operational business and severe financial, legal and reputational costs to the organisation. This document outlines the steps to be taken when information security events are discovered and establishes the organisational requirements, including roles and responsibilities for incident processing and protection. Using this document, incident handling and response can be performed in a consistent manner.

It is essential that all information security events within Warwick District Council are reported immediately to the, the ICT Services Helpdesk or the Democratic Services Manager and Deputy Monitoring Officer.

Any member of Warwick District Council staff or contractors, who become aware of an Information Security Breach, or attempted breach of Warwick District Council systems, must report it immediately.

2   Policy Statement

All Warwick District Council staff, contractors and third parties, will report details of any information security incidents or events, actual or suspected, related to the Council's paper or electronic information systems and data.

These information security weaknesses and events must be reported in a timely manner through appropriate channels.

The Council requires commissioned services holding or processing information on its behalf to have in place internal reporting requirements equivalent to this procedure and for any third party breaches to be reported using this procedure.

3   Purpose

The purpose of this policy is to ensure that:

- all staff understand their roles in reporting and managing suspected incidents
- all actual or potential information security incidents are reported centrally to enable the Council to react quickly and effectively to minimise the impact.

The aims of the procedure are as follows:

- timely advice on containment and risk management
- investigate the incident and to determine whether further controls or actions are required
- evaluate lessons learnt and areas for improvement

The investigation should not be part of any disciplinary procedure that may take place subsequently.

4   Scope

This policy applies to:

- all Warwick District Council Councillors, employees (including temporary staff), contractors, sub-contractors and third parties with access to Warwick District Council information and information systems. Any reference in the document to "employee" or "staff" is deemed to include all of these groups of authorised users.
- all information created or received by the Council in any format, whether used in the workplace, stored on portable devices and media, transported from the workplace physically or electronically or accessed remotely

5   Definition

This policy needs to be applied as soon as information systems or data are suspected to be, or are actually affected by an adverse event which is likely to lead to a security incident.

An Information Security incident is defined as any event that has the potential to affect the Confidentiality, Integrity or Availability of Council Information in any format. It may be a

single or series of unwanted or unexpected information security events that have a significant probability of causing harm to individuals, damage to operational business and severe financial, legal and reputational costs to the organisation. Some examples of possible incident categories include, but are not limited to:

- The disclosure of confidential information to unauthorised individuals
- Loss or theft of paper records, data or equipment such as tablets, laptops and smartphones on which data is stored
- Inappropriate access controls allowing unauthorised use of information
- Suspected breach of the IT and communications use policy
- Attempts to gain unauthorised access to computer systems, e, g hacking
- Records altered or deleted without authorisation by the data "owner"
- Virus or other security attack on IT equipment systems or networks
- "Blagging" offence where information is obtained by deception
- Breaches of physical security e.g. forcing of doors or windows into secure room or filing cabinet containing confidential information left unlocked in accessible area
- Leaving IT equipment unattended when logged-in to a user account without locking the screen to stop others accessing information.
- Covert or unauthorised recording of meetings and presentations
- Leaving confidential/personal information visible on desks without taking necessary precautions to protect while left unattended.

Any activities that violate this policy are considered an incident. Security incidents can be either accidental or deliberate.

5.1 Vulnerability

Vulnerability is where there is a known susceptibility within a specific product or service that could cause either a major or minor breach of Warwick District Council's Information Management Systems. Examples include:

- An inherent weakness in a core software module that opens applications to specific and potentially harmful exploits.
- Compromise of key services (e.g. web servers, DNS servers)

6   Applying the Policy

6.1   Roles and Responsibilities

6.1.1 All Users

Users are responsible for following the controls in place to protect the information they use and reporting any actual or potential breach of Information security promptly in line with the incident management procedure

6.1.2 Senior Information Risk Officer

The SIRO has overall responsibility for information as a strategic asset, ensuring that the value to the organisation is understood and recognised and that measures are in place to protect against risk. The Council's SIRO is the Deputy Chief Executive & Monitoring Officer.

6.1.3 Heads of Services and Senior Managers

The above managers are responsible for identifying specific High and Medium risk information within their services and for putting appropriate controls in place to minimise the risk of unauthorised access and the loss of data.

6.1.4 Data Protection Officer

The Council has appointed an Information Governance Manager who will act as Data Protection Officer for the Council. They are responsible for reporting on Data Protection compliance, advising on Privacy Impact Assessments for new systems and liaison with the Information Commissioner over data breaches, data protection notifications and other issues as appropriate.

6.1.5 System Owners

The responsibilities of the System Owner are fully defined in the Council's Information Security and Conduct Policy. In the context of this policy they are primarily responsible for:

- determining who can access the system and the scope of operation available to each permitted user as appropriate to the user's business needs;
- approving remote access connections from third parties, including the system supplier;
- removing users and associated access rights from the system when an employee leaves the organisation or changes job role and no longer requires access to the system;
- ensuring that a risk assessment is carried out on a new or replacement system, prior to going live;
- ensuring that the system is maintained in an effective and controlled manner;
- ensuring that all changes to the software are performed to an agreed change control mechanism;
- ensuring that staff immediately report any violations or misuse of the system to their line manager;
- ensuring that the sharing of information between internal departments, the public, suppliers, contractors and partners is in accordance with Council security policies and the Data Protection Act.

6.1.6 Information Asset Owners

Heads of Service are also designated Information Asset Owners and are responsible for the management of information risk for their service's information assets. This includes ensuring that their information assets are properly recorded in the Council's information asset register.

6.1.7 Deputy Chief Exec and Monitoring Officer (DCEMO)

The Deputy Chief Executive and Monitoring Officer has senior management accountability for information governance.

In the event of an suspected incident involving IT facilities, the DCEMO or his/her nominee is responsible for authorising the monitoring of a user's IT account, including use of computers, email and the internet in cases where this is necessary to investigate allegations of illegal activity or breaches of information security and for reporting such breaches, where relevant, to the relevant legal authorities.

6.1.8 Democratic Services Manager and Deputy Monitoring Officer (DSMMO)

The Democratic Services Manager and Deputy Monitoring Officer has senior management responsibility for the information governance and for providing proactive leadership to instil a

culture of information governance within the Council through clear direction, demonstrated commitment, explicit assignment, and acknowledgment of information governance responsibilities.

6.1.9 ICT Services Manager

The ICT Services Manager is the lead officer responsible for reporting, investigating and taking appropriate action to address breaches of IT systems and network security, and for escalating incidents to the Information Security Officer.

6.1.10 Information Security Officer (ISO)

For the purposes of this policy the Information Security Officer will be the Democratic Services Manager and Deputy Monitoring Officer. The ISO is the lead officer responsible for investigating and taking appropriate action in all cases involving loss, theft or unauthorised disclosure of Council information and for liaising with the other lead officers and Heads of Services in the management of other information security incidents. The Information Security Officer will record and review all information security incidents and make reports, as appropriate, to the ICT Steering Group, recommending further action and any issues and risks to be escalated to the DCEMO and to the Council's Risk Management Group.

6.2 Information Security Incident Handling Procedure

Please refer to Appendix 1 for the Information Security Incident Handling Procedure

6.3 Reporting

All information security incidents whether actual or suspected, should be promptly reported to the ICT Services' Helpdesk and an individual's line or Service Area Manager, or to the Democratic Services Manager and Deputy Monitoring Officer.

Even if an incident is not considered to be serious, it should always be reported as it may be part of a wider issue or trend.

6.4 Reporting of Software Malfunction

Users of information processing services are required to note and report any software that appears not to be functioning correctly (e.g. according to specification). They should report the matter directly to the ICT Services Helpdesk.

If it is suspected that the malfunction is due to a malicious piece of software (e.g. a computer virus) the user should:

- Note the symptoms and any messages appearing on the screen.
- Stop using the computer (isolate it if possible) and inform line management and notify the ICT Services Helpdesk immediately. If any investigations are to be performed on the machine it should be disconnected from the network before being switched back on again.
- Users should be informed that they should not, in any circumstances, attempt to remove the suspected software. All recovery action should only be undertaken by appropriately trained and authorised staff.

6.5 Incident Rating (See Appendix 2)

Incidents involving potential or actual data loss will be rated on a 1-5 scale when logged, but may be reclassified once the initial facts are determined. The description and examples are a guideline, but will be set by the ICT Steering Group.

Incidents at Level 3-5 are classed as a **Major Security Incident**.

A major incident is defined as a loss, potential loss, or breach of confidentiality of any information owned by WDC that is classified at the Confidential (Protect) or Restricted level, that will impact on WDC, an individual, or organisation.

Whilst there is no legal obligation in the Data Protection Act to report losses, the Information Commissioner's Office (ICO) consider serious breaches need reporting to them.

6.6 Information Security Response Team

Although the ICT Steering Group will be responsible for setting out the procedure for dealing with information security incidents in WDC, an Information Security Response Team will be responsible undertaking the investigations and making recommendations for action.

6.7 Standard Procedure for Investigations

For full details of the procedure for incident handling please refer to Appendix 1.

7 Policy Compliance

Any breach of this policy by staff may lead to disciplinary action being taken and, in cases of gross misconduct, termination of employment without notice. Some cases may result in the council informing the police and criminal action may follow. For Members, references in this policy to disciplinary action will be considered under the Arrangements for dealing with complaints about Councillors and this document will be treated as a local protocol for this purpose. Any breach of this policy by suppliers will be subject to appropriate action by the relevant Deputy Chief Executive.

Should the Council be sued due to misuse of Council ICT equipment or the actions of a user which contravene this policy, the Council reserves the right to claim damages from the authorised user concerned.

8 Policy Governance

The following table identifies who within Warwick District Council is Accountable, Responsible, Informed or Consulted with regards to this policy. The following definitions apply:

- **Accountable** – the person who has ultimate accountability and authority for the policy.
- **Responsible** – the person(s) responsible for developing and implementing the policy.
- **Consulted** – the person(s) or groups to be consulted prior to final policy implementation or amendment.
- **Informed** – the person(s) or groups to be informed after policy implementation or amendment.

Accountable	Deputy Chief Executive
Responsible	ICT Services Manager / Democratic Services Manager and Deputy

	Monitoring Officer.
Consulted	SMT, ICT Manager, HR Manager
Informed	All Council personnel, temporary / agency staff, contractors, consultants, suppliers and Members.

9   Review & Revision

This policy will be reviewed as it is deemed appropriate, but no less frequently than every 12 months.

Policy review will be undertaken by the Council's Information Governance Manager.

10   References

The following Warwick District Council documents are relevant to this policy:

- Warwick District Council - Digital Forensics Readiness Policy
- Warwick District Council – Data Handling Policy

11   Key Messages

- All staff should report any incidents or suspected incidents immediately.
- We can maintain your anonymity when reporting an incident if you wish.
- If you are unsure of anything in this policy you should ask for advice from ICT Services.

Appendix 1 – Procedure for Incident Handling

1. Establishing an Information Security Response Team

Depending on the nature of the reported information security incident, the response will be led by either the Democratic Services Manager and Deputy Monitoring Officer (Information Governance) or the ICT Services Manager (ICT System Breach)

In the event of a reported security incident, the response lead officer has the option of establishing an Information Security Response Team. The size and structure of this team will be appropriate to Warwick District Council and compromise key personnel from ICT Services, Human Resources, Property Services (Building Security) and Legal.

In addition to the above, where a major breach has occurred, specialist forensic services may be included within the team and the Police will be notified and/or included within the team if appropriate.

2. Reporting an Incident

2.1 Reporting

All information security incidents whether actual or suspected, should be promptly reported to the ICT Services' Helpdesk via an individual's line or Service Area Manager, or to the Democratic Services Manager and Deputy Monitoring Officer.

2.2 Capture details

Establish the basic facts of the incident with the user/ service manager to give a provisional Incident Rating based on business risks and privacy. Use Appendix 2 (Incident Levels) for assistance.

- What happened
- When did it occur
- Who was involved
- What information assets were compromised/lost/disclosed/put at risk
- What security measures were in place
- What is the impact on individuals' privacy
- What is the impact on WDC, or others, business/services
- What immediate actions have been taken to minimise risk, recover any data loss ain inform individuals/organisations affected

2.3 Record

Create an on-line Security Incident record within the Warwick District Council ICT Services Helpdesk system

2.4 Immediate Actions

The Democratic Services Manager and Deputy Monitoring Officer or the ICT Services Manager will advise on any <u>further</u> actions that are required immediately to prevent further damage and facilitate initial recovery.

- Investigate the incident
  - o Evidence Collection

- o Notify GovCertUK (if appropriate)
- o Notify Police (if appropriate)
- o Immediately Inform the PSN Security Manager of all PSN Security Incidents with a PSN security severity level of 'Major' or 'Emergency'
- Resolution identified
- Resolution implemented (where applicable)
- Report Produced
- Appropriate documentation updated
- Warwick District Council Management advised
- Warwick District Council staff advised (e.g. procedural changes, additional training)
- Legal Activity
  - o Civil
  - o Criminal
  - o Regulatory

In all cases, progress and outputs will be recorded within the security incident record held within the Warwick District Council helpdesk system.

3.   Security Incident Investigation

When a security incident is reported or received by the ICT Services Helpdesk, a decision will be made by either the Democratic Services Manager and Deputy Monitoring Officer or the ICT Services Manager as to whether an investigation into the incident will be carried out and who will be tasked to carry out the investigation. This may also involve establishing an Information Security Response Team where a major incident has occurred.

All investigations will be treated in confidence and disclosure only made when authorised by the Democratic Services Manager and Deputy Monitoring Officer or the ICT Services Manager.

The investigation will identify:

- When, how and who discovered the breach
- What happened
- What were the reasons for the actions that led to the incident
- Who was involved
- What information assets were compromised/lost/disclosed/put at risk
- What security measures were in place
- What is the potential impact on an individuals' privacy
- Who has been notified so far
- What is the potential impact
- Is there media interest and/or complaints
- What remedial actions are already underway
- What areas of improvement, organisational issues or training needs can be identified.
- if any person is culpable and whether disciplinary action is necessary.

If the incident level is major or, as a result of the investigation, the incident has been reclassified as major then the Information Security Response Team will need to consider if the incident should be reported to:

- GovCertUK (if appropriate)
- the Police (if appropriate)

- the ICO
- the PSN Security Manager for all PSN Security Incidents with a PSN security severity level of 'Major' or 'Emergency'

4. Security Investigation Records

For all Warwick District Council investigations, an investigation record must be maintained throughout the conduct of the investigation and the resolution of the breach. All investigations will be classified as Restricted and handled accordingly.

5. Collection of Evidence

5.1 Paper Documents
Any paper information retained as evidence must be kept securely, with a record of the individual who found the document, where the document was found, when it was found and who witnessed the discovery. This information must be recorded in the investigation log. Any original documentation retained, as evidence, must not be tampered with.

5.2 Information Held Electronically
For further information please refer to the Council's Digital Forensics Readiness Policy and ACPO's Good Practice Guide for Computer-Based Electronic Evidence

6. Report and Retention

On completion of every investigation, an investigation report is to be submitted by the investigator to the ICT Steering Group and held centrally in a secure repository and retained for a period of 36 months from the date of report being completed.

7. Learning from Incidents

Once an information security incident has been closed, it is important that the lessons learned from the handling of the information security incident are quickly identified and acted upon. This could include:

- Implementation of additional controls (physical, technical or procedural)
- Raising security awareness
- Changes to the information security incident management process

Information contained within the information security incident database should be analysed on a regular basis in order to:

- Identify trends/patterns
- Identify areas of concern
- Analyse where preventative action could be taken to reduce the likelihood of future incidents.

8. Identification of Security Improvements

During the review process of a security incident, additional controls may need to be implemented by Warwick District Council. The recommendations and related additional controls may not be feasible (financially or operationally) to implement immediately, in which case a Risk Assessment should be conducted and the actions added to the appropriate services Risk Log.

Appendix 2 – Incident Levels

Level	Incident Type	Description	Notifications Internal	Notifications External
1	Minor	No loss, policy/process followed e.g. lost encrypted laptop/iPad		
2	Moderate	No loss or possible minor loss, low risk and impact to individual, but policy/process not followed or previous incidents. **Examples**; email policy breach, laptop not encrypted but only public data stored.		
3	Major	Temporary loss of personal data or council confidential (Protect) data, medium risk potential impact on individuals or organisations. Policy/process followed, data recovered or secured. **Examples**; letter lost, letters/emails sent in error to wrong recipients.		
4	Major	Personal or confidential (Protect) business data breach. Policy process not followed, data recovered. Consider impact and if a 'serious' breach of data under DPA for reporting to ICO. **Examples**; correspondence and assessment lost or sent to wrong recipient, unencrypted device with minor personal data.		
5	Major	Data breach for sensitive personal data or Restricted data for a person, business or a number of people. Data not located or recovered. Consider impact and if a 'serious' breach of data under DPA for reporting to ICO. **Examples**; benefit claim information, including health and financial information lost, significant volumes of customer data lost/released into the public domain, confidential waste lost, health related data sent to wrong address/email, unencrypted device with sensitive personal data. **Further Examples;** Information that could be used to commit identity fraud such as personal bank account and other financial information and national identifiers, such as national insurance numbers and copies of passports and visas Personal information relating to vulnerable adults and children Detailed profiles of individuals; including information about work performance, salaries or personal		

		life that would cause significant damage or distress to that person if disclosed		
		Sensitive negotiations which could adversely affect individuals.		
		Security information that would compromise the safety of individuals if disclosed.		
		Information received in confidence .e.g. legal advice from solicitors, trade secrets and other proprietary information received from contractors, suppliers and partners		
		Information that would substantially prejudice the University or another party's intellectual property rights, commercial interests or competitive edge if it were disclosed		
		Information relating to high profile/high impact strategy or policy development before the outcomes have been decided and announced.		
		Information that would compromise the security of buildings, equipment or assets if disclosed.		

Notifications Key

For PSN purposes a major breach is a Security Incident with a PSN security severity level of 'Major' or 'Emergency';

Emergency	An incident that the service users should be aware of, and may have a significant impact to the service as: they have specific core or widespread use of the vulnerable technology **or** the vulnerable technology is security enforcing for part, or all of the system, service, or infrastructure **and** the exploitation of the vulnerability may be possible either locally and/or remotely the exploitation would likely lead to high / very high impact to the service, users, or PSN infrastructure.
Major	An incident that users should be aware of, and may have a detrimental impact to the service as: they have specific core or widespread use of the vulnerable technology **and** the exploitation of the vulnerability may be possible either locally and/or remotely the exploitation would likely lead to a medium / high impact to the service, users, or PSN infrastructure.

Appendix 1 – IS Incident Handling Procedure

1. Incident Notification

- All information security incidents whether actual or suspected, should be promptly reported to the ICT Services' Helpdesk, or to the Democratic Services Manager and Deputy Monitoring Officer (DSMDM).
- Incident reporting requires the notifying officer to provide key details of the incident including:

    What happened

    When did it occur

    Who was involved

    What information assets were compromised/lost/disclosed/put at risk

    What security measures were in place

    What is the impact on individuals' privacy

    What is the impact on WDC, or others, business/services

    What immediate actions have been taken to minimise risk, recover any data loss and inform individuals/organisations affected

- Once the Incident has been reported it will be logged centrally by the ICT Helpdesk
- **Important:** In the event of a Cyber security Incident, the ICT Services Manager or any ICT staff member may invoke the Major Outbreak Virus Procedure. This procedure is designed to prevent further damage and facilitate initial recovery. This may include:

    Immediate disconnection of the Council's corporate Internet connection

    Disconnection of server network adaptors

2. Incident Assessment

- The severity of an incident will be determined by the incident rating – See Appendix 2
- Upon notification an initial assessment of risk will be undertaken by the DSMDM or ICT Services Manager to determine a provisional incident rating and appropriate notifications will be made as per the applicable rating.
- An incident rating may change once the full facts and impact of risks has been determined and the status of the incident will be kept under review accordingly.

3. Incident Investigation

- Not all incidents will require an in depth investigation to establish the facts and determine what went wrong. This will often depend on the level of detail provided when the incident was reported.
- If any additional information is required then the Incident Lead will contact the notifying officer or any other persons involved in the incident to seek clarification or further information.

- Any incidents rated as medium or high risk may require a full scale investigation by the Incident Lead:

  Breaches of ICT Security: ICT Services Manager

  Breaches of Information Security: Democratic Services Manager and Deputy Monitoring Officer

  Breaches of Physical Security: Building Manager

- At the conclusion of the investigation the Incident Log should be completed and/or updated.- See Appendix 3

4. Incident Review

- The completed Incident Log will be produced within 5-10 days setting out:

  observations and conclusions about any information governance non-compliance issues, risks, adverse consequences or implications

  remedial recommendations to mitigate the risks and impact including preventative measures to address areas for improvement and training needs.

- Any repeat or previous similar incidents will be flagged and may result in additional or escalated action.
- The final Incident Log will be sent to the DSMDM and/or the Deputy Chief Executive and Monitoring Officer to sign off and accept the recommendations by appointing a responsible officer and target dates for implementation.
- It will also be shared with other key staff or specialist teams in accordance with the incident rating.
- This procedure is independent of any disciplinary investigation but the final Incident Log may inform any consequential action taken or considered.

5. Incident Monitoring & Closure

- The responsible officer will be required to update an Incident Log to indicate when recommended action has been implemented by completing the 'actions taken' and 'date action complete' fields.
- If appropriate, the DSMDM and /or the ICT Services Manager shall report to the ICT Steering Group (ICTSG) with any recommendations for changes to corporate policies, procedures and training including lessons learnt
- An incident will only be closed when all recommendations have been completed.

Appendix 3 – Incident Log

Type of Incident	Please Tick
ICT Security	
Information Security	
Physical Security	

Initial Log	
Date and time of Incident	
Who reported the Incident?	
Who was involved in the Incident.? Member, Officer, 3rd Party	
Was personal / sensitive data involved?	
If yes to the above, how many records were involved?	

Summary of the actual or suspected security breach

What immediate actions have been taken to minimise risk, recover any data loss and inform individuals/organisations affected

What information assets were compromised/lost/disclosed/put at risk

What security measures were in place

What is the impact on individuals' privacy

What is the impact on WDC, or others, business/services

What immediate actions have been taken to minimise risk, recover any data loss and inform individuals/organisations affected

- When, how and who discovered the breach
- What happened
- What were the reasons for the actions that led to the incident

- Who was involved
- What information assets were compromised/lost/disclosed/put at risk
- What security measures were in place
- What is the potential impact on an individuals' privacy
- Who has been notified so far
- What is the potential impact
- Is there media interest and/or complaints
- What remedial actions are already underway
- What areas of improvement, organisational issues or training needs can be identified.
- if any person is culpable and whether disciplinary action is necessary.

Appendix 4 – Examples of Incidents and Possible responses

Level	Incident Type	Description	Possible response
1	Minor	No loss, policy/process followed e.g. lost encrypted laptop/iPad	Record note, consider learning opportunities and feedback for staff.
2	Moderate	No loss or possible minor loss, low risk and impact to individual, but policy/process not followed or previous incidents. **Examples**; email policy breach, laptop not encrypted but only public data stored.	Example could be a general email or letter going to the wrong individual. For example notification of public consultation starting. Note the issues and consider future mitigations, remind staff of appropriate procedures that are in place.-
3	Major	Temporary loss of personal data or council confidential (Protect) data, medium risk potential impact on individuals or organisations. Policy/process followed, data recovered or secured. **Examples**; letter lost, letters/emails sent in error to wrong recipients.	Sending the response to a complaint or about personal service to the incorrect recipient but the letter is returned to the Council or it is confirmed email deleted and not

			opened. Remind staff about correct procedure and record to look for patterns of behaviour or breaches. Potential review of how information is despatched to look for ways to remove human error.
4	Major	Personal or confidential (Protect) business data breach. Policy process not followed, data recovered. Consider impact and if a 'serious' breach of data under DPA for reporting to ICO. **Examples**; correspondence and assessment lost or sent to wrong recipient, unencrypted device with minor personal data.	An example could be an email sent to a mailing house, via an unsecure method, with contact details for mailing to be sent to individuals. However email blocked from sending by IT due to content restriction filter. Remind staff of process and no need to inform effected customers. However if released and sent to incorrect address then there would be a need to notify ICO, consider action and notify all customers who's data was released.

5	Major	Data breach for sensitive personal data or Restricted data for a person, business or a number of people. Data not located or recovered. Consider impact and if a 'serious' breach of data under DPA for reporting to ICO.	For example loss of a personal file in a public domain such as housing tenancy file, personnel file complaint file, disciplinary file or subject access request. There would be a need to notify the individual of potential loss once identified, carry out reasonable searches to identify location of material and provide reassurance. LAso notify the ICo expecting a full audit by them of practice and behaviours. Potential actions against staff if not following policy.
		Examples; benefit claim information, including health and financial information lost, significant volumes of customer data lost/released into the public domain, confidential waste lost, health related data sent to wrong address/email, unencrypted device with sensitive personal data.	
		Further Examples;	
		Information that could be used to commit identity fraud such as personal bank account and other financial information and national identifiers, such as national insurance numbers and copies of passports and visas	
		Personal information relating to vulnerable adults and children	
		Detailed profiles of individuals; including information about work performance, salaries or personal life that would cause significant damage or distress to that person if disclosed	
		Sensitive negotiations which could adversely affect individuals.	
		Security information that would compromise the safety of individuals if disclosed.	
		Information received in confidence .e.g. legal advice from solicitors, trade secrets and other proprietary information received from contractors, suppliers and partners	
		Information that would substantially prejudice the University or another party's intellectual property rights, commercial interests or competitive edge if it were disclosed	
		Information relating to high profile/high impact strategy or policy development before the outcomes have been decided and announced.	
		Information that would compromise the security of buildings, equipment or assets if disclosed.	

Warwick District Council
Records Management Policy

Version: 1
Date Issue:
Review date: Issue date plus 12 months
Reference:
Team Owners: Democratic Services
Protective Marking:

For queries regarding this policy,
please contact:
Democratic Services Manager and
Deputy Monitoring Officer.

www.warwickdc.gov.uk

DRAFT Records Management Policy

Revision History

Document	Records Management Policy
Author	Anna Moore
Date Completed	
Last Review Date	

Version	Revision Date	Revised By	Revisions Made
1.0			
1.1			

Approvals
This document requires the following approvals:

Name	Title
Senior Management Team	
Executive	

Distribution
This document has been distributed to:

Name	Title
All Staff	
All Members	

For queries regarding this policy,
please contact:
Democratic Services Manager and
Deputy Monitoring Officer.

WARWICK
DISTRICT
COUNCIL

www.warwickdc.gov.uk

Table of Contents

1   Management Summary

1.1   Information is one of the Council's corporate assets; in the course of carrying out its' various functions, the Council accumulates information from both individuals and external organisations. The Council also generates a wide range of information, which is recorded in documents and collected into records.

1.2   The documents and records are in several different formats, examples of which include, (but are not limited to) communications such as letters, emails and attendance notes; financial information including invoices, statements and reports; legal documents such as contracts and deeds; and information relating to various types of applications, including forms, plans, drawings, photographs and tape recordings.

1.3   This policy sets out the Council's approach to records management that requires active management throughout their life cycle. The key issues covered are:-

- Information Asset Register
- Information Security
- Records Metadata
- Network Drives
- Protective Marking
- Evidential Integrity
- Record Retention Schedule
- Disposal of Records

2   Policy Statement

2.1   Warwick District Council recognises that its documents and records are valuable assets and vital to the delivery of high quality public services. Effective document and records management is also essential in enabling the Council to comply with its legal and regulatory obligations. This policy sets out the Council's requirements.

3   Purpose

The purpose of this policy is:-

3.1   To set out the broad Council's approach to records management.

3.2   To ensure that the value of information assets is recognised and Council activities are adequately documented to meet service needs, accountability and legal requirements.

3.3   To ensure that the integrity and availability of records is maintained to allow well-informed decision making by the Council.

3.4   To ensure that Council records applies best practice standards in the recording of record metadata.

3.5   To ensure that records held outside service business applications, for example on network drives, are logically structured to enable continuing active management until they are archived or deleted / disposed of.

3.5   To ensure that records are handled and shared securely as required by any protective marking.

3.7   To set out the corporate requirement for a record retention framework that will inform decisions on whether a particular document should be retained and for how long.

3.8   To set out record disposal requirements.

3.9   To ensure that evidential integrity is maintained for records.

3.10 To ensure that the Council archives records and documents that are of historical value are saved for the benefit of future generations.

3.11 To clarify the different roles and responsibilities of Council officers in relation to records management.

4   Scope

4.1   This Policy applies to all records and information held by the Council on whatever media and all those involved in the creation and maintenance of Council records.

5   Policy Requirements

5.1 Information Asset Register

All significant information and record systems will be recorded in the Council's Information Asset Register, which will be an extension of the Personal Data Register or Record of Personal Data Processing.

5.2 Information Security

All record and information systems will be subject to controls and procedures detailed in the Council's Information Security Policy and sub policies and procedures. These aim to ensure the Confidentiality, Integrity and Availability of information at all times.

5.3 Records Metadata

Where records are not entered on a specific business application, or an Electronic Document and Records System (EDRMS) the Council's standard record metadata set should be applied whenever possible. This consists of: title, author, date, version no, status (draft or final), protective marking, review date, distribution list.

5.4 Protective Marking

Records with protective marking should always be handled and stored in accordance with the requirements of the marking. The protective marking guidance gives details of handling requirements.

5.5 Network Drives

Where records are not entered on a specific business application system, or an Electronic Document and Records System (EDRMS), records should held in folders in a structure that allows active management in accordance with the record life cycle (see Appendix) including deletion when required by the record retention schedule. Email document links should be used whenever possible in preference to attachments.

5.6 Email folders (including archive)

The email client (Microsoft Outlook) should not be used as a filing system. Emails should either be stored within a specific business application system, or an Electronic Document and Records System (EDRMS). If this is not possible records should held in folders in a structure that allows active management in accordance with the record life cycle (see Appendix) including deletion when required by the record retention schedule. Email document links should be used whenever possible in preference to attachments.

5.7 Evidential Integrity

For some records that might form evidence for court proceedings or investigations it can be important that secure storage with appropriate rights access can be demonstrated as well as a supporting change log or history. The possible need to maintain evidential integrity should be considered when record systems are set up.

5.8 Record Retention Schedule

It must be ensured that records are retained or disposed of according to the Council's Record Retention Schedule. If records contain 'personal data' as defined by Data Protection legislation then an individual has the right to be informed how long data is held for and it cannot be kept longer than necessary for the purpose it was collected for.

5.9 Disposal of Records

Records may only be disposed of in a secure and controlled way that ensures destruction and provides a full information trail. The record disposal guidance provides more details.

5.10 Historical Preservation

Some records may be considered of future historical interest and the County Records Manager should be consulted regarding their possible preservation.

6 Roles and Responsibilities

6.1 Heads of Service will be responsible for ensuring (in accordance with this Policy) that records management arrangements are fit for purpose.

6.2 Heads of Service may delegate the operational aspect of this function to one or more officers within their service area.

6.3 Service Managers must ensure that their teams receive sufficient guidance to ensure that record systems are actively maintained, and to foster an awareness of the full record life cycle.

6.4 ICT is responsible for advising on digital security and use of network drives.

6.5 The Information Governance Manager is responsible for advising on information legislation and records management best practice.

6.6 All employees must comply with the requirements of this Policy.

7 Policy Governance

7.1 The following table identifies who within Warwick District Council is Accountable, Responsible, Informed or Consulted with regards to this policy. The following definitions apply:

Accountable the person who has ultimate accountability and authority for the policy.
Responsible the person(s) responsible for developing and implementing the policy.
Consulted the person(s) or groups to be consulted prior to final policy implementation or amendment.
Informed the person(s) or groups to be informed after policy implementation or amendment.

Accountable	Deputy Chief Executive & Monitoring Officer
Responsible	Democratic Services Manager and Deputy Monitoring Officer.
Consulted	SMT and Executive
Informed	All Council personnel, temporary / agency staff, contractors, consultants, suppliers and Members.

8 Review & Revision

8.1 This policy will be reviewed as it is deemed appropriate, but no less frequently than every 12 months.

8.2 Policy review will be undertaken by the Council's Information Security Officer.

9 References

9.1 The following Warwick District Council documents are relevant to this policy:
- Warwick District Council – Record Retention Sub-Policy
- Warwick District Council – Data Handling Policy

10 Key Message

Through this policy the Council has committed to full life cycle records management.

- It identifies steps that can help prevent information retrieval difficulties, reduce duplication, and enhance confidentiality

- Inactive and disposal phase management should be built into routine business operations to ensure compliance with legislation and prevent it becoming unduly burdensome.

- Information and records should only be retained for the period required by legislation, the period specified in the Record Retention Schedule, or only as long as is necessary for the purpose they were created for.

Appendix – The Records Lifecycle
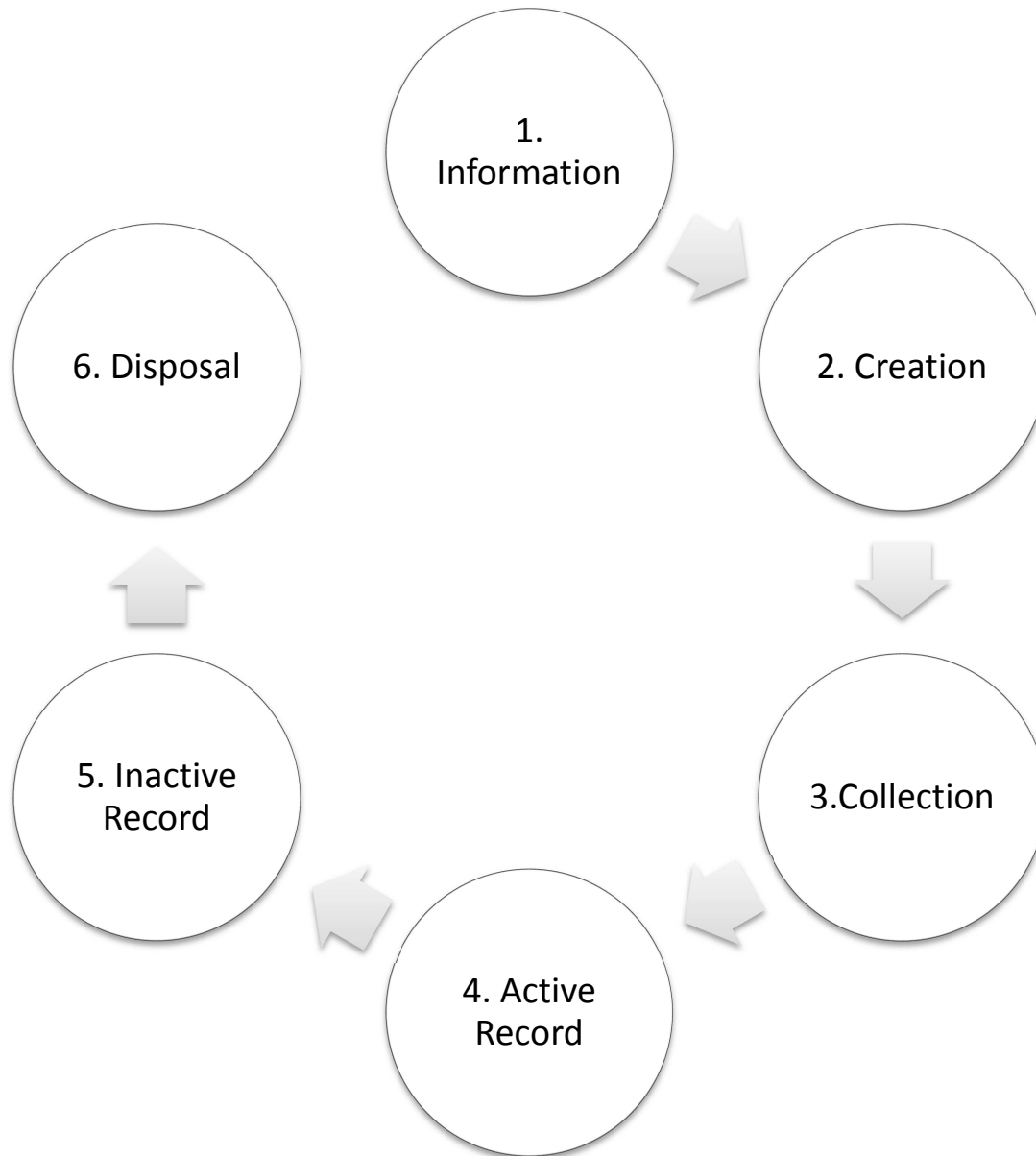
1	**INFORMATION** is received.
2.	**CREATION** Documents, emails, letters etc on the same subject are generated
3	**COLLECTION** The information is collected into a record with a unique identifier . A reference number, a name, a title, or a folder location.
4.	**ACTIVE RECORD** The record is active and added to by amendments, new information, revised documents and collaboration with other teams or agencies. Searchability is key.
5	**INACTIVE RECORD** The purpose that the record was created for is completed and the record is inactive for a specified period.
6	**DISPOSAL** When the retention period is complete the record is deleted or disposed of. It may be preserved if it is considered to be of future historic interest.

	Executive Committee 5th April 2018	Agenda Item No. **4**
Title	Consideration of a Warwick District Council Hackney Carriage Vehicle (HCV) Limitation Policy	
For further information about this report please contact	Lorna Hudson Lonra.hudson@warwickdc.gov.uk 01926 456320	
Wards of the District directly affected	All	
Is the report private and confidential and not for publication by virtue of a paragraph of schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006?	No	
Date and meeting when issue was last considered and relevant minute number	L&R 20 February 2017 minute number:31 L&R 25 September 2017 minute number:5	
Background Papers	I. CTS WDC Hackney Carriage Unmet Demand Survey (April 2017) II. WDC consultation results and discussion paper (August 2017)	

Contrary to the policy framework:	No
Contrary to the budgetary framework:	No
Key Decision?	Yes
Included within the Forward Plan? (If yes include reference number)	Yes Ref:851
Equality Impact Assessment Undertaken	Yes

Officer/Councillor Approval		
Officer Approval	**Date**	**Name**
Chief Executive/Deputy Chief Executive	13/03/2018	Chris Elliot/Andrew Jones
Head of Service	07/03/2018	Marianne Rolfe
CMT	13/03/2018	Andrew Jones
Section 151 Officer	13/03/2018	Mike Snow
Monitoring Officer	20/03/2018	Andrew Jones
Finance	20/03/2018	Mike Snow
Portfolio Holder(s)	20/03/2018	Cllr Andrew Thompson
Consultation & Community Engagement		
WDC carried out a six week consultation with the trade from 15 May-25 June 2017 on the proposed options in the CTS Unmet Demand Survey Final Report (April 2017). The CTS survey also included a public, stakeholder and trade consultation between September 2015 and February 2016.		
Final Decision?	Yes	

1. **Summary**

1.1 Representations were received from the trade that there are too many hackney carriage vehicles (HCV) in the district and the hackney carriage (HC) trade requested a cap on the number of licences issued by Warwick District Council (WDC).

1.2 The purpose of this report is for the Executive to consider the Council's current policy and decide if WDC should continue not to restrict the number of HCV or if it should, in principal, introduce a quantity standard.

2. **Recommendation**

That Executive agrees with Option 1. (Retain the status quo – no change to existing policy (do not implement a limit or restriction).

3. **Reasons for the Recommendation**

3.1 Most local licensing authorities do not impose quantity restrictions; the Department of Transport (DfT) regards this as best practice.

3.2 In April 2017 the Competition and Markets Authority (CMA) issued guidance to local authorities that concluded restricting HCV numbers harms consumer choice. Furthermore, CMA released guidance that advises quantity restrictions may cause harm to passengers through reduced availability, increased waiting times, reduced scope for downward competitive pressure on fares. In addition it may increase the risk to passenger safety if a restriction encourages the use of illegal, unlicensed drivers and vehicles.

3.3 In areas where limits are imposed, vehicle licence plates often command a premium. Advice from legal is if a limit was set the value of licensed vehicles could become inflated and there are no obvious legal interventions that can be put in place to prevent this.

3.4 In order to justify a restriction the licensing authority would need to be able to demonstrate there was no unmet demand. This issue is normally addressed by means of a survey. An interval of three years is commonly regarded as the maximum reasonable period between surveys. This Council undertook a survey via CTS Traffic & Information with a recommendation that a cap is brought in.

3.5 There has been a significant change of circumstance in the overall taxi and private hire market since the CTS survey was commissioned.

a) Over the past two years there has been a natural downturn in the number of HC vehicles and drivers licensed by WDC. If this trend was to continue a restriction would have little effect.

b) The number of private hire vehicles (PHV) coming into the district has increased considerably. For example private hire drivers legitimately working for companies such as Uber. WDC controls on vehicles and drivers licensed by other authorities are limited.

c) The demand from the traveling public for app-based public transport solutions is only likely to increase over the coming years.

3.6   Given the above, a restriction on the number of HCVs is not necessarily going to benefit the HC trade. It is also possible a limit could cause additional financial strain on them. This is because the costs associated with running and maintaining a limitation policy, including the commissioning and project management of surveys every three years should not be borne by the general tax payer and would need to be recovered from the trade via licence fees.

3.7   Setting a limit could mean there is an increases in litigation as the number of appeals could increase, the local authority would also be open to a Judicial Review. This is because regardless WDC would still be required to process applications and if refused on the grounds of a limitation or restriction policy the applicant retains the legal right to appeal the decision.

4.   Policy Framework

4.1   Fit for the Future (FFF)

The Council's FFF Strategy is designed to deliver the Vision for the District of making it a Great Place to Live, Work and Visit. To that end amongst other things the FFF Strategy contains several Key projects.

The FFF Strategy has 3 strands – People, Services and Money and each has an external and internal element to it. The table below illustrates the impact of this proposal if any in relation to the Council's FFF Strategy.

FFF Strands		
People	**Services**	**Money**
External		
Health, Homes, Communities	**Green, Clean, Safe**	**Infrastructure, Enterprise, Employment**
Intended outcomes: Improved health for all Housing needs for all met Impressive cultural and sports activities Cohesive and active communities	Intended outcomes: Area has well looked after public spaces All communities have access to decent open space Improved air quality Low levels of crime and ASB	Intended outcomes: Dynamic and diverse local economy Vibrant town centres Improved performance/ productivity of local economy Increased employment and income levels
Impacts of Proposal		
Ensuring there is sufficient access to taxis to the community.		Allows entrepreneurs Ready entry if they see an opportunity.
Internal		
Effective Staff	**Maintain or Improve Services**	**Firm Financial Footing over the Longer Term**
Intended outcomes: All staff are properly trained All staff have the appropriate tools All staff are engaged, empowered and	Intended outcomes: Focusing on our customers' needs Continuously improve our processes Increase the digital provision of services	Intended outcomes: Better return/use of our assets Full Cost accounting Continued cost management Maximise income

supported The right people are in the right job with the right skills and right behaviours		earning opportunities Seek best value for money
Impacts of Proposal		
None	None	None

4.2 **Supporting Strategies**

Each strand of the FFF Strategy has several supporting strategies and the relevant ones for this proposal are contained within the WDC Risk Management Policy & Guidelines.

4.3 **Changes to Existing Policies**

None - Currently WDC policy does not limit the number of HCV licences it issues. Anybody can apply for a HCV licence, subject to the vehicles and the driver meeting our quality and safety standards.

4.4 **Impact Assessments**

An impact assessment has been carried out and was assessed as not relevant for the purpose of EIA but will be reviewed subject to the final decision.

5. **Budgetary Framework**

5.1 If the recommendation is accepted there would be no financial implication.

5.2 If a restriction policy was introduced the position would need to be continually evidenced and further independent surveys will need to be undertaken by a competent surveyor. The next survey would be due in 2019 and every 3 years thereafter.

5.3 The additional charges arising from surveys and the on-going staffing costs should not be met by the tax payer. Subject to Executive Committee approval, these charges should be paid for by the HC trade by way of the licence fees. Currently the best guess estimate for all the associated staffing, contractor and resource costs for commissioning, implementing and then maintaining a HCV limitation policy are between £25,000 to £30,000 triennially.

6. **Risks**

6.1 If the recommendation is accepted there would be no additional risk.

7. **Alternative Option(s) considered**

7.1 The CTS Survey recommends option 3 - Return a limit at a fixed level (and determine what that level should be and any other fleet development proposals). The thought of developing the feet, if a limit was returned, is based on the theory that the trade will benefit from the introduction of a limit and that there should be some return to the council and the people using hackney carriages in the area.

Fleet development is a tempting factor, however under existing market conditions and external pressures on the trade (as described in 3.5 above) any benefit to the trade is questionable.

7.2 The outcome from the six week consultation with the trade from 15 May-25 June 2017 concluded option 4 was the preferred option. Officers do not consider this to be a reasonable way forward as it delivers no tangible benefits or additional protection to the public.

7.3 The authority can attempt to restrict the number of vehicles in a hackney carriage fleet by using quality controls. For example, controls on age or types of vehicles used, which can have a similar effect to increasing the cost of entry to the hackney carriage vehicle market. Other quality controls adopted by other local authorities include mileage limitations on vehicles, restrictions to where proprietors live and exhaust emissions.

7.4 At the present time, the quality controls applied to a <u>new</u> hackney carriage licence application are that it must be a brand new vehicle and have side loading wheelchair accessibility. If a licensed vehicle is being replaced, the replacement vehicle must be newer than the vehicle that it replaces but no older than 5 years. If the vehicle being replaced is wheelchair accessible, then the replacement vehicle must also be wheelchair accessible.

8. Background

8.1 In respect of HCVs the main statutory function and aim of Warwick District Council is to protect the public but at the same time ensuring there is reasonable access to a safe and well maintained taxi service.

8.2 Warwick District Council licenses both hackney carriages (HCV) and private hire vehicles (PHV) to operate within the district. HCVs operate from ranks and can be hailed in the street and they can also accept pre-booked fares, either direct or from a licensed operator.

PHVs may only accept pre-booked fares from an operator and there is no power for the Council to limit PHV numbers.

8.3 HC and PHV licensing law in England dates back in some instances to the 19th century. This has led to an increasing number of calls in recent years for wholesale reform of the licensing law. In 2014 the Law Commission published a report which included a comprehensive overview of the industry and how it should look going forward. It also published a draft bill for consideration by the Government. Although the Government accepted a small number of the Commission's recommendations and legislated for them in 2015, nothing further has been done.

8.4 The entry of Uber into the PHV market and the way it has transformed it, has given impetus to the calls for reform. There are some who believe that the advent of Uber and other smartphone app-based technologies is a chance to completely rethink what the industry should look like going forward as a consumer-led, deregulated system where the differences between taxis and PHVs disappear. Others, while welcoming some of the benefits from these app-led providers in terms of consumer choice, caution against unleashing a 'free for all' and are calling for better regulation, standardisation across the country and more powers for local licensing authorities to cap PHV numbers and prevent cross-border hiring.

8.5   The Government has set up a working group to consider regulatory issues and remedies for the industry, including on cross border working, and the question of country-wide licensing reform raised by the Law Commission. The group is due to report in 2018.

8.6   A hackney carriage demand survey was undertaken by CTS Traffic & Information on the Council's behalf between November 2015–March 2016. CTS concluded there is no significant unmet demand in the area. In other words that there are sufficient numbers of HCVs in the district to meet the service demands of the traveling public.

8.7   The CTS report determines four potential options, with option 3 being the recommended option.

        Options
        1. Retain the status quo – no change to existing policy (do not implement a limit on numbers).
        2. Return a limit at a fixed level (and determine what the level should be).
        3. Return a limit at a fixed level (and determine what that level should be and any other fleet development proposals).
        4. Return a limit but on the basis of not issuing any new plates (therefore number of plates reduces over time).

**Warwick District Council
Hackney carriage
unmet demand survey
Final Report**

April 2017

cts
TRAFFIC + TRANSPORTATION

THE DATA COLLECTION SPECIALISTS

Contents

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Data Quality Assurance:

Report by: Ian Millership
Date: -11/04/17

Checked by: Joe Maclaren
Date: 11/04/17

Executive summary

CTS Traffic and Transportation were appointed by Warwick District Council to undertake their "Hackney carriage unmet demand survey" on 14th August 2015. This report presents the results of all investigations undertaken to provide a database of robust information on which a decision can be taken by councillors in regard to the possibility of applying a hackney carriage vehicle limitation policy. All research was undertaken in line with the current Department for Transport Best Practice Guidance (March 2010) and taking advantage of the extensive research undertaken by the Law Commission in their recent review of licensing.

The review was undertaken between September 2015 and February 2016 with most survey work in October or November 2015, followed by a trade survey, with key stakeholder consultation during most of the study period. A final revision was undertaken in February 2017 with a change in council staffing.

Warwick District is one of five district councils operating within the County of Warwickshire. Highway and transport powers are at the County level, who have a relatively unique taxi and private hire vehicle strategy in place within its Local Transport Plan. Warwick District Council applied its power to restrict hackney carriage vehicle numbers up to 1999, since when anyone can obtain a hackney carriage vehicle licence for the District, albeit a new side loading WAV style vehicle. Concerns exist that there are too many vehicles to meet the current demand.

DfT has produced statistics about the licensed vehicle trade comprehensively since 1997, and since 1994 for hackney carriages. Normal practice is to compare vehicle and driver growth over these periods although the 1985 Transport Act first impinged on these numbers around 1988 when the first unmet demand studies occurred. Hackney carriage growth has been the main increase in licensed vehicles over this period, some threefold, whilst private hire vehicles have only increased by 20%, typical where there are no limits on vehicle numbers. Driver growth has been less – 26% - suggesting that much vehicle growth has been people obtaining their own vehicle. All drivers can drive either a hackney carriage or a private hire.

A fairly unique local issue is that the fleet size can appear very much larger than it actually is since lapsed numbers are not re-used. This means the highest fleet numbers are more than the actual number of vehicles, particularly noticeable on the private hire side where numbers start at 500, with the highest plate number in excess of 1,000, but there are in fact just 185 vehicles (at the time of our survey). Hackney carriages have a highest number of 250, but there were only 213 in service.

252 hours of rank surveys were undertaken and analysed. This included all ranks including the private ones on Chiltern Railways land. Of all the vehicle departures observed, 10% were private cars and just 2% were private hire, both figures suggesting relatively low abuse of ranks across the area. Of the hackney carriages observed, 59% were WAV style, in the same order as the 72% that are understood to be in the fleet at present.

No rank was active 24/7. Hamilton Terrace and the Leamington Spa station saw the longest activity hours. Three ranks were dependent on club patronage and opening. Overall passenger demand at ranks was low. Service to ranks was very good to fair.

Most ranks saw excess levels of vehicles compared to passengers. 63% of the fleet was found to be operating in a sample within the survey period.

A high peak at one club used a quarter of the fleet with no passenger there ever having to wait for a vehicle to arrive.

The private Leamington Spa station rank takes 38% of estimated weekly demand followed by 19% at Hamilton Terrace. Although there is unmet demand, this was found to be far from significant in terms of the industry standard index of significance of unmet demand.

250 people were interviewed in the streets across the District. 47% had used a licensed vehicle in the last three months with overall usage 1.6 trips per person per month, dropping to 0.6 for those saying they had used hackney carriages. 33% said they used ranks, a relatively high level compared to many other areas. Despite the bulk of vehicles being hackney carriage, most companies phoned were pure private hire, although there was a high number of companies named and relatively little brand loyalty.

38% of people could not remember using a hackney carriage with 26% not being able to remember seeing a hackney carriage in the area, a relatively high level compared to other surveys. Levels tend to be higher either where there is a fully wheel chair accessible fleet or where there is a livery, or both. People were satisfied with current rank provision and most ranks including those at night clubs were known about. However, the Warwick and Kenilworth ranks tended only to be known about locally.

The proportion of people surveyed needing a wheel chair accessible vehicle was higher than normal, at around 13%, with most saying they needed a wheel chair accessible style rather than any other adapted style.

Key stakeholder response from businesses mainly focussed on usage of private hire although some were aware of ranks their customers used. The response from the hospital, police and disability groups was disappointing (but not unusual for this kind of study). The response by other groups, particularly the town and parish councils, was excellent, as was response from the Warwick University Student Union.

There was a 10% response to our trade survey. 76% were from hackney carriage and 79% owned their own vehicles. Most seemed to work on a one-man basis and by direct calls if they were contactable by phone. The working week tended to be low, five days and 34 hours on average. There was a 79% vote for returning a limit on hackney carriage vehicle numbers. Many said this would reduce driver tiredness by holding numbers at the current level and providing stability of income. Most of these told us they noticed every time an extra vehicle was added through further reductions in income.

Although the market for licensed vehicles appears to be strongly technology based, there remain several important rank-based operations in the area, although even within these there are significant different modus operandii. The current estimated level of 5,986 passenger trips for an average week implies 15 jobs per vehicle per week from ranks. However, we also identified that most potential hackney carriage demand is met by hackney carriages rather than by private hire, even at lesser used ranks such as the one in Kenilworth.

Leamington is the main 'hackney carriage country' of the District. Despite relatively low demand for the size of the town, there are two highly active ranks supplemented by other night ranks, yet still having one informal area without a rank active. General waiting times by vehicles at the main Leamington council rank can be high. Service to school contracts can cause shortages here however. The station rank sees commuter usage in both directions and there can be issues when busier trains arrive.

Warwick has just one active rank which is an unusual design with safety concerns. It is also felt it would benefit from better advertising. The Kenilworth rank is only used at very specific times. There are opportunities to grow demand here when the new station opens, although this is now not expected till 2017.

A key issue is safety and operational practise at the Smack rank. Students need better information on what is legal, and stewards are continually needed here for student nights. There is need for better and longer term understanding of the needs of students and this location which have only been touched upon within our study.

There is no significant unmet demand in the area, and the best estimate of excess capacity is that on average there is 20% more supply than demand, although this obviously increases much more in the non-peak times which some members of the trade tend to prefer to service.

1. Introduction

Warwick District Council is responsible for the licensing of hackney carriage and private hire vehicles operating within the council area. At the present time there is no limit on hackney carriage vehicle numbers and this has been the case since DfT statistics have been published (1997), although we understand there was a limit which was removed in 1999 in favour of quality restrictions requiring any new vehicle to be side loading WAV style.

Study timetable

Warwick District Council appointed CTS Traffic and Transportation on 14th August 2015 to undertake this survey of demand for hackney carriages in line with our quotation dated July 2015.

The review was carried out between September 2015 and February 2016, with on-street pedestrian survey work undertaken in October 2015. Licensed vehicle drivers were consulted by a letter sent out during November 2015, with other stakeholder consultation between September and March 2016. Rank surveys were undertaken in November 2015. A Draft Final report was submitted and this was reviewed in mid-March 2016 to identify any factual or missing issues.

National background and definitions

At the present time, hackney carriage and private hire licensing is carried out under the Town Police Clauses Act 1847 (as amended by various further legislation including the Transport Act 1985, especially Section 16) in regard to hackney carriages and the Local Government (Miscellaneous Provisions) Act 1976 with reference to private hire vehicles. A number of modifications have been made within more recent legislation and through case law.

The issue of limits on hackney carriage vehicle licences (and other potentially restrictive practices) were considered by the Office of Fair Trading (OfT) (and latterly the House of Commons Select Committee on Transport). The Department for Transport most recently published Best Practice Guidance in March 2010 to cover a number of more recent issues and take on board both the recommendations of the OfT and House of Commons Select Committee (HoC SC).

More recently a further HoC SC has led to the Law Commission (LC) taking on a wide ranging review of vehicle licensing law to be completed over the next few years. The consultation document from the LC was released in mid-May 2012.

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The final LC recommendations published on 23rd May 2014 including 84 recommendations (specific recommendation numbers in brackets below from Report) including:

- Retaining the two-tier system (1)
- A statutory definition of pre-booking (3) and a new offence of anyone other than a locally licensed taxi driver accepting a booking 'there and then' (10)
- That the term "hackney carriage" should be replaced in legislation with the word "taxi" (4)
- New duty on taxi drivers to stop in specified circumstances if so determined by the local licensing authority (12)
- Each licensing authority under a duty to consult on the need to alter rank provision, not exceeding every three years (13)
- Introduction of national standards for taxi and private hire services (30)
- Licensing authorities retain power to set local taxi standards over and above national standards (46)
- A more flexible power to introduce and remove taxi licensing zones (57)
- Licensing authorities continue to have power to limit the number of taxi vehicles licensed in their area (58)
- Subject to a statutory public interest test with how this statutory test should be applied determined by the Secretary of State (59)
- Reviewed every three years and subject to local consultation (60)
- Mandatory disability awareness training for all drivers (62)
- An accessibility review at three year intervals (65)

Other recommendations are included of less relevance to this current report. At the time of writing this report, there has still been no further Government response to the report or Draft Bill, although it remains a key think-piece on current industry concerns and potential solutions.

The Deregulation Bill originally contained three clauses impacting on taxi licensing. These cover unlicensed relatives being able to drive private hire vehicles (dropped), operators being able to transfer work across borders and length of driver and operator licences. An opportunity was also given for trade representatives to identify conditions of licence that were felt to be unduly restrictive. None of these really impact on the issue of unmet demand directly but could have some impacts on operations which might move demand from hackney carriages towards private hire more than the current situation might. Both clauses taken forward came into effect in October 2015.

At the present time, each licensing authority in England supervises the operations of two different kinds of locally licensed vehicle. For clarity, all vehicles able to carry nine or more passengers are dealt with under national public service vehicle licensing and licensing authorities only have jurisdiction over those carrying eight or less passengers. These vehicles are subdivided into:

- Hackney carriage vehicles (sometimes referred to as 'taxis' in legislation), which alone are able to wait at ranks and pick up people in the street (ply for hire). To operate such a vehicle also requires a driver to be licensed to drive within the area the vehicle is licensed to operate. However, such vehicles are also able to operate as private hire.
- Private hire vehicles, which can only be booked through an operating centre and who, otherwise, are not insured for their passengers (often also known as 'taxis' by the public). To operate such a vehicle requires a vehicle and driver licence, and there must also be an affiliation to an operator. Such vehicles can only transport passengers who have made bookings via this operator.

For the sake of clarity, this report will refer to 'licensed vehicles' when meaning hackney carriage and private hire collectively, and to the specific type when referencing either specific type of vehicle. The term 'taxi' will be avoided as far as possible, although it has to be used in its colloquial form when dealing with the public, few of whom are aware of the detailed differences.

There is a further current issue that does impact on demand – the fact that many hackney carriages once properly licensed in an area with a driver then undertake private hire work in other licensing areas, often many miles from their home base. Such vehicles can have cost base advantages and can appear to be available for immediate hire when they are not in fact legally able to do so (e.g. with stickers saying 'this vehicle can be hired immediately', which only applies within their licensing area). Contrariwise, some authorities who have licensed vast numbers of hackney carriages which have ended up working outside that authority area are now attempting to reign this back by various methods.

This particular issue has become more complicated with the Deregulation Bill right of private hire operators to subcontract work to operators in other areas.

Review aims and objectives – national background
Warwick District Council is seeking a review of their current policy towards hackney carriage quantity control in line with current Department for Transport (DfT) Best Practice guidance as published in March 2010. Further background information about previous policy is contained in Chapter 2 to set the context of the current situation.

The "Best Practice Guidance" paragraph 47 states: "Most licensing authorities do not impose quantity restrictions the Department regards that as best practice. Where restrictions are imposed, the Department would urge that the matter should be regularly reconsidered….". Our database of taxi regulation, updated to January 2016, shows 92 authorities who openly declare a limit on hackney carriage vehicle numbers.

There are other licensing authorities who restrict new plates to various levels of wheelchair accessible vehicles and have various levels of grandfather rights for the remaining saloon vehicles which are effectively often limited in number albeit not in the terms of a formal limit under Section 16 (as this is counted as quality restriction rather than quantity).

Of the 92 authorities in England and Wales with a formal limit on vehicle numbers, four have never seemed to have any formal study of the limit. A further 26 have tested their policy, but on an irregular basis (and not within the last three years). Over two thirds (62 authorities) undertake a regular review, all but three of which tend to undertake this more or less every three years. Many of these authorities are very strict on their repeat cycle.

In recent years several authorities have determined to remove their limit policy – most recently Exeter and Hastings. Others – most recently Cambridge – have returned a limit. In some cases, authorities returning a limit set either a 'settling limit' e.g. Watford, or a limit beneath the current level (Chesterfield), whilst others fixed at the level when the decision was made (allowing for vehicles in the pipeline at the time of decision). Some limited authorities (notably Knowsley) have set a new limit lower than the current to take account of dormant licences at time of survey. Some authorities still are found needing to issue plates (e.g. BANES).

Some authorities (three known at present) are presently considering if a limit should be re-applied or applied for the first time given current circumstances in their area. Warwick is one of these authorities. Since the first version of this report, one of these authorities chose to increase quality standards rather than apply any quantity control to its hackney carriages, with the aim of increasing the overall quality of the fleet whilst restraining any further growth to those willing to make this larger investment which the study identified was preferred by the public.

Current Warwick requirements
There is no record of any previous study of demand for hackney carriages in the Warwick District Council (WDC) licensing area.

The key objectives of the independent study of demand are to:
- See if the district has a sufficient amount of hackney carriages
- To see if these are of the right type to meet current accessibility needs of the area

- To identify if there is currently any unmet demand in the area which is significant

Study Requirements
The Council requires the study to:
- Include an assessment of the use of each taxi rank including patent and suppressed usage
- Evaluation of the Warwick district population identifying specific needs and disabilities
- Assess number of taxis licensed against demand of population
- Estimate delays and give comparisons to demand
- Identify peak areas, times and dates of usage
- Consult on rank provision identifying if current ranks should be removed, moved, or new ranks introduced
- Consult with trade, council, general public and other relevant stakeholders regarding the taxi service
- Provide evidence of any issues associated with ranks or peak areas / times of demand for hackney carriages
- Provide recommendations to the required number of licensed vehicles
- Provide observations and evidence to support any conclusions

Study Content
The study includes the following:
- Inception meeting
- Rank review
- Rank observations
- Public attitude interviews
- including face to face interviews supplemented by other council provided opportunities
- Written consultation
- Report (draft and final)

Methodology
In order to meet WDC's objectives, the following methodology was adopted:

- Review of relevant policies, standards etc.: to understand the authority's aspirations for meeting travel needs and social inclusion and provide context to determining overall demand for travel and how this should be met;

- Extensive rank observations and audits of all the ranks in the Authority, including monitoring passengers' waiting time, any illegal plying for hire, use of Hackney Carriages by wheelchair users and rank audits;

- On street interviews: a survey of 250 representative people on street to obtain information about their understanding of the sector, their last taxi journey, their overall levels of taxi use, about quality and barriers to use;

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- Consultation: including consultation with all relevant stakeholders – the local authorities, police, trade associations, all drivers, mobility impaired, specific user groups, businesses, and other major generators of taxi trips

In essence, the methodology used follows similar principles to all surveys undertaken by CTS together with all developments of methodology more recently applied to our surveys, particularly including guidance from both the 2004 DfT letter and their 2010 Best Practice Guidance (which includes the 2004 guidance as an appendix), and including the latest knowledge arising from the Law Commission Review and the current status of the Equality Act. This report also seeks to provide compatibility with previous reports provided by other consultants to the Council.

Report structure
This Report provides the following further chapters:

- Chapter 2 – current background to taxi licensing statistics and policy
- Chapter 3 – results from the rank surveys
- Chapter 4 – results from the surveys undertaken with the public
- Chapter 5 – up to date stakeholder consultation
- Chapter 6 – results from consultation with the taxi licensing trade
- Chapter 7 – summary and conclusions of this review
- Chapter 8 – recommendations for policy arising from this review.

2. Background to taxi licensing in Warwick

The Warwick District Council area

Warwick District Council (WDC) is one of five district councils within the Warwickshire County Council area and comprises four towns – Leamington Spa, Warwick, Kenilworth and Whitnash together with numerous villages.

Warwick, Leamington and Whitnash provide an almost contiguous urban area running through the centre of the District. Kenilworth is an almost separate town lying directly between Leamington Spa and Coventry. Warwick University is sited on the border between Warwick District Council and Coventry with much of the formal business part of the University actually outside the borders of Warwick District Council.

In public transport terms, Warwick and Leamington are on the rapidly developing Chiltern Railways route between Kidderminster, Birmingham and London Marylebone. The area includes the more recent station of Warwick Parkway located very near to the M42. There is also a link from Leamington Spa and Warwick onwards to Stratford upon Avon, as well as Leamington Spa being a key station on the Cross Country network which links Manchester and the North East via Birmingham to Banbury, Oxford, Reading and Bournemouth. One train per hour uses the route to Coventry, which although passing through Kenilworth does not currently have any station there. Bus services focus on the Warwick – Leamington urban area but also radiate to Coventry northwards.

In terms of rank provision, whilst most ranks are provided by Warwickshire County Council, there are two private ranks provided by Chiltern Railways at Warwick Parkway and at Leamington Spa railway stations. The former rank at Warwick station is now serviced by a private hire booking office which is within the main station building and subject of a private agreement.

Background Council policy

Warwick is a District Council within Warwickshire County Council, the latter having highway and transport powers for the area. Transport Policy is summarised in the current Local Transport Plan (LTP). The third LTP covers the period 2011 to 2026. Its principal aim is to manage, maintain and improve the transport network across the Warwickshire county area to ensure the transport system meets the needs of those who live, work and visit the County. There are a number of references and policies regarding hackney carriage (called taxi in the LTP) and also private hire vehicles. A summary of these is provided below.

The main reference to "taxis and private hire vehicles" is stating that enhanced facilities for them would be provided at key interchanges consistent with the aims set out in the Public Transport Interchange Strategy. There is a stated aim to develop taxibus services to meet specific demand in the County where conventional public transport is neither operationally or economically appropriate.

There is also comment that any new station at Kenilworth will include appropriate taxi provision to ensure the station is fully part of the overall transport network in the area. Proposals for improvement of the Leamington Spa station public transport interchange will also propose enhanced facilities for both hackney carriage (taxi) and private hire vehicles providing links for rail customers.

The LTP notes that "taxis and private hire vehicles" are key providers of surface access from the area to aviation facilities. It acknowledges that fares to such locations are generally expensive but often the only viable form of alternative to the car for local residents.

The LTP identifies that hackney carriage and private hire will be an appropriate part of access opportunities either as a single mode or within an appropriate combination allowing people the access they need. It points out that the Warwickshire county area statistics in the West Midlands Travel Survey 2001 stated "people without access to a car are four times more likely to use a public transport service, including taxis and private hire vehicles than people with access to a car. This is particularly true when bus and rail services are not operating, either by temporal or geographical constraints on their operation.

Chapter 30 of the LTP provides a specific "taxi and private hire vehicle strategy" for the overall Warwickshire county area. The aim is to ensure that they play their full role in helping meet the needs of current and potential passengers in all of Warwickshire county. It quotes the 2004 Government Action Plan for taxis and private hire vehicles. This recognised the role in providing both the first and last stage of journeys by other modes as well as providing people in lower income groups with access to vital services and an enhanced quality of life.

It acknowledges that the County makes extensive use of taxis and private hire vehicles to meet certain school / college / Social services journeys, but that the main responsibility lies with the relevant district council. Problems include:
- High cost of fares compared to bus (three to four times more)
- Wide variation by district and by operator
- Large numbers of vehicles not within the DDA guidance
- Rogue operators affecting reputations

Taxis and private hire vehicles are known to provide a flexible service, and a thriving, efficient and affordable taxi service clearly contributes to a towns' economy and benefits both local residents and tourists. They provide specialist provision for people with various impairments. They provide a 24/7/365 service, security, local knowledge, assistance for those with luggage, and a mode able to provide for any destination or origin.

Warwickshire County Council states its vision for taxis and private hires as:
"an affordable, accessible, safe, convenient and environmentally friendly provision across the County, capable of meeting local demand, improving accessibility and reducing social exclusion, contributing to the achievement of the objectives in the LTP". A key matter is working in partnership with the Districts to deliver aims and objectives (Policy PTT1). Policy PTT2 states "the County will work in partnership to encourage the provision of taxis and private hire vehicles in the County which are affordable, accessible, available and acceptable." However, as a rider in regard to the Warwick District references use the word 'considered' and enhancement is principally related to rail developments.

The LTP states that it is important that information should be readily available, easy to understand and simple to use, including typical charges likely. Signage to taxi facilities is also important. Policy PTT3 supports taxibus development. Policy PTT4 supports improvements at public transport interchanges for taxi and private hire. There is a stated aim to include taxi options within the Traveline facility. The County would also wish to encourage 'greener' taxi vehicles.

In conclusion, the County seeks to support taxi service provisions (both hackney carriage and private hire) within a framework that works with the local District.

Policy of restricting hackney carriage vehicle licences
Warwick has a power to restrict the number of hackney carriage vehicle licences it grants when it is satisfied there is no unmet demand for the services of hackney carriages which is deemed to be significant. This power has been in this format since the introduction of the 1985 Transport Act, Section 16 (before which the power to limit was unfettered). Warwick does not currently exercise this power.

At the present time, overall government taxi policy is under review by the Law Commission (LC) (see Chapter 1, page 1 for more detail). The current status is that the LC recommended that councils are able to retain the option of limiting their number of hackney carriage vehicles, although any change will have to be agreed by Government and then taken through any appropriate legal process. Formal Government encouragement remains towards the minimisation of restrictions, including limit policies.

There is no record of any previous survey of demand within Warwick District Council area. Since initial writing of this report, reference has been found to a committee report referring to a cap rescinded in 1999, and to quotes being sought for a demand survey in 2003. No further information has been forthcoming. Further, when the cap was removed, the quality control was introduced that all new vehicles must be wheel chair accessible, and further that they must all be side-loading WAV.

The background to this current survey is that the Council received a petition stating there were too many taxis for the community. Over 75% were in favour of a survey being undertaken. This Report is undertaken within the context of these requirements.

Background statistics
Information was obtained to demonstrate the current make-up of the licensed vehicle fleet in the Warwick area, including current vehicle trends. The table below shows the historic level of vehicle numbers in this area. These statistics are taken from the national Department for Transport database which is comprehensive from 1997 and also provides hackney carriage details from 1994. Impact of the 1985 Transport Act which introduced the need for unmet demand surveys was first noticed in around 1988 when the first of these surveys were undertaken to justify the level of vehicle numbers at that time. Prior to that, councils could limit hackney carriage vehicle numbers in an unfettered manner, in other words, without any formal need to justify their policy, and therefore without any need for independent review of the impacts.

The statistics below utilise the full DfT database in a way normally undertaken within our unmet demand studies, allowing comparison over the longest formally available period. It does not preclude other comparisons within the data set, but does leave the full picture available.

	Hackney carriage vehicles	Private hire vehicles	Total licensed vehicle fleet	Driver numbers				Operators
				Hcd	phd	Dual	Total	
1994	69	unknown	n/k	118				
1997	65 (6)	145	210	110	282	0	392	
1999	65 (6)	158	223	110	270	0	380	25
2001	81 (25)	149	230	146	307	0	543	25
2004	81 (11)	149	230	146	307	0	543	25
2005	81 (25)	149	230	146	307	0	453	25
2007	165 (79)	220	385	0	0	350	350	35
2009	162 (63)	220	382	0	0	453	453	55
2010	166 (60)	190 (11)	356	Not collected				
2011	163 (66)	190 (16)	353	0	0	500	500	53
2012	187 (66)	313 (8)	500	Not collected				
2013	186 (67)	198 (0)	384	0	0	479	479	57
2014	194 (68)	360 (7)	554	Not collected				
2015	205 (67)	174 (0)	379	0	0	495	495	68
2016	213 (72)	185 (2+)	398	0	0			68

Note: DfT statistics used from 1994 to 2009, 2011, 2013.
National Private Hire Association survey for 2010 / 2012/ 2014.
Council statistics for time of survey (Autumn 2015) and at March 7 2016

These figures are shown graphically below:

Warwick licensed vehicles and drivers

Legend: hcv, phv, lv total, hcd, phd, dd, total d

X-axis: 1994D, 1997D, 1999D, 2001D, 2004D, 2005D, 2007D, 2009D, 2010N, 2011D, 2012N, 2013D, 2014N, 2015D, 2016C

Data labels visible:
- lv total: 69, 210, 223, 230, 230, 230, 385, 382, 356, 353, 500, 384, 554, 379, 398
- phv: 145, 158, 149, 149, 149, 220, 220, 190, 190, 313, 198, 360, 174, 185
- hcv: 69, 65, 65, 81, 81, 81, 165, 162, 166, 163, 187, 186, 194, 205, 213
- total d: 313

Since 1994 when DfT statistics were first published, there has been almost a threefold growth in hackney carriage vehicle numbers. From 1997 the overall private hire growth has been just 20% given the lack of restriction on hackney carriage vehicle numbers in the area – i.e. people appear to be choosing to use hackney carriages for the generic taxi trade rather than private hire. There have been some apparent increases of private hire vehicle numbers but it is understood these are issues with the data provided rather than actual increases. The overall growth in fleet size from 1997 to date is about 80%. It has to be noted that growth of the hackney carriage fleet since 2007 has been just 29% in which period the private hire fleet actually decreased by 16%, tipping the balance towards hackney carriages in the area further.

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The fact that most growth in an unrestricted vehicle policy environment is hackney carriage may also imply that many of these hackney carriage vehicles rarely see regular ranks, but do have the option of meeting demand on a non-prebooked format when necessary (such as being able to pick up outside busy night venues).

Dual driver licensing was introduced in 2007. Since 1997 overall driver numbers have increased about 26% - less than the overall growth in vehicle numbers although there are still about 31% more drivers than vehicles in total, suggesting some element of double shifting or renting does occur.

Warwick - operators and % WAV in fleets
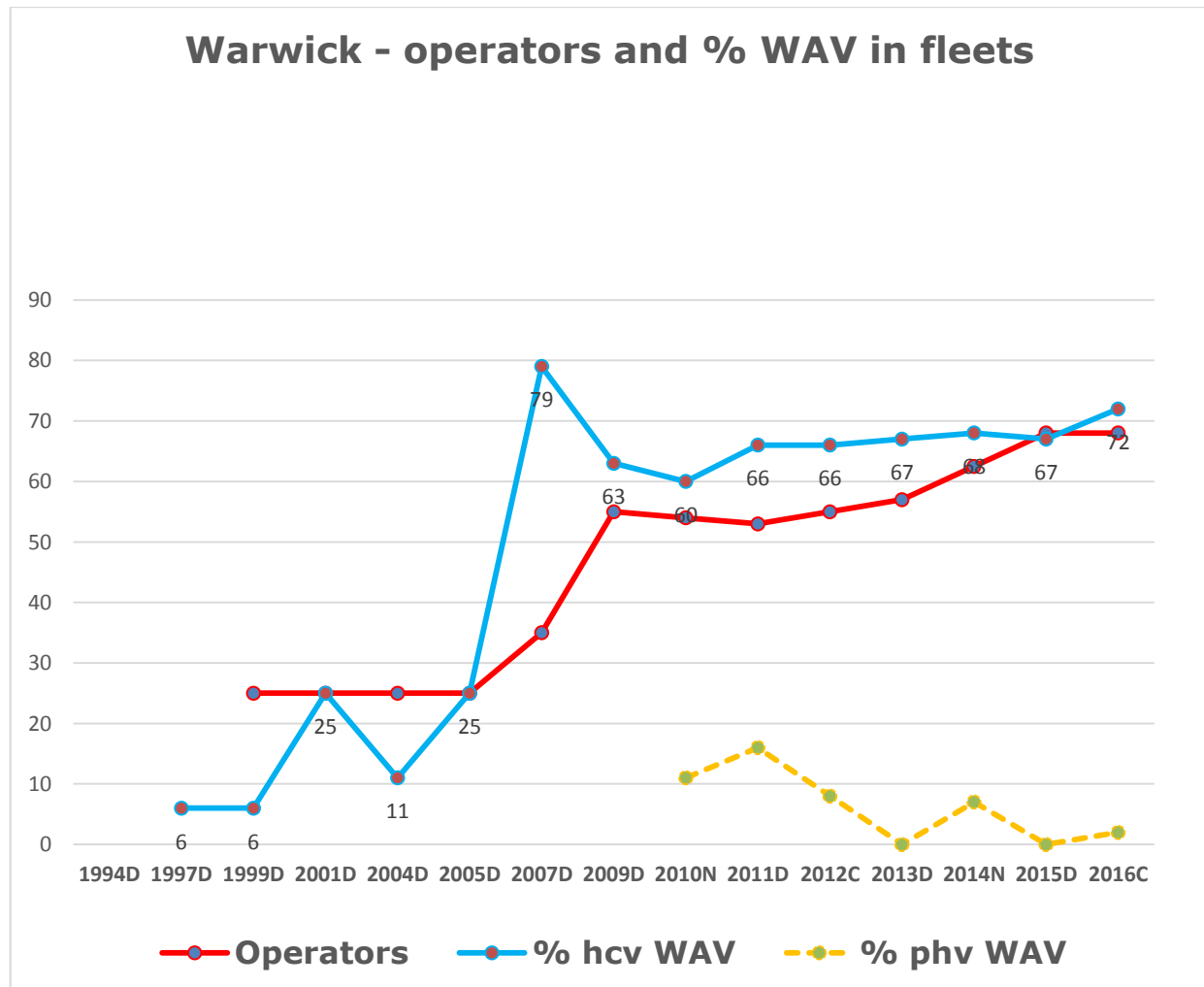
The level of operator numbers is very high – with just over 2.5 private hire vehicles per operator on average. Even if it was assumed all hackney carriages were part of private hire operators, the average fleet size would only be just under 6 vehicles per company. This potentially suggests a high level of competition in the area

It is also noted that plate numbers run from 1 to 499 for hackney carriage. The highest current plate number is 250, but numbers are not re-used so there are many numbers not in use. The same is true on the private hire side. There, numbers run from 501 upwards, with the highest number now being over 1000 (but the same applies, there are many gaps and nowhere near that level of vehicles). There is some thought that having such a numbering system gives a false sense of the level of plates on issue.

Vehicle Accessibility

The level of vehicles which are wheel chair accessible (WAV) is moderate – but also appears to have fallen from potentially higher levels which may be issues with the information. There are around 2% of WAV style vehicles in the private hire fleet according to the latest information.

3. Results from rank surveys

During the course of preparation of our bid for this survey, a list of ranks was identified provided on the Warwick District Council website. This list was used as the basis for our proposed rank surveys. The list and the detailed specification for the survey were updated at the inception meeting.

The council list identifies seven ranks in Leamington. Of these, the main all-day rank is that located 'opposite the Leamington Police Station, Holly Walk'. This rank is actually located along the northern edge of Hamilton Terrace opposite the Police Station. It provides a significant amount of capacity although often over-spilling into the parking spaces provided further along Hamilton Terrace. The other all-day rank is located outside Boots, again on the northern side of Warwick Street, but we were advised this location is little used. The only other all-day rank listed is that at Leamington Spa railway station, although this is a private rank requiring an extra permit from Chiltern Railways.

The other four listed Leamington ranks are in fact night only and outside pubs or clubs. The Copper Pot rank (Warwick Street) (formally listed as outside Duke on the internet list) tends to service a wider clientele but we were advised that it was dissuaded from being used by the marshals when the main night club was in operation since vehicles using this rank could cause safety issues. The remaining three ranks relate to specific clubs – The Assembly, Rio's and Smack (formerly known as Sugars and listed as such on the internet list). All operate only when the night clubs operate. There is a further location not on the current internet list, a two space rank operating from 20:00 onwards outside Vialli's on Lower Parade, a busy bus stop during the daytime hours.

We were advised that there is one other location where hackney carriages tended to form informal ranks in Leamington Spa at night – near another club (Moo Bar).

There is a rank at Abbey End, Kenilworth, and another adjacent to Costa Coffee in Warwick. Warwick Parkway has a private rank again under contract to Chiltern Railways. It was identified that the former rank at Warwick Railway station was now superseded by a private hire office whose base was located within the buildings of Warwick station and who used the area outside the station as parking. Any person wanting to travel onwards from this location by 'taxi' would automatically use the private hire company located here.

The above information was utilised to revise the rank observation specification to better cover the observed use of ranks. Rank surveys were undertaken and some further changes applied arising from issues with the equipment used for data collection.

During our research we did not find evidence of any other ranks within the Warwick area and understand our rank coverage is therefore comprehensive as required by the Department for Transport's Best Practice Guidance on taxi and private hire licensing (BPG). The only private ranks we are aware of are the two provided by Chiltern Railways at Warwick Parkway and Leamington Spa stations.

Surveys were proposed during the tender stage of the project (as informed by information received from the Council before tendering), and were modified at the inception meeting to take account of current expectation of times of use of ranks and informal rank locations. The proposed level of rank observations was set to 250 hours. Appendix 1 provides a summary of the hours covered over the weekend of Thursday 5th November 2016 through to Sunday 8th November. An additional set of information was obtained on Tuesday 15th December (actually more into the early hours of Wednesday 16th) at the rank near the Smack night club given that we were advised that Tuesday evening was the main usage of this location. In the event, some 252 hours of video were collected and analysed (including the four hours at Smack on the Tuesday night). The coverage is shown in detail in **Appendix 1**. For the sake of completeness this also shows the proposed hours which were lost although the additional hours added are not identified separately.

Ranks were observed, using video methods with the recordings observed by trained staff, and analysed to provide details of the usage and waiting times for both passengers and vehicles. Passenger waiting time was kept to that which was true unmet demand, i.e. when passengers were waiting but no hackney carriage vehicle was there. Full details of the observed volumes of passenger and vehicle traffic are included in **Appendix 2**. Our observations always take account of feeder ranks where necessary to ensure true estimation of the hackney carriage waiting times at ranks for passengers (although there were no such locations amongst the ranks observed in Warwick).

Overall comments on ranks
A total of 22 different rank locations / days were observed (each termed a sample). In total, 1,979 vehicle departures were recorded. Of the total vehicle departures observed, 10% were private cars at or near the ranks. 1% was goods vehicles. 2% were private hire vehicles and there was just one case where emergency vehicles stopped at a rank. A further site was observed manually at Smack on a Tuesday (making a total of 23 sites/days).

No people accessed hackney carriages at ranks in a wheel chair across the area during our survey. One person was noted as being visibly disabled but not in a wheel chair. A further 16 people across the area were seen to be assisted by the driver to get into a vehicle.

Of all the hackney carriage observations (87% of the overall sample), 59% were believed to be wheel chair accessible (WAV) style. This is very similar to the level of such vehicles within the current fleet.

Detailed rank performance

The Table below summarises the time periods observed at each location as well as providing overall operational statistics for each location during each period of observation. A detailed description of the observations follows below.

Rank	Period (2015)	Total passengers observed	Total loaded vehicle departures	Passengers per loaded vehicle	Empty vehicle departures	% of vehicles leaving empty	No. of passengers having to wait for vehicle to arrive
Leamington Spa ranks							
Hamilton Terrace	Thursday 5th Nov	94	67	1.4	44	40	2
	Friday 6th Nov	251	160	1.6	68	30	13
	Saturday 7th Nov	284	150	1.9	68	31	0
	Sunday 8th Nov	39	23	1.7	24	51	0
Boots	Saturday 7th Nov	2	1	2	6	86	0
Copper Pot	Thursday 5th Nov	92	37	2.5	38	51	0
	Saturday 7th Nov	120	55	2.2	40	42	2
The Assembly	Friday 6th Nov	74	32	2.3	69	68	1
	Saturday 7th Nov	7	2	3.5	12	86	0
Rio's	Thursday 5th Nov	0	0	0	2	100	0
	Saturday 7th Nov	52	29	1.8	29	50	7
Smack	Thursday 5th Nov	40	12	3.3	15	56	0
	Friday 6th Nov	34	13	2.6	13	50	0
	Saturday 7th Nov	9	4	2.3	1	20	0
	Tuesday 15th Dec	161	59	2.7	11	16	0
Vialli's	Friday 6th Nov	35	18	1.9	80	82	1
Kenilworth rank							
Abbey End	Friday 6th Nov	92	43	2.1	10	19	1
Warwick rank							
Costa	Friday 6th Nov	122	59	2.1	9	13	3
	Saturday 7th Nov	40	17	2.4	12	41	2
Informal rank							
Moo Bar	Friday 6th Nov	0	0	0	5	100	0
	Saturday 7th Nov	9	4	2.3	15	79	1
Private ranks							
Warwick Parkway	Friday 6th Nov	64	64	1.0	3	4	0
Leamington Spa Station	Friday 6th Nov	349	243	1.4	118	33	42
TOTALS – all areas		*1981*	*1033*	*1.8*	*681*	*40*	*75*

For each rank, we conclude with an overall qualitative appreciation of the performance of the rank over the days observed:
- Poor – major issues with service to rank resulting in long passenger queues;
- Fair – rank deals with high volumes but sees some passenger queueing at times;
- Good – no passenger queueing observed but nothing else of note in way rank operates;
- Excellent – very high turnover with no passenger queueing and clear examples of drivers helping passengers use rank;
- Developing – rank of recent origin but clearly growing in use

Hamilton Terrace rank
This rank is located on the northern side of Hamilton Terrace at the end towards The Parade and opposite the local Police Station. Passengers would enter vehicles from the driver side, and passenger side loading would be dangerous given the traffic passing by. The rank extends back some way but still regularly sees over-ranking which can often extend into the parking spaces behind the rank. The rank is located on the central traffic island although this is part of the main walking route from north to south in the town centre.

This rank was observed from Thursday 5th November 2016 at 15:00 right through to 16:00 on Sunday 8th November 2016. Apart from a late start to the observations no planned data was lost.

Thursday observations
During the Thursday observations 94 passengers were observed leaving in 67 vehicles, giving vehicle occupancy of 1.4 persons per vehicle – low. 44 vehicles left empty (40%), with just two passengers having to wait for a vehicle to arrive. These passengers were in the 01:00 and 02:00 hours with one waiting a minute and another four minutes. Shared over all passengers the average expected wait is just three seconds.

In passenger terms, flows were low – never more than 13 passengers in any hour, and occasionally as low as one passenger. There was no demand at all from the 03:00 hour onwards.

Average vehicle waiting times for fares were very long – between 41 and 96 minutes with one vehicles seen to wait for nearly 2.5 hours at one point.

Friday observations
During the Friday observations (a full 24 hours) 251 passengers were observed leaving in 160 vehicles, giving vehicle occupancy of 1.6 persons per vehicle – moderate. 68 vehicles left empty (30%), with 13 passengers having to wait for a vehicle to arrive.

Passenger waits occurred in the 11:00, 13:00, 14:00, 17:00, 21:00 to 23:00 and 02:00 hours. In most cases the wait was just one minute, but there was one case of a four minute and another of a three-minute wait.

When averaged over all passengers, the wait was an average of just four seconds.

In passenger terms, flows were between two and 10 from 07:00 until the 12:00 hour. After this, flows were between 10 and 21 up until the 20:00 hour. The 21:00, 22:00 and 23:00 hours were busier with 27, 35 and 27 passengers respectively. After this flows dropped until the 04:00 and 05:00 hours were quiet.

Average vehicle waiting times for fares were much less than on the Thursday. However, there were still longest waiting times up to an hour, and beyond this from 23:00 onwards.

Saturday observations
During the Saturday observations (which also covered a full 24 hours) 284 passengers were observed leaving in 150 vehicles, giving vehicle occupancy of 1.9 persons per vehicle – high. Some 68 vehicles left empty, 31% of those arriving. No passengers had to wait for a vehicle to arrive.

In passenger terms, flows again were low, between one and eight, in the hours from 07:00 through to 12:00. After this flows were between eight and 19 until the 17:00 hour which saw a peak of 33 passengers. The rank increased in patronage with the peak of 50 seen in the 23:00 hour. Flows were very low from the 02:00 hour onward although only the 04:00 hour saw no passengers at all.

Average vehicle waiting times for fares were between once again extended with some vehicles waiting quite long times before obtaining a fare.

Sunday observations
During the Sunday, 39 passengers were observed leaving in 23 vehicles, a moderate occupancy of 1.7 per vehicle. 24 vehicles, 51% of those arriving, left without passengers. No passenger arrived when there was no vehicle available to service their needs.

Overall passenger flows were between one and nine – with no passengers in either the 06:00 or 09:00 hours. Vehicles again waited quite long times to obtain fares.

Summary
Overall, service to this rank is **fair**.

Boots
This rank is located outside Boots on the northern side of Warwick Street just east of The Parade. It was observed on Saturday 7th November 2015 from 09:00 through to 09:00 on the Sunday morning.

During this period there were just two passengers observed, leaving in the same vehicle. A further six vehicles left empty (86%). No passengers ever arrived when no vehicles were there. Vehicles did not tend to wait at the rank long.

Summary
This rank is not really used and no service level can be sensibly given.

Copper Pot
This rank is directly outside this bar / club and vehicles load from the passenger side. It is on the northern side of Warwick Street but on the eastern side of the Parade rather than on the West as the Boots rank is. The nearby road is quite busy so it would not be safe for any driver side loading. The rank is also near the access route to the Smack night club rank and is often discouraged from being used by marshals as movements from this location towards the Smack rank can be dangerous. Unlike the following ranks that are very closely allied to single clubs, this rank is much more central to overall night life in the central Leamington area.

The rank was observed on two nights – Thursday 5th November 2015 from 20:00 to 05:00 and on Saturday 7th November 2015 from 20:00 to 06:00.

Thursday observations
On the Thursday a total of 92 passengers used this rank, leaving in some 37 vehicles, a very high occupancy of 2.5 people per vehicle. A further 38 vehicles – just over half of those serving this location left empty. During the course of the observations no passenger ever arrived when there was no vehicle available for immediate hire.

In passenger terms the rank was only used in the hours starting from the 22:00 hour and ending in the 03:00 hour. The peak flow – of some 47 passengers – was in the 02:00 hour. The occupancy of vehicles leaving at this time was incredibly high – 3.6 persons per vehicle suggesting groups leaving together.

Vehicle waits for passengers were relatively long early on, but much less in the peak hour and afterwards. Some vehicle waited here up to 51 minutes for a fare.

Saturday observations
On the Saturday a marginally higher 120 passengers left the rank, using 55 vehicles, a relatively high occupancy of 2.2 per vehicle. A smaller level of vehicles left empty – 40 vehicles or 42% of those arriving. There were two passengers who arrived when no vehicle was immediately available. One waited 12 minutes in the 04:00 hour whilst another waited just two minutes in the 05:00 hour. Averaged over all passengers, the average typical wait was just seven seconds.

On this night, every hour observed saw passengers use the rank. Flows were often between one and six, but the 22:00, midnight, 01:00 and 02:00 hours all saw between 16 and 30 passengers with the peak observed in the 02:00 hour, after which the rank became quieter but still saw some activity – and leading to the two passenger waits that were observed.

When passenger numbers were low, the average vehicle wait for them was quite high. When the rank became busier, vehicle waits fell to between five and ten minutes and a maximum wait of 35 minutes (at the end of the busy spell).

Summary
Overall service to this rank is **good** and it is clear that people expect to obtain a vehicle from this location (hence the willingness to wait here for 12 minutes).

Leamington Club focussed ranks

There are three ranks in Leamington which focus very much on the exits from three specific clubs. One of these has changed its name since the formal internet listing. All are very dependent on the activity at the specific clubs which they service.

The Assembly (Spencer Street)

This rank services The Assembly in Spencer Street. Although not far away from the main traffic junction at the lower end of Leamington Parade it is almost exclusively dependent on the clientele from the one club. The rank is in two parts right outside the club exit, and loading would be from the passenger side. The nearby road is very busy and driver side loading would be dangerous.

This rank was observed on Friday 6th November 2015 from 22:00 through to 04:00 and again on Saturday 7th November 2015 from 19:00 through to the 23:00 hour. From midnight onwards, data from the site was lost due to equipment issues (the memory card used to collect the data failed) although there was some activity before that time which was analysed.

Friday observations
On the Friday 74 passengers left in 32 vehicles, a relatively high occupancy of 2.3 people per vehicle. A further 69 vehicles, 68% of those servicing this point, left the location empty. One person in the 03:00 hour had to wait just a minute for a vehicle to arrive.

Passenger flows began at midnight and ended in the 03:00 hour. The peak flow was 32 in the 03:00 hour. Some vehicles did wait here for passengers although the wait time was reduced for the peak hour.

Saturday observations
On the Saturday, seven people used the rank in the 23:00 hour (earlier than on the Friday). They left in just two vehicles – a very high occupancy of 3.5. The vehicles servicing them did not wait long possibly suggesting these might have been booked trips. None of the passengers arrived when there was no vehicle available for hire. No further information was available from this site on this evening.

Summary
Service to this rank is **good** although it is clearly linked strongly to the club operating hours and days.

Rio's, Bedford Street

This rank is at the rear of many of the shops on the Parade but only accessible from Rio's club. It is directly outside the exit of the club towards the bottom end of the Parade. Passenger loading would be from the driver side of the vehicle although loading from both sides would be relatively safe as the road sees relatively little traffic.

The rank was observed from 21:00 on Thursday 5th November 2015 through to 05:00 the next morning and then again from 22:00 on the Saturday 7th November through to 06:00.

Thursday observations
No passengers were observed at all during the Thursday observations and just two vehicles so it is assumed that the club was not operating that night.

Saturday observations
During the Saturday a total of 52 passengers left in 29 vehicles, a high occupancy of 1.8 persons per vehicle. A further 29 vehicles left empty (50%).

During the operating period some seven passengers arrived when there were no vehicles at the rank. The longest wait was 17 minutes in the 02:00 hour, with just one person waiting in the midnight hour for four minutes, and others waiting other lengths of time in the 02:00 hour. When the total waits are shared out between all passengers using this site this night, the average typical wait was 46 seconds.

Passenger flows started at three in the midnight hour and rose to a peak of 34 in the 02:00 hour, dropping back to five and then zero in the 04:00 hour onwards.

Corresponding vehicle waits for passengers tended to be relatively short, in the order of one to seven minutes, though one vehicle was observed waiting a maximum of 16 minutes.

Summary
Overall, service to this rank is fair, though very dependent on this one location.

Smack, Tavistock Street

This rank is directly outside the exit from Smack (formerly known as Sugars on the internet listing). This club is one of the main student outlets servicing Warwick University students. It is located on Tavistock Street towards the top end of the Parade. Loading is from the driver side of vehicles although a false one-way does allow vehicles to leave the location without having to turn round – though many still u-turn which can lead to safety issues here. We also understand that one of the key nights for this establishment is Tuesdays, but the club also opens Thursdays to Saturday nights, but not necessarily every week.

The rank was observed on Tuesday 15th December 2015 from 23:00 until 05:00, on Thursday 5th November 2015 from 20:00 to 05:00, on Friday 6th November 2015 from 22:00 to 06:00 and finally on Saturday 7th November 2015 again from 22:00 to 06:00. It is accepted that the Tuesday night would likely be a peak of peaks but it was felt important to understand how the rank performed at its busiest. We were also later advised that most students had in fact returned home by this date so the results are felt to be inaccurate – with the next possible date for 'typical' usage by students considered by the Council to be mid-October 2016. During none of the observations were any passengers ever seen to have to wait for a vehicle to arrive – in fact in many cases vehicles appeared to be waiting here for passengers for some while (see below for individual days).

Tuesday observations
On the Tuesday evening (into the early hours of Wednesday) some 161 persons left using this rank in 59 vehicles – a very high occupancy of 2.7 persons per vehicle. Passenger numbers were light in the midnight and 01:00 hours and rose to the peak of 105 in the 03:00 hour, with 16 leaving in the 04:00 hour after which the site became quiet.

We were advised by those watching the location that passengers had plenty of vehicles to choose from. No passengers ever waited for a vehicle to arrive, but a large number clearly moved between vehicles. They told us they were negotiating prices and availability of a vehicle to take them. None appeared to end up without a vehicle although this was difficult to tell with some clearly going to nearby food outlets as their first port of call, mainly returning to a vehicle later. There was no clear rank protocol in people taking the first vehicle available at all.

On first presentation of these results to the Council we were advised that the main student body had all returned home by the time this survey was undertaken. This set of results are therefore considered not to be a true reflection of the Tuesday night demand here – with the next likely true date now mid-October 2016.

Thursday observations
On the Thursday, first departures were in the 01:00 hour with a peak of 24 in the 02:00 hour and 11 in the 03:00 hour. A total of 40 passengers left in 12 vehicles – an incredibly high occupancy of 3.3 per vehicle. 15 vehicles (56%) left the area empty. Although most vehicle waits were short there were some vehicles appearing to wait some while. There were no passengers in any other hour observed.

Friday observations
On the Friday some 34 passengers left in 13 vehicles, again a very high occupancy level of 2.6 per vehicle. 13 other vehicles, 50% of those arriving, left without passengers. Passenger flows were much lower, with 10 in the 01:00 hour, 13 in the 02:00 and 10 again in the 03:00 with no other passengers observed apart from one person in the 22:00 hour. Again vehicle waits for fares were relatively short apart from some vehicles which appeared to arrive in the 23:00 hour and wait to return.

Saturday observations
On the Saturday just nine passengers left using four vehicles, still a relatively high occupancy of 2.3 per vehicle. Just one other vehicle left empty – 20% of those observed. There were two passengers in the 02:00 hour and the balance of seven in the 03:00 hour. Vehicle waits were just six to ten minutes.

Summary
Overall service to this rank is **excellent**. Whilst all vehicles observed were hackney carriages from the Warwick district, it is not clear how many were booked repeat journeys and how many were speculative waits – some of the evidence of vehicles waiting does suggest some might be booked return trips. It is also still unclear what a typical 'student Tuesday' might look like since our observations, which showed very high demand, were inaccurate as students had ended their term, yet were still very much higher and different to the other three nights observed which were within term time.

Lower Parade – near Vialli's
This area of Lower Parade has several bus stops and food establishments. It is also just north of the gyratory servicing the station and fairly close to one of the night clubs that has its own rank. However, it is a key location where people gather wanting to get home. A two space rank was established here in November 2004. It operates from 20:00 until 05:00 and is not currently on the internet listing of ranks.

The location was observed from 21:00 on Friday 6th November 2015 right through to 04:00 on Saturday 7th November. Hackney carriages were observed waiting through the entire period. However, one person did have to wait 11 minutes for a vehicle in the midnight hour. In total some 35 passengers left the area in 18 vehicles, an average occupancy of 1.9 per vehicle. 80 hackney carriage vehicles, some 82% of those arriving, left the area empty.

Summary
This rank sees **fair** service and is probably a pausing point for vehicles generally heading towards the other night ranks more towards the centre of Leamington. Given the relatively low demand it appears to have about the right capacity although with just two spaces and being near both bus stops and a busy junction corner, any over-ranking could have serious effects. Were there issues later on, once buses stopped running, consideration could be given to making the bus stop beyond a part time location perhaps after midnight. This is not necessary on the present evidence, however.

Abbey End, Kenilworth
This rank is located on the off-side of a separated carriageway to the north end of the Kenilworth shopping area, with the opposite side being bus stops. Passenger loading would be from the driver side although only a small number of buses use the stops allowing potentially safe access for passengers from either side of the vehicle. However, it is necessary for any passenger either to cross the main road, or the bus / taxi traffic lanes to access the rank itself.

There is a Holiday Inn opposite the rank and the bus stops / ranks also service a shopping area, albeit to the northern end of the main shopping area and some distance from the main supermarket in the town.

The rank was observed on Friday 6th November from 08:00 until midnight. During this period a total of 92 people were observed leaving in 43 vehicles – a relatively high occupancy of 2.1 persons per vehicle. A further ten vehicles, 19% of the total arriving, left empty. During the observations just two people were observed waiting (together) four minutes for a vehicle to arrive.

Passenger flows at this location were generally as expected, very low. During daytime hours there was only one passenger, in the 10:00 hour. This vehicle had waited ten minutes before obtaining a fare. One vehicle was observed pausing at the rank in each hour until the 16:00 hour but all others left without passengers. In the 16:00 hour two people arrived and left in one vehicle after the four-minute wait. There were a few more passengers from the 18:00 hour onwards. Between that hour and the 22:00 hour there were between three and nine passengers in each and every hour. Vehicles tended to wait around the rank at this period – some for extended times with a small number leaving empty.

The peak hour at the rank was the 23:00 hour when some 64 people left in 26 vehicles – and just one vehicle left without passengers. None had to wait for a vehicle to arrive and vehicles tended to wait around for some six minutes.

Summary
Overall service to this rank is **good** although it is clearly only used in evenings when there seems to be more customers around – and not at all in the daytime.

Warwick - Costa
This rank is located outside the Costa coffee shop in the centre of Warwick. The rank is a unique arrangement within the District, being reverse on, drive-off parallel bays. This leads to interesting and potentially dangerous movements of vehicles to be in the right place for passengers to hire them. The general road area is relatively quiet although all passengers have to enter the vehicles from the roadside in one way or another. There is little additional space for extra vehicles to wait.

The location was observed from 11:00 on Friday 6th November 2015 until 02:00 on the Saturday morning, and again from 07:00 on the Saturday morning until 18:00 that evening.

Friday observations
During the Friday some 122 passengers left the rank using 59 vehicles – a relatively high occupancy of 2.1 per vehicle. Just nine vehicles left without passengers – 13% of those arriving. There were two people who had to wait for a vehicle to arrive in the 01:00 hour, waiting up to two minutes. When shared over all passengers, this average wait was just six seconds.

Passenger flows at this location were only two to four per hour between 12:00 and 20:00 hours. After this, flows increased to a peak of 42 in the midnight hour, after which they dropped again to just 10. Vehicles tended to wait long periods for fares, and then ended up leaving when flows increased.

Saturday observations
On the Saturday just 40 passengers used the rank leaving in 17 vehicles- a very high occupancy of 2.4 persons per vehicle. 12 – some 41% of those arriving - left the rank without passengers.

Passenger flows again did not begin until the 12:00 hour with just a few vehicles arriving and departing empty in those hours. Flows were generally between four and eight in the observed hours from 13:00 to the 17:00 hour, but there was a peak of 15 people in the 16:00 hour. In the 14:00 hour one person waited ten minutes whilst in the 16:00 hour one person waited seven minutes. Shared over all the passengers using the rank, the average wait was 26 seconds.

When the rank was active, vehicle waits tended to be between one and 23 minutes for fares.

Summary
The overall service summary for this rank is a **good** service. In a similar manner to Kenilworth the rank has specific periods when it is used – principally afternoons and evenings.

Informal rank – Leamington
We were advised at inception of an area in Leamington Spa where hackney carriages tend to pick up informally near to one specific location.

Near Moo Bar (Russell Street)
This location is near to the Smack rank but in a parallel road not easy to get through to the other rank from. This location was observed on Friday 6th November 2015 from 22:00 until 01:00. During that period five hackney carriages were observed pausing briefly but not taking any passengers.

Further observations on the Saturday night, from 22:00 again to 01:00, saw nine people leave the area in four hackney carriages. This is a relatively high occupancy of 2.3 per vehicle. A further 15 vehicles were observed pausing in this area for short periods. One person had to wait two minutes to obtain a vehicle – which could be a booking.

Summary
There is no valid service level for this location although it is clear that it is a location people do meet with hackney carriages although not to any significant extent.

Private ranks – Chiltern Railway stations
There are two private ranks within the Warwick District. Both are located at Chiltern Railway operated stations.

Warwick Parkway
This rank is located on Chiltern Railways land immediately outside the booking office of the station. It did not prove possible to find a location for any camera to watch the actual rank, so records were made of hackney carriages arriving and departing from the location.

Records were taken from 07:00 on Friday 6th November 2015 until 01:00 the next morning. During this time 64 hackney carriage vehicles serviced the area, waiting between two and 21 minutes before leaving. Peak departures were eight in both the 14:00 and 15:00 hours, with no departures between 20:00 and 23:00 hours, but two in the midnight hour. There were flows in all other hours from 07:00 to 19:00 but varying from one to seven (other than the two peaks).

Summary
As this is a private rank, with supplementary service rules outside the control of the Council, it cannot be included in the ISUD calculation nor is it appropriate for any service level indicator to be given.

Leamington Spa Station
This rank needs a supplementary permit from Chiltern Railways, currently paid on a per-driver basis. It is located immediately outside the station exit, providing double-banked waiting space and some feeder space the other side of the station exit (although there are potential issues here clashing with other vehicles). The location was observed on Friday 6th November 2015 between 06:00   through to 02:00 on the Saturday morning. During this period, some 349 people left the rank in 243 vehicles – a low average of 1.4 persons per vehicle. A further 118 vehicles left the rank without passengers (a third of those observed).

During the course of the day a total of 42 passengers ended up waiting for vehicles to arrive. The longest wait was two people up to 16 minutes in the 16:00 hour. The most people waited in the 09:00 hour, when 15 people had to wait – with one waiting six minutes. Overall all passengers during the period observed, the average expected wait was 33 seconds.

Passenger flows at the station varied between two and 35. The peak flow was in the 23:00 hour. Two other hours saw 30 passengers each – the 08:00 and the 20:00 hours. 09:00 and 19:00 were the only other two hours with passenger numbers in the twenties.

Average vehicle waits were between three and 47 minutes. Longest waits were just under an hour apart from a vehicle waiting just over an hour which arrived at the end of the 23:00 hour.

During the course of a January 2017 visit to the client, arriving half way through the peak 08:00 hour, we observed no hackney carriages available at this rank and several people waiting. Whilst observing how long it might be before a vehicle arrived, two passengers approached us to ask where they could obtain hackney carriages. On advising them one would come to the rank shortly, they walked back to the rank and a vehicle did arrive almost immediately. This suggests it may be prudent for the council and Chiltern to agree some provision of signing at this rank which mentioned the possibility of delays and a need to wait for vehicles to reduce passengers potential concern levels.

Summary
Overall, service to this rank is **fair**

Overall comments on rank performance and adequacy
Generally, performance and behaviour of both drivers and passengers at ranks in the Warwick District area is very good, with a few key exceptions:
- Operation of the Warwick Costa rank – needs significant thought arising from the need to reverse and the method of moving between spaces
- Hamilton Terrace – needs extra space to rear for feeder at busy times to ensure sufficient vehicles available
- Smack – need to discourage lack of use of the false one-way and also stop any cherry picking of fares from this location

The private ranks are not the responsibility of the Council although the only issue arises from shortage of space at Leamington Spa station which can cause issues at some points with other traffic there.

Comparison of overall supply and demand

The Table below provides a slightly different summary of supply and demand, comparing average vehicle arrivals per hour with average loaded departures per hour, i.e. seeing how supply and demand match on average.

Rank	Period	No of hours rank active	Average veh arrivals / hr	Average loaded dep/ hr	Overall judgment of service provided
Leamington Spa Ranks					
Hamilton Terrace	Thursday 5th Nov	12	10	6	Fair
	Friday 6th Nov	20	11	8	
	Saturday 7th Nov	22	10	7	
	Sunday 8th Nov	8	4	3	
Boots	Saturday 7th Nov	1	7	1	N/A
Copper Pot	Thursday 5th Nov	6	13	6	Good
	Saturday 7th Nov	10	10	6	
The Assembly	Friday 6th Nov	4	25	8	Good
	Saturday 7th Nov	1	14	2	
Rio's	Thursday 5th Nov	0	0	0	Fair
	Saturday 7th Nov	4	15	7	
Smack	Thursday 5th Nov	3	9	4	Very good
	Friday 6th Nov	4	7	3	
	Saturday 7th Nov	2	3	2	
	Tuesday 15th Dec	5	14	12	
Vialli's	Friday 6th Nov	7	14	3	Fair
Kenilworth Rank					
Abbey End	Friday 6th Nov	8	7	5	Good
Warwick Rank					
Costa	Friday 6th Nov	14	5	4	Good
	Saturday 7th Nov	6	5	3	
Informal Rank					
Moo Bar	Friday 6th Nov	0	0	0	N/A
	Saturday 7th Nov	2	10	2	
Private Ranks					
Warwick Parkway	Friday 6th Nov	14	5	5	N/A
Leamington Spa Station	Friday 6th Nov	21	17	12	Fair

Twelve different ranks or locations were observed. Of these, none were really active 24/7. The closest two locations to 24/7 operation were Hamilton Terrace and Leamington Spa Station. Three ranks were directly related to specific club operations.

A total of 23 locations / days were observed. When ranked by passengers per hour just two of these observation periods had an average active level of passengers per hour of 12 persons. The next highest usage, at two locations was eight. Two observation periods had no passengers at all.

All observations sets with passengers always had a significant level more vehicles available than passengers – which when occupancy is allowed for suggests a high level of excess vehicles for the demand available. There is even more than enough available for the high peak just before Christmas at Smack.

Overall service levels to ranks tends to be between very good to fair – with quite a number of locations seeing good service to customers. Interestingly one of those with poor service is the Leamington Spa station rank where there is quite a bit of waiting by customers – which may relate to less vehicles being available arising from the permit system. It may also relate to peaks caused by train arrivals.

Summary of Total demand
The table below calculates a typical week from the observations undertaken in 2015. Ranks or pick-up locations are listed in descending order of passenger usage in 2015.

Rank	Passengers per week 2015 survey
Private – Leamington Spa Station	2269 (38%)
Leamington, Hamilton Terrace	1120 (19%)
Warwick, Costa	804 (13%)
Leamington, Copper Pot	456 (7.6%)
Private – Warwick Parkway	450 (7.5%)
Kenilworth, Abbey End	368 (6.1%)
Leamington, Smack	244 (4.1%)
Leamington – Vialli's	105 (1.8%)
Leamington, The Assembly	81 (1.4%)
Leamington, Rio's	52 (0.9%)
Leamington, Boots	24 (0.4%)
Leamington – informal – Moo Bar	14 (0.2%)
Total	***5,986***

Note – Total includes all observations at relevant points as available, factored to full week from detail available.

The table above shows that the Leamington Spa station rank is the dominant rank in the area – providing some 38% of all demand in a typical week. Second is Hamilton Terrace providing 19%. The Warwick rank provides 13% of passengers. All other ranks provide 7.6% or less in demand terms. Warwick Parkway provides around 7.5% (this might be an underestimate) as we could not record actual passenger departures), with the general night Copper Pot rank taking 7.6%. With the Friday night peak, Abbey End at Kenilworth is next, taking some 6.1% of total passenger demand.

Smack dominates the club demand, although this estimate is possibly on the high end due to the date of the Tuesday observations – which are the main provider of demand at this point.

The rank at Vialli's does provide more than the other two formal club ranks – 1.8% compared to 1.4% for The Assembly and 0.9% for Rio's.

The total passengers estimated in a typical week is just 5,986. Using the average occupancy of 1.8 per vehicle, this equates to 3,326 jobs per week from ranks. With 212 plates sharing equally this would be just 15 jobs per vehicle per week from ranks.

Plate activity levels
A sample of plate numbers were collected during the rank surveys to identify the level of activity of the fleet during the survey. Observations covered each part of the area near to key ranks (but not at the ranks) – covering a total of 8.5 sample hours ranging from 12:00 to 02:00. This included samples in Kenilworth and Warwick as well as around Leamington Spa.

These observations were collected on the Friday of the rank survey work and a total of 417 records were observed. Of these, 133 were identified as different Warwick hackney carriage vehicles. This is 63% of the 212 vehicles active at the time of the survey. This seems a reasonable level allowing for other vehicles not working, but not as high as to suggest any significant playing up to the survey by the trade.

The most frequently seen vehicle was observed 11 times, three vehicles were observed 9 times, two eight times, two vehicles seven times, twelve six times, six vehicles were observed five times, and the remaining 107 vehicles four times or less.

Application of the ISUD index
The industry standard index of significant unmet demand (ISUD) has been used and developed since the initial Government guidance that limits could only apply if there was no significant unmet demand for the service of hackney carriage vehicles. Initially developed by a university, it was then adopted by one of the consultant groups undertaking surveys, developed further by them in the light of various court challenges, and most recently adopted as an 'industry standard' test utilised by most current practitioners of unmet demand studies.

The index is principally used to identify a statistical guide if observed unmet demand is in fact significant. Early in the process of developing the index, a cut-off point of 80 was identified beneath which no conclusion of unmet demand being significant had been drawn, and over which all studies had concluded there was significant unmet demand. This level has become accepted as the guide.

Once unmet demand has been identified as significant it is usual for a calculation to be undertaken to identify the exact number of new licences needed in order to reduce the significance of the unmet demand below the threshold – although this cannot be an exact science in terms of outcomes due to the high number of parameters involved in determining where new licences actually end up working – there is no way to guarantee that licences will focus on reducing the unmet demand at all.

The ISUD calculations draw from various elements of the work, reflecting statistics which seek to capture components of 'significant unmet demand' although principal inputs are from the rank surveys, factored to produce a typical week of observations based on the knowledge available to us.

The current index has two elements which can negate the need for use of the index by setting the value to zero. The first test relates to if there are any daytime hours (Monday to Friday 1000 to 1800) where people are observed to queue for hackney carriages. Using the direct outputs from the survey a value of 23% is estimated.

The other index that could be zero – proportion of passengers in hours in which waits occurred which was over 1 minute – was 4.5%.

The seasonality index is 1.0 since the surveys were undertaken in November 2015.

The area exhibits peaked demand, so this factor is 0.5.

Average passenger delay in minutes across the whole survey is 0.05 minutes (or 3 seconds).

From the public attitude work, the latent demand factor is 1.028, assuming all who did not give an answer had not ever given up waiting – i.e. there were no hackney carriage relevant responses.

The ISUD index is the multiple of all the above. Using detailed numbers (but then rounding) the calculated value is 2.66. This is well short of the cut-off value of 80 suggesting there is no unmet demand in the Warwick area which is significant at this point in time. This result takes on board both patent (measureable) and latent demand. This needs to be considered with other evidence to understand the right course of action with plate numbers but it is unlikely that this guide value would be reversed by other evidence.

Further discussion occurs below to make use of this information in the decision regarding the significance or otherwise of unmet demand.

Summary of incidence of unmet demand
Unmet demand is defined as any time when a passenger arrives at a clearly designated rank location and finds there is no vehicle available for immediate hire. Patent unmet demand occurs at ranks which regularly see vehicles so that the passenger eventually leaves in a hackney carriage.

Latent unmet demand is signified when a person either chooses to walk off before a vehicle arrives, or when they use a location which is marked but which rarely sees vehicles, so again they walk away. This is captured principally in the public attitude on-street interviews.

Unmet demand observed in this survey occurred both in off peak hours (where any people having to wait for any length of time is counted towards the significance of the unmet demand). In this survey, off peak hours saw patent unmet demand at Hamilton Terrace in the 11:00, 13:00, 14:00 and 17:00 hours on the Friday of the survey. Abbey End, Kenilworth saw one incidence in the 16:00 hour on the Friday. There were more instances at Leamington Spa station on the Friday in the 11:00, 13:00, 15:00, 16:00 and 17:00 hours, but these could not be included in the ISUD calculation as there is a supplementary permit fee and restriction on vehicles that can service this rank out of the control of the local authority.

In terms of other hours when there was unmet demand that resulted in an average waiting time for passengers in the hour over a minute, there were nine incidences during this survey. Hamilton Terrace saw incidences in the Thursday observations in the 01:00 and 02:00 hours (early Friday morning), the Copper Pot rank saw issues in the 04:00 and 05:00 hours in the early hours of Sunday, Rios similarly in the midnight and 02:00 hours, Kenilworth Abbey End (the same 16:00 hour as above) and Costa, Warwick on Friday in the 11:00 hour and Saturday in the 14:00 hour. In total, 58 people arrived when no vehicle was available.

As in the off peak sample, Leamington Spa station saw four hours where average passenger waiting exceeded a minute, but only one of these hours was also an off peak hour. Again, these cannot be included in the ISUD calculation.

Overall, though the above seems to be a large amount of unmet demand, in reality the actual extent and numbers involved were relatively small and the ISUD calculation confirms these are not significant. Whilst the trade may be able to give clear reasons for these incidences, and possibly react to improve service, the overall level is not such that the council is required to take any action whatsoever. The ISUD index is a long way from the point at which this would be considered significant.

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4.   Public Consultation results

A thirteen question survey was undertaken with 250 persons in the Warwick District Council area. Surveys were undertaken on Thursday 29th October in the shopping areas of Kenilworth, Leamington, South Leamington (near student accommodation) and Warwick. Responses were mainly from those available during the day time, following standard practise for these interviews. The Table in **Appendix 3** summarises the overall responses.

47% of those interviewed had used a licensed vehicle in the Warwick District Council (WDC) area in the last three months, a moderate level of recent usage. Values were between 31 and 53% across the areas with the lowest value in the South Leamington area and the highest in Warwick.

Of the respondents who told us they had used a licensed vehicle recently, 54% said how often they used a licensed vehicle. We have assumed the remaining non-respondents do not use licensed vehicles and calculated the average level of licensed vehicle trips per month. On average, there are 1.6 person trips by licensed vehicle per month based on these assumptions, again a moderate level. The level of usage varies from 0.7 in Leamington through 1.4 in South Leamington to 1.7 in Kenilworth and up to 2.0 in Warwick (this value is for hackney carriage and private hire together).

58% of interviewees told us how they obtained licensed vehicles in the Council area. By far the highest percentage got taxis by booking them by telephone (44%), followed by mobile or smart phone (18%), with the total by phone methods being 63%. 33% said they got them from ranks (quite high) and 1% said their normal method was hailing. The final 3% said they used online or internet methods to obtain their licensed vehicles.

For this sample, rank usage was highest in Kenilworth and lowest in Leamington – seemingly perverse given the spread of ranks. Second highest rank usage was for those interviewed in South Leamington. However, overall the level of interest in answering this question was not high.

The use of phones was queried further, seeking to understand the companies that people used. Across the full survey some 193 different mentions were made of a total of 36 different companies (some were corruptions of the same name). These suggestions were made by a total of 100 people – of which 55 were in the Warwick sample. Of all the mentions, just six companies obtained more than 5% of mentions. The top two companies obtained between 27% and 14% - and both were most used in Warwick. Some hackney carriage companies were named, but none got more than three references.

Considering how many people quoted more than one company, Warwick again had the strongest response with 24 people quoting three companies there. The dominant response however was 38 people who quoted just single names. Overall there is a very high level of competition and very little brand loyalty with specific parts of the trade. In summary – the licensed vehicle trade in the area is very disparate although it is clear that private hire companies dominate the minds of those seeking to book vehicles rather than hackney carriages doing this. It also suggests there is a lot of niche market operation in this area – with large numbers of people 'doing their own thing'.

A set of questions were then asked relating specifically to use of hackney carriages. 70% of those questioned provided hackney carriage usage frequencies. Of these, 38% in fact said they could not remember when they had last used a hackney carriage. 26% said they could not remember seeing a hackney carriage in the area. The resulting level of trips per person per month was just 0.6 on average – very low. South Leamington claimed no real usage of hackney carriages on this measure. Highest values, of 1.0, were for Kenilworth and Warwick with just 0.2 for Leamington. The overall value compared to total usage of licensed vehicles gives a slightly higher estimate of hackney carriage usage – about 38%.

People were asked to name all the rank locations they were aware of in the Council area and if they used the locations they named or not. Of the 229 different mentions given, there were 23 different names (some of which are the same location, e.g. train station, Leamington station). Two people said they were aware of the rank at Birmingham Airport – not in the Warwick district.

From within the area, the top four ranks (adding some where the location was mentioned by different names) were Leamington Station (36%), Hamilton Terrace (21%), Warwick (14%) and Kenilworth (10%). Interestingly the top three ranks are in the same order as the rank usage statistics – and the share of the total is remarkably similar for all three (38, 19 and 13% respectively). The ranks in Kenilworth and Warwick were both only named by those in their particular area. A number of other locations were mentioned including some of the night club ranks. The private hire office at Warwick station was considered to be a rank, and obtained 5% of responses.

When asked about new locations, the whole sample provided just 16 mentions, by the same number of people, which covered eight different locations. The largest number of people – four – sought a rank at Shire Hall. Two supermarket locations were mentioned, as was a rank for M&S (Leamington). None of these are significant and generally show satisfaction with the provision of ranks in the area at the present time.

In terms of problems with the local hackney carriages service there were 63 people who responded (25% of the total). Just two gave two responses giving a total overall of 65 responses on issues.

Of these, the largest proportion had issues with delay getting a taxi (29% but mainly in Kenilworth and Warwick). 20% had driver issues (mainly in Warwick), 18% had issues with position of ranks (nearly all Warwick) and 17% said other but only one specified what that issue was. 58% of all issues were recorded in Warwick, with Leamington (the main location for hackney carriages) having least issues.

In terms of what might make people use hackney carriages more, there were more responses – some 180 from all the respondents. There were a total of 163 people responding, with 17 people giving two responses. Warwick surveys provided a very high response rate.

As is normal in these surveys, the bulk of those who said 'other' said they would use them more if they were cheaper. This accounted for 52% of the responses. This response was across all four areas. The next highest response – 19% was 'better drivers', with 11% saying more hackney carriages they could hail (mainly for Kenilworth and South Leamington and none from Leamington where hackney carriages and ranks work more). Better vehicles scored 9%, with other responses 4% or less.

People were asked if they or anyone they knew had a disability needing either a wheel chair accessible vehicle (WAV), or a vehicle adapted in some other way. 75% of those interviewed responded. On average 87% said they did not themselves need, or know anyone who did need an adapted vehicle (a slightly lower than normal response). Of the total respondents, 3% said they would need a WAV, 6% said someone they knew would need a WAV and 2% said a differently adapted vehicle, not WAV (for either themselves or someone they knew). This tends to suggest people favour WAV in this area even though the current offer is a mixed vehicle fleet.

Of those answering if they had ever given up waiting for a hackney carriage, nine people said they had. Two locations given were outside the Warwick boundary (Coventry and Warwick University), whilst six responses were at Abbey End, Kenilworth. Overall, the total number giving up at relevant Warwick District locations was seven, giving a latent demand factor for ISUD purposes of 1.028, quite low. The only other location mentioned was one person giving up at the Holly Walk rank.

51% said they had regular access to a car. Just 53% of those interviewed lived in the area although this was dominated by few of the Warwick sample actually being local. For the other three areas, between 86 and 88% of those interviewed were local.

Our gender sample saw marginally more men (51% compared to 50% in the 2015 census estimate). Our age sample saw very slight under-representation of the older group (31% compared to 34%), with almost exact representation of the middle group – 41% in both the census and our survey. The under 30 group was correspondingly over-represented (28% compared to 25%). This is a generally representative sample – even though the Warwick sample was mainly from out of the area.

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5.   Stakeholder Consultation

The following key stakeholders were contacted in line with the DfT Best Practice Guidance 2010:

- Supermarkets
- Hotels
- Hospital
- Pubwatch / night clubs
- Disability representatives
- Police
- Rail operators
- Other council contacts
- County council contacts

Specific comments have been aggregated below to provide an overall appreciation of the current situation, although in some cases comments are specific to the needs of a particular stakeholder. It should be noted that the comments contained in this Chapter are the views of those consulted, and not that of the authors of this Report. **Appendix 4** provides further details of those consulted. Information was obtained by telephone / email / letter as appropriate. Contacts were made with a selection chosen from an extensive list provided by the Council as well as by checking internet sources for other contact details or more detailed references.

The licensed vehicle trade consultation is the subject of the following chapter.

Supermarkets

Seven supermarkets were contacted. Three were too busy to speak with us. It was not possible to get any answer from another. One said their customers regularly used taxis (booking them through a Freephone with a named private hire company), another that only elderly customers used them (for whom the store would phone their preferred company if asked), and the third (in Whitnash) was not aware that any of its customers used taxis as they felt most were very local. Only one was aware of a nearby rank but did not think any of their customers used it. The only issue raised was that the booked vehicles often quoted shorter times than in actuality for arrival.

Hotels

Five hotels were contacted. Three did not respond in the time available. Both said their customers used taxis and that they would book them for the customer. Neither were aware of any ranks and the only issue one suggested was more vehicles available at weekends.

Restaurants / Night venues

Six different restaurants / cafes from across the area were contacted. All but one responded. One said their customers did not use taxis, one said only at the weekend, with the others all saying they did use them. Four said they would book taxis for customers by phone if asked, but many customers used their own mobile phones to make bookings. The two locations in Warwick were both aware of the rank there, the other locations were not aware of any ranks. Two said customers had not reported issues, the other two said the main issue was the time vehicles often took to arrive.

Three large entertainment venues were contacted. One refused to speak with us, another could not be contacted and the other said the entrance was too far away for them to know if customers used taxis or not.

Six public houses were contacted. Two were not contactable within the time available. The other four all said their customers did use taxis. Two would call if asked but felt customers usually called themselves. One (again in Warwick) said people would head to the rank there. Both this location and another in Leamington were aware of the ranks directly outside. Neither the Kenilworth nor Whitnash respondents were aware of any nearby ranks. Only one said their customers had any issue – which was mainly of the expense of the fares.

Five night clubs were contacted. In the time available for response, two replied to say their customers did use taxis. One said people called vehicles using their own mobiles. The others said people either called on their own mobiles or used the rank directly outside. Both were in fact aware of the rank outside their doors, and neither had received any complaints about the service received at all.

Hospitals

Warwick Hospital was contacted but no response was received despite several attempts to contact them.

Police

No police response was obtained during the time available for consultation for this survey.

Disability representatives

It did not prove possible to identify or contact any representatives of those with disabilities across the area. This is not unusual for surveys of this type given that our request for consultation is not statutory and given the current pressures on such organisations – whose contact details can also sometimes be hard to find or confirm. Further, we have often found that disability response timescales are usually very much longer than those for other stakeholders.

District Council representatives

The Safer Communities Manager from Warwick District Council told us they were concerned about public safety arising from the activities of hackney carriage and private hire vehicles late at night. They felt trade driving standards were very poor and that few drivers could readily be recommended for the service they provided. They felt many were turning down short journeys in favour of fares to the University. They felt few took proper advantage of the false one-way created in Tavistock Street meaning there were dangerous u-turns still occurring there whilst there were many people around the vehicles.

They felt there were too many hackney carriages competing for the trade on busy nights – but that it might be hard to provide sufficient taxi rank spaces in the right places to encourage safe operation.

Town and Parish Councillors

Contact was made with most local town and parish councils within the District. During the time available for response, three of the town and one parish councils responded.

One Town Council felt there were a large number of taxis for the size of the area. Key issues for them were the need for better information about the difference between hackney carriage and private hire services, clearer idea of potential fares, and need for better knowledge and ability of drivers to communicate with passengers.

Another Town Council welcomed the opportunity to contribute, but mainly gathered the views of individual members rather than any formal view of the Town Council. One person felt there were not enough formal ranks available, and that many drivers tended to refuse short journeys, dissuading higher levels of usage by doing so. One mentioned the issues that Warwick University has, particularly leaving female students vulnerable if they are refused a journey home. Another felt there were times when not enough taxis were at the ranks – particularly at school transport times and in evenings. There were also issues with discrimination against those needing assistance. They pointed out an issue with refusal of assistance dogs had been reduced by provision of appropriate training.

The third town council gathered comments from its members. One felt there needed to be better rank provision in Warwick but that the trade did not help in not supporting potential change. Another felt a better location was needed than the current one. Another felt that current gaps in service might be helped by some phone link provided near to the rank. They felt any regulation of hackney carriages would give private hire the advantage over them. Another felt extra provision was needed in other locations, though they did mention Warwick Parkway where there is a rank already.

Two representatives noted the main issues in terms of shortages of vehicles related to when they were undertaking school contracts. They felt the rank needed to be made safer – particularly citing issues with the present arrangement of needing to reverse every time a vehicle left and that drivers seemed to lack local knowledge. There was a feeling that vehicles left Warwick at night to service demand in Leamington, meaning people found it hard to get home after 23:00.

A parish council felt the invitation to comment did not provide enough information for them to form any judgment from. They felt that hackney carriage numbers should self-regulate to meet demand. They also felt that an inability to apply the same rules on vehicle numbers to both sides of the trade would limit any effectiveness of any action taken on the hackney carriage side. Overall they felt the mix of private hire and hackney carriage they were aware of was satisfactory. They expected a wide-ranging review would be undertaken with them, not just a general opportunity provided to make comment.

We also obtained a copy of the Taxi Survey undertaken by Warwick University Students Union. Information from this covers activity of both Coventry and Warwick licensed vehicles. This survey collected information over a two week period with 492 responses. It found that 74% of students did not know that refusal of a fare by a hackney carriage was illegal. 59% of respondents had been refused a taxi journey.

51% of these had been refused in Leamington. Reasons for refusal included too short a journey (56%) or not enough passengers (9%) though 15% were that the driver said they were 'too drunk'. One person said they had been refused a journey home from a Leamington club when they left early on their own. Some students living in Leamington student accommodation found it hard to get a journey home from central Leamington as they were told the journey was too short. The report provides lots of quotes of issues by students although it is difficult to make a strong case from this as these are not formal complaints and have been made in a specific context focussing on the issues rather than within a wider research context.

County Council representatives
A Warwickshire County Council (WCC) representative from their Transport Operations advised us that they source operators for their contracts from across the County not from specific licensing areas. Their contracts are county-wide and not district specific. Operators apply to be on their framework and once part of that then bid for work. The only specification made is the size of vehicle needed and / or need for specific accessibility criteria. There is no distinction made between hackney carriage or private hire.

They felt most hackney carriages which serviced ranks were not interested in being on the WCC contract as they felt it tied them up to specific times. They felt that 80% of work went to private hire vehicles.

Rail Operators

National statistics are publicly available showing the total number of entries and exits at each rail station in the United Kingdom. These numbers are calculated using ticket barrier and ticket issue information from ticket sales. The Table below shows information from 1997/1998 to date. The figures after the station name show the position in rank in terms of usage of English, Welsh and Scottish railway stations, with the smallest usage being the 2,533rd station and the highest being 1st in the list (Waterloo, London). Within the Warwick area there are five stations, Leamington Spa (247th), Warwick Parkway (748th), Warwick (817th), Hatton (2027th) and Lapworth (2099th).

Rail year (ends March in last yr. noted)	Entries / exits	Growth / decline
Leamington Spa (247th)		
1997 / 1998	740,719	n/a
1998 / 1999	881,209	+19%
1999 / 2000	872,105	-1%
2000 / 2001	921,999	+6%
2001 / 2002	964,259	+5%
2002 / 2003	999,111	+3%
2003 / 2004	Not collected	
2004 / 2005	1,198,749	+21% (2 yrs.)
2005 / 2006	1,220,031	+2%
2006 / 2007	1,326,763	+9%
2007 / 2008	1,400,832	+6%
2008 / 2009	1,767,556	+26%
2009 / 2010	1,772,398	+0%
2010 / 2011	1,856,378	+5%
2011 / 2012	2,014,910	+9%
2012 / 2013	2,097,938	+4%
2013 / 2014	2,241,038	+7%
2014 / 2015	2,315,836	+3%
Last three years (11/12 to 14/15)		+15%
Over full period		+213%

Since data began collection, rail patronage at Leamington Spa – the busiest station in the Warwick District - has increased 213% to well over 2.3 million entries and exits per year. Even the last three years have seen some 15% growth.

The internet-based Train Taxi guide correctly states there is a rank or cab office at Leamington Spa, Warwick and Warwick Parkway, and provides three numbers to use at Leamington if a booking is preferred. The three numbers for both Warwick stations are the same. None of the private hire operators quoted suggests they provide wheel chair accessible (WAV) services.

No comment was obtained from the rail operator.

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6. Licensed Vehicle Trade Consultation

Trade consultation

A letter was issued to all licensed drivers by the Council inviting them to complete a questionnaire about their current service to the public, and their views on the policy of limiting hackney carriage numbers. This letter was issued to all current drivers – all of whom have dual licences. All responses were returned to CTS using a freepost address provided by CTS, or returned using our on-line option.

Some 51 responses were received (10%), a very good response for this type of survey. If just hackney carriage responses are compared to the total number of hackney carriage vehicles, the response from hackney carriage drivers was 19%, very high.

76% said they drove a hackney carriage, 16% a private hire and 8% said they drove both kinds of vehicle. Although all driver badges are dual (but vehicle licences cannot be), 27% said they had a hackney carriage 'badge' but 69% said 'dual'.

79% owned and drove their own vehicles. 20% said someone else drove their vehicle – quite low. This is typical of an area where there is no limit on hackney carriage vehicles and where the vehicle licences are freely available.

Just 6% of respondents said they operated on a radio circuit whilst 94% did not. Only one respondent went on to tell us which circuit they worked on.

Those responding had, on average, been involved with the licensed vehicle trade as drivers for 12 years (but ranging from one to 40 years). They tended to work 5 days per week for an average of 34 hours per week (low). The range of days worked was between one and 7. The range of hours was from four to 80.

Drivers told us issues that affected when they chose to work. The largest proportion – 35% said they worked at busy times or when there was most demand. 13% worked around family commitments. Many other reasons were cited but few saw high response (the next highest was avoiding traffic congestion, 9% of responses).

There were 93 responses about the ranks used with many drivers telling us several locations. The strongest response was drivers telling us areas they worked rather than specific ranks. 30% of responses were 'Leamington', 14% 'Warwick' and 10% 'Kenilworth'. Several ranks were known by different names, with the main Leamington rank being called most different names (e.g. Police Station, Town Hall). Some specifically named night clubs.

There was a strong response about issues with ranks – 64% of these responses were that there were too few ranks and spaces available. No other issue was as strongly quoted – though 8% of responses did suggest need for stewards.

Of the 94 total responses about methods used to get fares, 44% were rank, 23% phone bookings, 14% hailing, 11% contracts with private companies and 8% school contracts. Many gave more than one response.

In terms of the limit policy, 79% said the current policy of not limiting should be overturned and a limit returned to hackney carriage vehicle numbers. Some responded to tell us how they thought this would benefit the public with most responses (35%) being it would help reduce public safety issues including tired drivers. It was also suggested it would help ensure clean, safe, well-maintained vehicles, reducing over-ranking and congestion and ensuring vehicles were always available at ranks.

Many comments were made. The bulk pointed out there were too many vehicles and that as more plates were issued, their work levels were reduced further. Another issue raised by many was a preference for the fleet to remain mixed between saloons and WAV style.

There was an early issue with use of the on-line response options but this was quickly resolved and overall we do not consider this affected overall response, which as stated above is high for this kind of survey.

7. Summary and conclusions

Policy Background

Warwick District Council is one of five districts within the County of Warwickshire. Warwickshire County Council has the highway and transport powers for the area and is therefore responsible for overall transport policy and provision of hackney carriage ranks (other than those on private land). The Third Warwickshire (County) Local Transport Plan (LTP) covers 2011 to 2026 developments and issues. The key reference in the LTP is that enhanced facilities will be provided for both hackney carriages (called taxis) and private hire at all public transport interchanges. This is particularly true for the proposed new station at Kenilworth (now expected to be in August 2017, with expected completion of construction by March that year) (Today's Railways Issue 172).

Relatively uniquely for a Shire County, Warwickshire County Council does have a 'taxi and private hire vehicle strategy'. This is, however, based on the 2004 Government Action Plan for taxis. Focus is on providing first and last stages of journeys as well as providing lower income people access they would not otherwise have and a better quality of life. Concerns include high cost of fares compared to public transport, the fact this varies across authorities within the County, the low level of vehicles meeting DDA requirements and the impact of rogue operations on overall reputation. There are four specific policies outlined with the County well aware it needs to work with the districts to implement these. A key issue is ensuring sufficient information is available and accessible.

Warwick District Council, along with all other English licensing authorities, retains the power to apply a limit to hackney carriage vehicle licences under Section 16 of the 1985 Transport Act and related law, but we have no record of this Council ever having applied that power. The authority was created on 1st April 1974 from two municipal boroughs, an urban and a rural district which in other areas has led to zone systems for hackney carriages but there is no evidence of this occurring in Warwick.

Statistical Background

DfT statistics show hackney carriages in the area have grown almost threefold between 1994 and 2016 whilst growth of private hire vehicles has been much less at 20%. This is typical for an area where there is no limit on hackney carriage vehicle numbers, although the encouragement to have wheel chair accessible (WAV) style hackney carriages can often reduce the growth – for which there is no evidence in Warwick. Most growth in hackney carriages was between 2005 and 2007. The overall licensed vehicle fleet has grown 80% since 1997. Hackney carriages are presently 54% of the total licensed vehicle fleet (they were 31% of the fleet in 1997).

All drivers are now able to drive either hackney carriage or private hire. Driver numbers have only grown 26% since 1997 – less than vehicle numbers – suggesting a reduction in any double shifting though the current driver ration of 1.31 suggests some may still occur.

A notable fact is the high number of private hire operators implying there is a high level of competition in this area and little dominance by any company. Another key fact is that the plate numbering system for both kinds of vehicle does not currently permit re-use of lapsed numbers, which artificially inflates the apparent numbers in service. At present, the highest hackney carriage plate is 250 though there are only actually 213 vehicles in service. The issue is worse on the private hire side where numbers start at 500 (which does not actually exist), there are 185 vehicles, but the highest plate number is presently over 1000. This can give a false impression of the fleet size.

The fleet has a relatively high level of WAV in the hackney carriage side, and around 2% in the private hire fleet. This is well above the average for England excluding London and excellent for a shire district authority.

Rank Survey results

A total of 252 hours of rank observation have been analysed to provide the database of information for demand for this study. The survey covers all ranks identified in the area including the two private rail station ranks operated by Chiltern Railways with requirement for a supplementary paid for permit. Surveys covered one full weekend with a supplementary night at the busiest night club on its busiest night (Tuesdays).

A total of 23 different rank locations / days were observed with just under 2,000 vehicle departures recorded. Of these, 10% were private cars at or near ranks. Just 2% were private hire vehicles. 59% of the hackney carriages observed were identified as WAV style – in the same order of magnitude to the 72% understood to be in the current fleet.

No rank was active 24/7. The longest active hours were found at the Hamilton Terrace and Leamington Spa station locations. Three other ranks were specifically related to specific clubs (and dependent on their operating days and hours). Overall passenger demand at ranks was low – the two busiest ranks only seeing 12 passengers per active hour. Most usage was eight passengers or less per hour on average.

Service levels to ranks are generally very good to fair. This is supported by there being a high level of excess vehicles compared to demand at all rank locations on average. A sample of plates observed on the Friday of the surveys identified 63% of the active fleet in operation. The very high demand at one-night club on a Tuesday in mid-December – likely to be a peak – needed just under a quarter of the fleet to service this without any passenger having to wait for a vehicle to arrive.

The dominant rank in passenger terms is the one at Leamington Spa station – though it only sees 38% of estimated total demand. Hamilton Terrace provides about half that level – 19%. Warwick rank provides 13%. The Copper Pot rank provides 7.6% and Warwick Parkway in the order of 7.5%. Abbey End provides 6.1% though much of this is from the one busy hour on a Friday night which was observed. The rank near Vialli's is marginally busier than the other club ranks (excluding Smack).

Unmet demand was observed both in off peak hours having some passengers having to wait for vehicles to arrive, and by average passenger waiting times over a minute. The ISUD index calculated was well below the formal cut-off level that would otherwise define the observed unmet demand as significant. It can therefore clearly be stated that, according to the ISUD index, there is currently no unmet demand in the Warwick District Council area which is significant. Further discussion of this occurs in the light of other evidence below (see Synthesis section).

Public Consultation

250 persons in the street gave us their views of the current 'taxi' service in the area. Responses were mainly from those available during the day time as is the standard practise for these interviews.

47% overall had used a licensed vehicle in the Warwick District Council area in the last three months – moderate. The average level of trip making is 1.6 licensed vehicles per person per month. When narrowed down to hackney carriages the level is 0.6, or 38% of the total estimate. This is not far different to the 33% who said they got licensed vehicles from ranks, plus the 1% who said they hailed them (quite high for this kind of area). There was a high level of obtaining vehicles by mobile or smart phone (18%) together with on-line or internet methods (3%). Traditional phone methods were the highest means – 44% - though less than in other places given the high level of interactive responses quoted.

When asked about who they contacted to obtain licensed vehicles, a very high number of companies were named including some corruptions of the same name. Of all the 36 different names given, just six had 5% or more of the total mentions. The top company had 27%, followed by one with 14%. Hackney carriage related companies were mentioned but none obtained more than three actual mentions each.

The overall response on who people used to obtain licensed vehicles demonstrates that the licensed vehicle trade in this area is very disparate but still dominated by private hire companies rather than hackney carriage operations. There appear to be a lot of operators keeping to niche markets rather than wider advertising. Very little brand loyalty was found overall.

In terms of hackney carriage usage, 70% of all respondents replied. However, 26% could not remember seeing a hackney carriage in this area. 38% could not remember when they had last used a hackney carriage. This left just 36% telling us frequencies.

In terms of ranks known about, knowledge matched usage very closely with the top three ranks known matching those used, with very similar percentages (Leamington Station 36% knew, 38% used in rank results; Hamilton Terrace 21% / 19% and Warwick 14% / 13%). Kenilworth rank was fourth most known. Most of the night club ranks were quoted, and people did think the Warwick station office was a rank. The Warwick and Kenilworth ranks were only known by those in the samples in these specific areas whereas Leamington ranks were more widely known.

The low level of suggestion regarding new ranks demonstrates further the satisfaction with the current provision of ranks.

Issues with hackney carriages tended to be less significant in Leamington with the main issues being delay getting a hackney carriage (in Kenilworth and Warwick), with driver and rank location issues in Warwick (although the latter has to be tempered by the fact most Warwick respondents were not living in the area – though most likely those working here rather than visitors given the time of year).

In terms of matters that would make people use hackney carriages more the dominant response across the area was if they were cheaper. Again it was clear that the Leamington area were better acquainted with and happier with the hackney carriage service than Kenilworth and Warwick where people would have liked to see more hackney carriages available to hail. Overall 19% said better drivers (top score apart from the cost issue).

75% responded about if they or anyone they knew needed a wheel chair accessible (WAV) or other adapted vehicle. 87% did not need (or know anyone who needed) a WAV. 6% said need was for a WAV and 2% for another style of vehicle – tending to support WAV style vehicles although the current fleet provides a mixed offer.

In terms of the latent demand factor, the effective ISUD factor is just 1.028 (2.8%) – quite low. Kenilworth was the main location together with one mention of "Holly Walk" (Hamilton Terrace).

Only 51% had regular access to a car. Apart from the Warwick sample, 86 to 88% were local. The gender / age profile was very representative compared to the latest census estimates.

Stakeholder Consultation

Supermarkets and hotels, together with larger entertainment venues, were generally not interested in giving information but those that did mainly used private hire or booked vehicles. One supermarket was aware of a nearby rank. The only complaints were about delay arriving.

Restaurants and night venues were much more willing to share their customer's experiences of licensed vehicles. Most said their customers tended to book vehicles using their own mobile phones. Those responding in Warwick were aware of the rank there.

Public houses said their customers did use taxis and most were aware of ranks if they were nearby – but not for Kenilworth. Both night clubs responding said people tended to phone on their own mobiles but one said people also used the rank outside the club. None had any issues or had received any complaints.

No response was obtained from the local hospital, the police nor disability representatives. Sadly, none of these omissions are atypical of other studies. The key area which could be improved is the disability area, but this would need much more research and proactive engagement than is possible within the scope or timescales of a standard unmet demand survey. This is noted further in recommendations below.

The Warwick Council Safer Communities Manager was most concerned about the danger of service to Smack despite various measures having been taken to try to make the area safer – which drivers were not using (the false one way in particular).

An excellent response came from town and parish councillors. Their key issues related to needing better information about what services were available and to better rank provision specifically in Warwick. Some preferred more information and more consultation before they could feel able to make any real comment.

Input was provided from the Warwick University taxi survey – which from the nature of the university covered both Warwick District and Coventry City licensed vehicles. The survey demonstrated significant issues for service to students particularly returning from Smack in Leamington to student accommodation not only at the University but also more locally in Warwick / South Leamington.

Warwickshire County Council does use local vehicles for its contracts but does not restrict contracts for the Warwick area to Warwick registered vehicles. They felt that most hackney carriages were not interested in work from their contract preferring to remain able to work if and when they wished rather than be tied to regular specific times.

Leamington Spa Station sees the 247th highest passenger flows in England, Scotland and Wales. These flows have increased 213% since 1997/98 and 15% over the last three years. Much of this is related to the dynamic growth of Chiltern Railways. However, just before the survey, an issue arose in that most London to Stratford upon Avon services were withdrawn and replaced by the need to change trains at Leamington Spa. It is not clear how this affected taxi services.

Only Leamington Spa, Warwick Parkway and Warwick are quoted as having taxi services available on the traintaxi web site. The other stations have references to needing to use the three main stations. All are quoted as having either ranks or booking offices, and all are given three alternative private hire numbers for use, with both Warwick stations being given the same three operators.

Trade Consultation

All licensed dual drivers were sent a letter and questionnaire regarding their current service to the public. Returns were direct to CTS either via post or electronic means. 10% responded.

76% said they drove hackney carriages and 8% said they drove both kinds of vehicle. 79% owned and drove their own vehicle – high but typical of an area without any limit on obtaining any vehicle.

Just 6% said they operated on a radio circuit suggesting many worked on a one-man basis and by direct calls. The working week tended to be five days and 34 hours on average – low. Average experience in the trade was 12 years.

35% worked at busy times. 13% worked around family commitments.

Most drivers told us the areas they worked ranks rather than specific ranks. 30% said Leamington, 14% Warwick and 10% Kenilworth. Drivers gave a wide range of different names for specific rank locations. 64% of those responding felt there were not enough ranks or spaces available.

44% said they got fares from ranks, 23% phone, 14% hail, 11% private company contracts and 8% from schools.

79% of those responding felt a limit should be reintroduced. Many gave reasons they thought this was in the public interest – 35% saying it would reduce public safety issues particularly tiredness of drivers. Other improvements considered included improved opportunity for maintenance, reduction of over-ranking and congestion and ensuring vehicles were always available at ranks.

Most comments related to their considering there were too many vehicles and that every time a new plate was introduced their work fell further – they did not feel there was currently any growth in the area at all. Many also said they preferred to retain a mixed fleet rather than continue to increase WAV levels.

Synthesis and Conclusions

The market for licensed vehicle usage in Warwick appears to be strongly technology based from the passenger side. A high level of passenger numbers appears to make bookings for journeys using their own mobile phones, or other smart methods, including some making bookings by internet. This is supported by a large range of relatively small or one-man band private hire companies, some of which are in reality hackney carriage one-man bands (although formal private hire seems to take a much larger proportion of this trade).

Notwithstanding this, there are several important rank-based operations in the area but even within this there are a number of specific and different elements.

Total passenger demand at ranks, estimated based on the surveys undertaken is 5,986. With average occupancy of 1.8 and 212 plates this equates to some 15 jobs per vehicle per week from ranks – or three per day based on the average working week quoted of five days. This perhaps explains why the overall level of hours in a week worked is also relatively low at well under 40 hours. However, despite this, our surveys demonstrate that most potential hackney carriage demand is appropriately met by hackney carriages across the area, even where overall demand is perhaps less than might normally justify hackney carriages (e.g. at Kenilworth).

The main hackney carriage area is Leamington. Hackney carriages service the station and Hamilton Terrace, although demand at both of these is low for the size of the town. Service at the station is restricted by there being a need for an additional paid for permit from the local rail operator. Neither rank has demand 24/7, with at least three dead hours even on the busiest nights. Leamington demand sees a major peak from one general night rank and three other club related ranks. The major demand in the whole area comes from one nightclub and its service to students at Warwick University. Even with relatively low demand, there is one area where hackney carriages attempt to form a rank where there is no easy / safe place to pick up.

Demand at the main Leamington rank is not high and vehicles can wait here for extended periods. Even though relatively few take schools contracts those numbers can cause minor issues with availability at this rank when there is a peak in demand. But overall, the issue is too many vehicles at this rank rather than too few.

The station rank can face issues when larger trains arrive. There is a clear commuter peak at the station – both for people coming to work in the area, and for those arriving home from various places including Birmingham and London in the evening.

Warwick has one active rank which is well-known and relatively well-used although some people would like a wider range of locations or a better design for this unusual drive-on, reverse off, move down as vehicles leave, operation. There is a higher presence of larger companies providing private hire services in Warwick including them having supplanted the rank at Warwick station with a private hire office (although the rank would have been in any event on private railway land). There is some evidence that people would prefer a more active hackney carriage fleet here than the level of demand ends up providing.

Kenilworth seems to be a location where the rank is only used (but very well used) for very short periods principally relating to pub closing times. It appears that the rest of the time one-man hackney carriage phone links and some small private hire operators meet demand – particularly that from the local large supermarkets. There is, however, some reference by the public suggesting they have issues with the delay in getting taxis in Kenilworth.

It will be interesting to see how / who provides the licensed vehicle service when the new Kenilworth station opens with a stated aim by Warwickshire County Council of having a good licensed vehicle interchange there.

There are strong issues related to how students get home from the main night club to their accommodation, which is shared between that on campus on the boundary with Coventry City, and other locations closer to Warwick and Leamington. This leads to issues with drivers and passengers wishing to obtain the best deal which is inconsistent with this being principally a hackney carriage operation. Normal legality, including rank protocol for taking the first available vehicle, and charging being only by the meter, appears to justifiably disappear as the longest journey takes vehicles outside Warwick District into Coventry and gives an apparent right to charge a quoted fare rather than that by the meter. Ignorance on behalf of the students as to what can be done – and a preference to have a quoted fare rather than relying on the meter – complicates this issue.

There are other issues related to safety with operation of this rank, and others related to it at night, which also need to be addressed in a comprehensive manner. Preferably this would involve the local Council, the Students Union and the club. A key factor is to confirm just how dominant the student demand actually is, and particularly how many nights and weeks of the year this demand occurs. It would be costly to undertake a long term monitoring of this and the club should be able and willing to work with the council on this matter, perhaps through an external reviewer were this felt important to maintain confidentiality on the overall usage levels.

Other than the student issue, most people using Leamington hackney carriages appear to be generally happy with the service provided and it is clear that Leamington is much more 'hackney carriage' serviced than either Warwick or Kenilworth.

A key factor in both sides of the trade is that there are very few larger companies, and a large number of very small operators all seeming to be happy to do what they are doing. This means the overall market is disparate – with it being very hard for any one company to become large enough to dominate, but also meaning that customers either build a relationship with one or two people, or trust bookings or turning up at the rank. The level of demand probably best suits the more individual approach.

In terms of overall hackney carriage demand, there is unmet demand both off-peak and in peaks. However, the level of this is well below that at which it would be counted as significant. None of the other evidence from on-street users or key stakeholders would counter this conclusion. Latent demand is very low. The general picture is that more than enough vehicles are generally provided to service rank needs, including meeting high peaks where necessary.

The meeting of the main club demand is impressive – but even a very busy night only needs a quarter of the current fleet to meet demand. There is no other demand at this time of night – though there are also issues that some passengers / drivers appear to be able to cherry pick their journeys to get the best deal. This issue is not dominated by either driver or passenger but equally driven towards sub-optimal service for both.

It is interesting that the statistics and information gathered seem to suggest the private hire fleets to be obtaining much more trade than the hackney carriage fleet do, although the tendency is growth on the hackney carriage side in terms of vehicle numbers. This implies that private hire fleets are becoming more effective in dealing with customer numbers whilst on the hackney carriage side there seems to be increasing numbers yet it is not clear if there is any significant increase in demand to match this.

Potential options for Warwick hackney carriage limit policies
A limit on vehicle numbers can be applied if, and only if, an authority is certain that there is no unmet demand for hackney carriages which is not significant. This does not mean there cannot be any unmet demand, just that it must be clear that this has not become significant due to the restraint on ability of people to have new vehicles when demand requires it.

For the sake of clarity, patent unmet demand is when a passenger arrives at a hackney carriage rank (be it used or unused in general by vehicles) and finds no vehicle ready for immediate hire. Latent demand is when people wait and then move away having given up expecting a vehicle to arrive at that location. Or they choose to travel another way not even considering the hackney carriage option because they believe they would not get them.

There are other elements to latent demand, such as not even bothering to wait at a rank or making arrangements to travel by another, non-licensed vehicle method, such as private car, public transport but sometimes including use of private hire bookings.

An authority can attempt to restrict the number of vehicles in a hackney carriage fleet by two principal methods. Section 16 permits quantity control when there is no unmet demand which is significant but requires this to be regularly tested. Other authorities have applied quality controls which can have a similar effect of increasing the cost of entry to the hackney carriage vehicle market, such as by imposing age limits on new or current vehicles. Government policy discourages too much interference with 'market forces' but tends to prefer quality controls over quantity ones.

At the present time, Warwick applies quality controls requiring any new hackney carriage to be a completely new vehicle, which must also be fully wheel chair accessible and side loading. There is no further stipulation made. Despite this, numbers of hackney carriage vehicles continue to grow. If it is assumed the market is working, this should mean there is demand for these new plates.

Apart from the growth at the railway station which is presently restrained by needing an additional, paid for permit, we cannot find any significant evidence for such growth.

The issue of quantity controls applies along a continuum. This ranges from those authorities with no limit back to authorities who have set a limit below the current level of vehicle numbers. Some authorities have a 'settling limit' (e.g. Birmingham which has a moratorium on issue of new plates and no replacement of plates which cease to be used). Others have a fixed limit and re-issue spare plates that become available.

The final step on the scale towards having no limit is authorities who retain a fixed limit but issue a number of plates over a particular time period – otherwise known as managed growth. One of the most well-known authorities with such growth is Brighton and Hove, who issue five WAV style plates per year in order to grow their WAV percentage upwards (they are not fully WAV). Some fully WAV authorities also have managed growth (e.g. Manchester) but this is currently set at zero plates per year.

There are benefits and disbenefits of having no limit (sometimes known as 'deregulation' or 'delimitation', although adding quality controls into this mix can make actual impacts much harder to unpick).

Allowing entry to the hackney carriage vehicle market allows entrepreneurs ready entry if they see an opportunity. It allows vehicles to grow to meet demand quickly. It is in tune with the latest stated government policy (although this has not been updated by the Law Commission research at all and is therefore relatively 'old' in terms of when it was clearly stated most recently in the public domain).

On the negative side, if there is no increase in demand adding further plates continues to dilute the earnings amongst more vehicles. It leads to further reaction from the trade and potential unease amongst those with high levels of experience in servicing the public. It also assumes that the free market is working properly and effectively which may not be the case.

Application of a fixed limit on plates would be very clearly possible if there is no unmet demand whatsoever. Such a status is rare as demand and supply rarely always lead to sufficient supply. This is because random elements in demand will nearly always lead to short term failure of supply to meet demand. Rank capacity can have an impact on this particularly for small ranks, or where high levels of demand can occur in short periods – such as at railway stations.

We therefore consider that application of a fixed limit on plates is also possible even when there is unmet demand identified. This is clearly not possible however if the level of unmet demand is beyond that which is counted to be significant. The present situation in Warwick is that there is unmet demand, but at a level far from that which would be considered significant.

Put another way, if a limit were applied and this was challenged, we believe the evidence in this report would lead to the challenge not being sustainable, i.e. that challenge would be defeated.

The negatives of applying a limit at the current level of vehicle numbers are that it does not allow entrepreneurs to enter if they wish at the level of owning a hackney carriage vehicle. It does not readily provide for times when growth of the market exceeds that which the current level of vehicles is able to meet. It provides the potential for an expensive challenge by those wishing to apply for hackney carriage vehicle plates. It does not actually address the issue if there are currently much higher numbers of vehicles than justified by demand and can prevent any market reduction in numbers by giving the vehicle plate an inflated value.

It depends on the actual rules regarding return of plates if the plates can be traded if no longer required by their owner or not. Some authorities have found ways in which the plates have to be returned (the clear direct legal option for this only exists in Scotland) such that no true plate value can accrue other than that relating to buying the value of the business.

Positives of a limit include the stability it adds to the trade and the positive impact from a trade feeling more secure. It can allow the trade to feel better able to focus on customer service. If demand remains the same, over-ranking will not worsen, and the current level of earnings will also remain the same and more predictable. It may encourage renting of vehicles by drivers no longer able to obtain a vehicle, which can increase the activity levels and length of time the fleet is overall available, particularly impacting on periods when people might not otherwise choose to work.

It can allow the trade to feel able to work on various specific issues to benefit the public more easily than if there is no limit. One example was where a fleet moved to being fully wheel chair accessible (WAV) in one authority where the limit was retained. It could be that a clear way to properly resolve the issues of the student service might be one option that could be tackled were a limit to be returned.

Coventry re-issues plates which lapse and has a clear method for allocating these and giving people sufficient time to take up the returned plates before offering them on again. This keeps the fleet at the current level but allows a level of renewal of vehicles and gives a quicker option of updating the fleet since new owners are often more willing to invest than those already in the trade.

Some authorities have re-applied a limit by saying no new plates will be issued (moratorium, eg Birmingham City Council). This has the impact of steadily reducing the number of plates on offer. This does provide a response to the issue of supply well exceeding demand, and as plates reduce, income increases given the same level of demand.

It also has the benefit of encouraging people to remember to renew within the new rules, and to keep to any rules that might jeopardise their plate. Chesterfield did this for at least five years, seeing some benefit.

In summary, given the low levels of unmet demand, which are far from being significant, and the fact that the highest demand was met by a quarter of the plates, and the full demand over our survey period met by 63% of plates, there is clearly in the order of 20% spare capacity in the present fleet (allowing for some plates not being active at the time of the survey (add say 10%) and some requirement for growth till the next survey should occur (add 5% then round to 80%)).

This provides four options for choice: Option 1 – retain status quo; Option 2 – return a limit at a fixed level; Option 3 – option 2 but also take opportunity to work to develop fleet; Option 4 – return limit but on basis of no issue of any new plates (therefore number of plates reduces over time).

The thought of developing the fleet if a limit was returned is based on the fact that the trade will benefit from the introduction of the limit. There should be some return to the council and the people using hackney carriages in the area from this.

In terms of options to develop the fleet, this is based on evidence found that 26% of those responding in the street interviews to the question about use of hackney carriages said they could not remember seeing a hackney carriage in the area. 11% of those saying they would use hackney carriages more said they would do so if more were available to hail – which needs them to be more distinctive to people. The Town Council for Warwick in their response sought better differentiation of hackney carriage and private hire vehicles. The area is also a tourist area such that a high level of those using licensed vehicles would tend to be very much less knowledgeable about what a hackney carriage is. This suggests that consideration of a livery for hackney carriages might be a valuable off-spin from introducing a cap on vehicle numbers. Windsor is an example where a tourist licensing authority chose such an option.

A further option could be to work with the trade within a capped environment to encourage vehicles towards the hybrid / electric route, which would provide environmental benefits as well as giving the fleet a trend towards being seen as environmentally friendly. This could first focus on areas such as Warwick where the need for consideration of pollution is more urgent than in Kenilworth.

A review of the current make-up of the hackney carriage fleet from the point of view of accessibility and vehicle content could also be undertaken, with an output being a target vehicle fleet profile which could be developed over time.

8. Recommendations

Limits on the number of hackney carriage vehicles

There is **no evidence** of any unmet demand for hackney carriages either patent or latent which is significant at this point in time in the Warwick District council area.

The Council could therefore return a limit on the number of hackney carriage vehicle licences and this would be defensible in Court were any challenge to be raised to this policy.

Taking all matters into consideration, we would recommend that Option 3 be taken – returning a fixed limit set at the time this Report is considered by the Council which would need to include all successful applications under way at that time, and that the issues of rank needs and student issues be resolved as promptly as possible using the stability of the limit to encourage trade co-operation. The limit should be set at the current level at the time the committee accept this recommendation, which will be the number of vehicle licences on issue at the time of the meeting, plus allowance for any applications in progress at that time. Any failed applications should be discounted from further consideration once all reasonable allowances have been given to rectify their issues for failure. Also, the time allowed for a person to complete their application should be specified.

It should also be made clear that the introduction of a limit is linked to other changes being made, and that the hackney carriage trade would be expected to give full cooperation on other matters being worked on, particularly on issues about operation of the student element of the service.

The committee is also at liberty to remove the limit at any point that it becomes clear such a change is necessary, such as if there is significant growth in the area, or if passenger complaints are received in terms of availability of hackney carriages in the area.

Rank provision

General rank provision across the area is sufficient and adequate, and tends to meet the needs of the bulk of customers and trade. There are a small number of issues which would bring benefit if they could be dealt with. We are aware that these matters need multi-agency decisions and may therefore be difficult or take a long time to resolve. However, the LTP supports such collaborative working and the Warwickshire County Council Taxi Policy should be used to achieve these aims.

Discussion needs to occur between relevant parties including the trade, Warwickshire County Council, Warwick Town Council and the District Council (various parts), to consider the options for revision of rank provision in central Warwick. Although the current rank does work, it has ongoing threats in terms of potential for accidents, and with changes in the central area, might be better re-designed or moved to a different location. The best way forward would be arranging a workshop day gathering all with interest to try to identify a way forward.

In terms of Vialli's rank, we accept this rank is small and located between a bus stop and a busy junction corner. There is potential for significant issues if more than two vehicles attempt to wait here, and this can lead to potential unmet demand if both vehicles are taken by passengers and it is a while before other vehicles fill the gap. The principal way that extra capacity could be provided here would be considering making the bus stop, or part of it, a part time rank perhaps from midnight onwards or after buses have ceased running.

On a counter note, the rank outside Boots in Warwick Street should be removed and given over to other forms of parking since it is not used by hackney carriages. Signage should be provided to the main rank in Hamilton Terrace to assist any passengers that might require hackney carriages on this part of Warwick Street.

In terms of overall spaces available in Leamington Spa, the only active daytime rank is at Hamilton Terrace. If possible, the spaces released by removal of Boots should be added at the rear of this rank, which often ends up with vehicles informally using the spaces behind the rank. Such extra space is often needed to ensure there are sufficient vehicles ready for peak departure times. There was no evidence of lack of space at other ranks which was leading to issues needing formal amendment.

Action is needed to identify and improve the operation of the rank at Smack involving the club, the Student Union, Warwick District Council and the trade, to discourage unsafe operation (u-turns and lack of use of the false one-way) and unfair operation (cherry-picking of journeys). This would need regular service by stewards on the busiest nights as well as better information about how many nights suffer such abuses (see also below). A code of conduct could be agreed by drivers and publicised to those using the rank in various ways, principally through the university links, but perhaps also with a press campaign to capture local users.

Warwick District and the trade need to work with Warwickshire County Council to ensure there is appropriate provision and service provided to the new Kenilworth station when this is finally provided. Preparation for this should begin at the current time to ensure the best possible options are provided.

The reference to ranks on the internet, readily accessible, is best practise and needs to be maintained. However, the list should be kept up to date, and ranks unlikely to be serviced removed, and references to club locations

made secondary in case names change. Specifically, the Vialli's location needs to be added.

It may be worth noting the ranks which are provided by Chiltern Railways and a comment that any views about operation of these should first be directed to the rail operator who has jurisdiction rather than the local Council which only controls vehicle and driver standards in these locations (and has no powers over number of vehicles servicing them). It may also be that the council and Chiltern could work together to provide more information at these locations, perhaps using the study results, to inform passengers of likely waiting times when demand was high. Discussion could also occur to ensure that as far as possible limits on permits (either actual or by price) did not unduly restrain the service provided.

Student Issues

A working party should be set up including the District Council licensing, representatives from the Student Union, Coventry City Licensing and any other relevant parties, to produce a clear Code of Conduct for the transport of students by both Warwick District and Coventry City hackney carriage drivers. This needs to clearly address both legalities and preferences from all sides and include agreed and practical enforcement options. This is very important as students are the future market for the taxi trade around the country and their early education into what is legal and what is practical is crucial to the future of the licensed vehicle trade. This may take some hard choices by the trade to eradicate any poor practise and to work with the authorities who determine what proper service means to this important clientele group.

It is very important also to understand how 'typical' the student demand is of the overall demand for hackney carriage in the District. Either the club or the Student Union need to provide advice on how many days per year they consider Tuesday student nights to occur, and how this relates to other nights.

This is very important as this demand pushes the numbers of vehicles needed in the area, and it needs to be clearly understood if this demand can be seen to be appropriate for overall vehicle requirements to be set at, or counted as a peak that is well beyond the 'typical'.

Disability inputs

As is regularly the case for such studies, we were unable to obtain any input from those representing people with disabilities in the area. We recommend that various methods are attempted by the Council to seek such views, including use of their internet site as well as possibly direct visits to offices of those representing people with disabilities in the area to attempt to engage such groups further. This could also include arranging practical half days where disability friendly hackney carriages were gathered together so that those with disabilities could see for themselves how vehicles could assist them, and to encourage further engagement between the council, trade and those needing disability style vehicles.

Future review of hackney carriage demand

The current review of demand has been useful in understanding one facet of the licensed vehicle trade in Warwick District. It is clear that there are other markets which the hackney carriages in the area also trade in which have not been fully identified, but in general this study has highlighted overall usage and demonstrated that the current operation is reasonable and does generally meet most needs of passengers.

We would strongly recommend that a further repeat be undertaken within at a three-year horizon, with rank work repeated in October / November 2018. This would allow the situation to be reviewed at that time, and is in context of the Law Commission recommendations and the current Best Practice Guidance in this respect. This should include a review of ranks (as undertaken this time) but should also consider adding more detailed review of the provision made for those with disabilities or other special needs. This should include the needs of specific groups in the area, such as students and tourists.

This repeat should occur whichever option is taken in regard to the limit on vehicle numbers as otherwise there is no information readily available to help continue to develop the hackney carriage (and even private hire) trades in an area. It would also maximise returns from the investment in this current study, with updating of the database of information collected.

There may be wider elements of the present study which are not necessary to repeat in the future re-survey, and the brief needs to be carefully checked before the future study is undertaken. This may allow some other issues to be included of benefit (see below).

Any future study should have one eye on the beneficial suggestions resulting from the Law Commission review (i.e. consideration of public interest) but mindful that this remains purely guidance and not case law (although the Best Practice Guidance document also does not have legal standing either). It should consider including a wider review of the private hire sector and particularly how this interacts with the contractual needs of Warwickshire County Council also considering how the general lack of ability to contact the principal WAV element of the trade by phone actually works for the public (i.e. a wider consultation with disability groups and persons is needed – perhaps this needs to begin within the current validity period of the present survey since often timescales in working with those with disabilities need to be much longer than usually fit with a demand survey profile).

WARWICK DISTRICT COUNCIL HACKNEY CARRIAGE VEHICLE CONSULTATION 2017

CONSIDERATION OF A WARWICK DISTRICT COUNCIL HACKNEY CARRIAGE VEHICLE (HCV) LIMITATION POLICY CONSULTATION RESULTS AND DISCUSSION PAPER (AUGUST 2017)

1. INTRODUCTION

This briefing paper forms part of the overall study into the consideration of a hackney carriage vehicle limitation policy being put in place in the Warwick district area. It includes the results of the Warwick District Council (WDC) consultation along with discussion on the advantages and disadvantages associated with a limitation policy.

Every attempt has been made to ensure that the information provided in this briefing document is accurate and factual. A balanced approach has been followed to ensure all known and relevant significant matters are included for consideration.

Following representation from the hackney carriage trade, the Council commissioned an unmet demand survey to identify if the correct numbers of hackney carriages are licensed, if taxi ranks are in the correct locations and if the hackney carriage vehicles are appropriate for the district residents and visitors, the CTS survey. WDC then consulted with the trade and other interested parties on the proposals suggested within the CTS survey.

This paper provides feedback on the WDC consultation and as requested by members, describes the advantages and disadvantages of a limitation policy with reference to the options suggested in the CTS survey.

2. METHOD OF CONTACT

A questionnaire was designed and passed to trade representatives and other interested parties for comment. The consultation was carried out over a six week period (15 May-25 June 2017). A letter and/or emails were sent to all 483 (2017 figure) WDC licensed drivers. Details about the consultation and how to comment were also tweeted.

3. RESPONSES SUMMARY

Response	Count
Survey monkey (online) questionnaire	116
Email	1
Tweets	1
Petition	1

4. SUMMARY CONCLUSION

The WDC consultation – The preferred option is option 4 - Return a limit but on the basis of no issuing of any new plates (therefore number of plates reduces over time). The recommended option in the CTS survey is option 3 – Return a limit but also take the opportunity to work to develop fleet.

This difference suggests the respondents to the WDC consultation want a limit to be put in place but were not in favour of any fleet development.

There were also contradictory results between questions 6 & 7. Question 6 suggests 68 HCV drivers were responding whereas question 7 suggests it was 102 HCV drivers. However as the CTS survey outlines 8% of those responding to that survey said they drove both kinds of vehicle.

5. CONSULTATION QUESTIONS SUMMARY

Questionnaire Summary

Q1 Please confirm which one of the following options is your preferred option.
Answered: 115   Skipped: 1
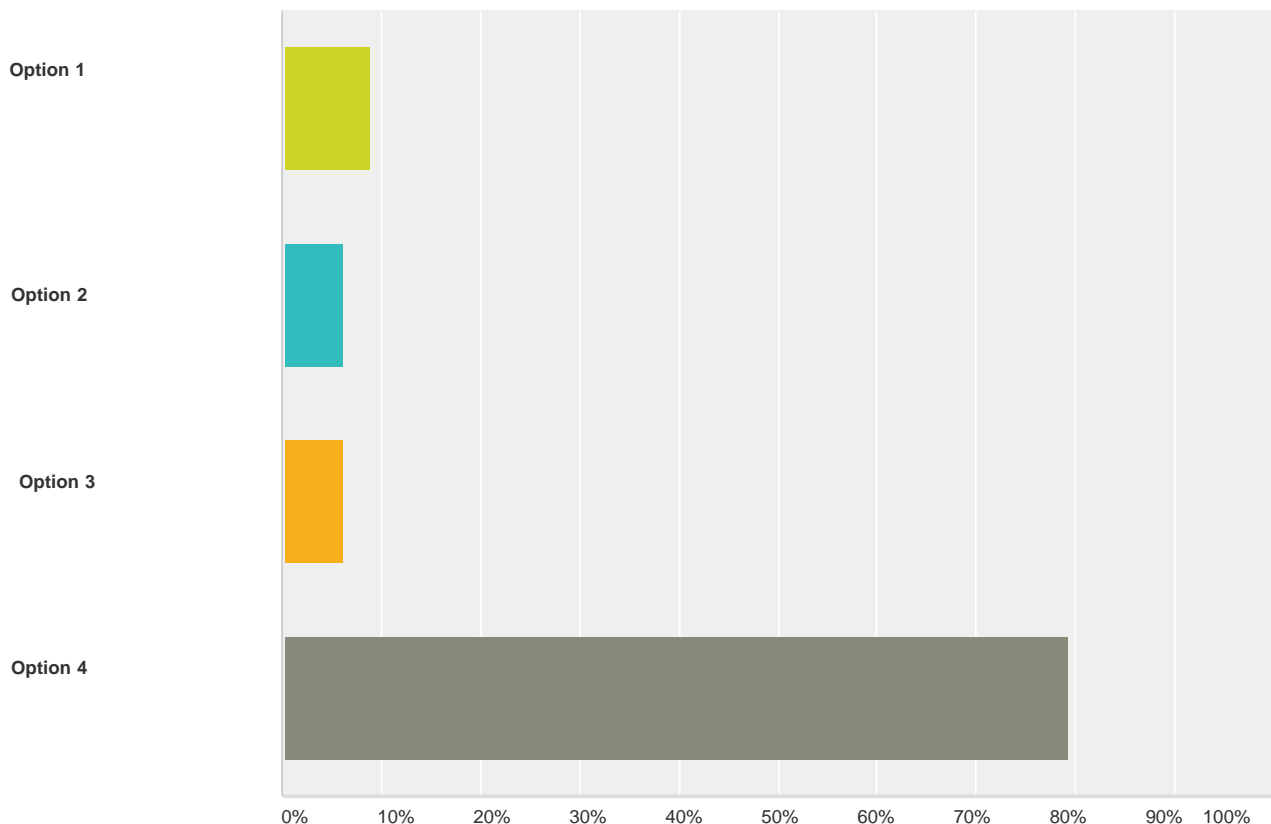
Answer Choices	Responses	
Option 1 - Maintain the status quo (no change)	**8.70%**	10
Option 2 - Return a limit at a fixed level (potentially allowing a certain number of additional plates over a particular period)	**6.09%**	7
Option 3 - Same as option 2, but also take the opportunity to work to develop fleet (e.g. consideration of a livery (specific colour) or use of hybrid/electric vehicles)	**6.09%**	7
Option 4 - Return a limit but on the basis of no issuing of any new plates (therefore number of plates reduces over time)	**79.13%**	91
Total		**115**

Q2 Please provide a brief summary of why you have chosen your preferred option over the others.
Answered: 97   Skipped: 19 (See full results, section 8)

Q3 Do you feel hackney carriages should be more identifiable (e.g. be of a specific colour so members of the public can spot a hackney carriage taxi easier)?

Answered: 116   Skipped: 0
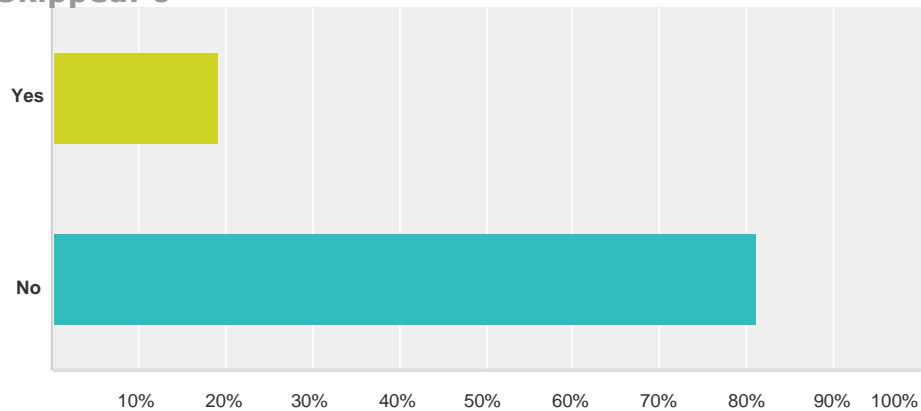
Answer Choices	Responses	
Yes	**18.97%**	22
No	**81.03%**	94
Total		**116**

Q4 Do you feel hackney carriages should be more environmentally friendly, for example be a hybrid vehicle or have electric engines?

Answered: 116   Skipped: 0
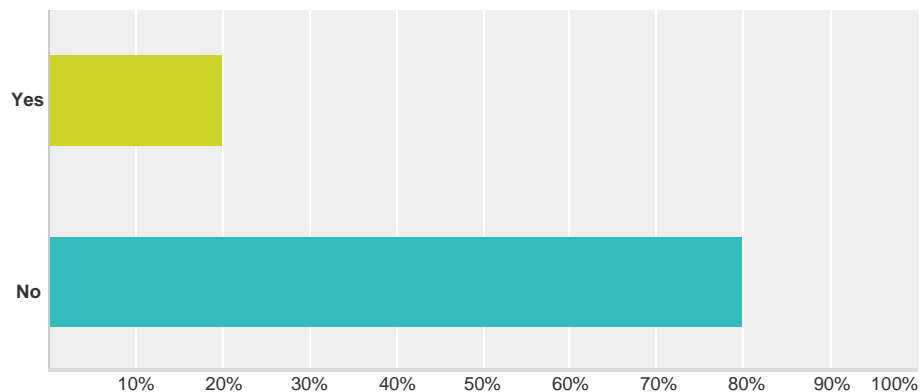
Answer Choices	Responses	
Yes	**19.83%**	23
No	**80.17%**	93
Total		**116**

4

Q5 Should there be a code of conduct for drivers using ranks?
Answered: 114   Skipped: 2
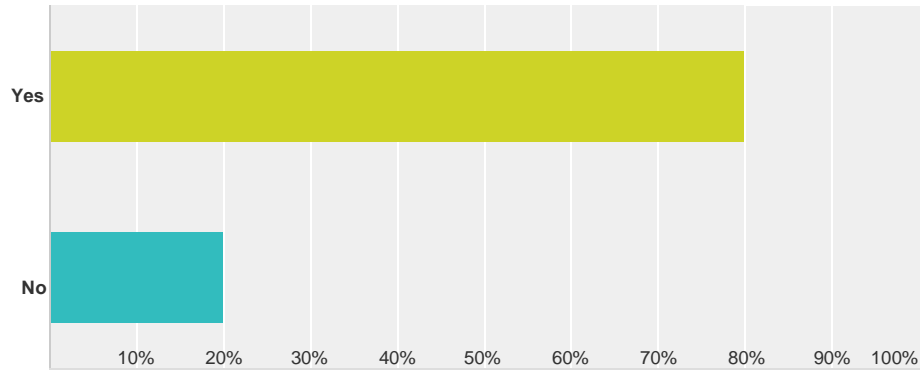
Answer Choices	Responses	
Yes	**79.82%**	91
No	**20.18%**	23
Total		**114**

Q6 If you are a hackney carriage driver, do you own the licensed vehicles?
Answered: 116   Skipped: 0
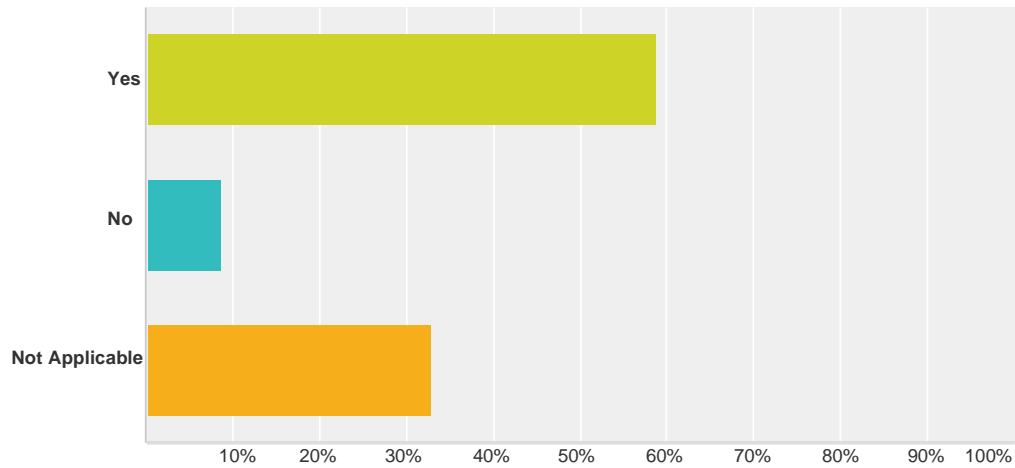
Answer Choices	Responses	
Yes	**58.62%**	68
No	**8.62%**	10
Not Applicable	**32.76%**	38
Total		**116**

Q7 If you are a hackney carriage driver, does more than one driver use your licensed vehicle?

Answered: 102   Skipped: 14
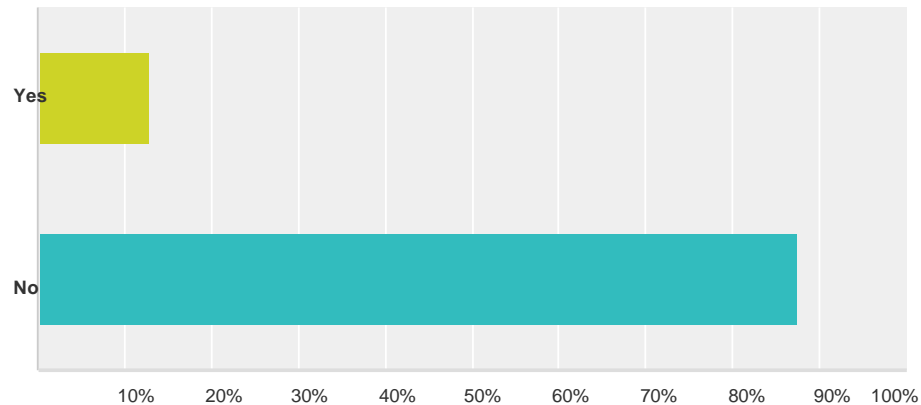
Answer Choices	Responses	
Yes	**12.75%**	13
No	**87.25%**	89
Total		**102**

Q8 Do you have any other comments you wish to add?

Answered: 61   Skipped (See full results, section 8)

Email & Tweet Summary

Email

Lack of "policing" the Warwick Town Centre rank (near Costa Coffee). Taxis should be limited to parking on the rank only; if the rank is full, they should move on.

Far too frequently, taxis are parked on double yellow lines opposite the rank / near the statue of Randall Turpin. This is a high pedestrian traffic area and poorly / illegally parked taxis cause a safety risk to the public.

I question whether this is the best location for taxis. Moving the rank to outside Shire Hall (where the road has "taxi" markings) or Barrack Street (used when Market Square is closed) would allow a single-flow of vehicle movements rather than the current scheme which necessitates taxis "shuffling" up the rank by reversing in and driving out of bays.

The current rank could be added to the 30 x minute parking area, and thus increase parking for town centre visitors.

If nothing else, please do more to stop taxis congregating illegally off the rank.

> **Tweet**
>
> To be honest, I'd rather you do something about the rates that you set. They are high. Bring on Uber

Petition – Received 4 May 2017

Accompanying letter commented on:
- Too many taxis
- Insufficient taxi ranks
- A unified system is required
- License and plate fees
- 6 month renewal process
- Uber
- Working conditions abysmal
- Members of the Drivers and Operators Forum not communicating.

There are 85 signatures however the issues outlined at the top of the signature sheets were limited to only three issues: insufficient taxi ranks, a unified rank working system and licensing fees. The petition organiser was responded to and guided to the Council's policy on petitions and also advised in light of the then pending WDC consultation that the comments would be submitted as part of that process. It is also worth noting it is likely that some of those that signed the petition have also made comment as part of the wider WDC consultation.

6. ADVANTAGES AND DISADVANTAGES

General

The licensing of taxis is complex and involves the application of a substantial amount of legislation and case law, some of which dates back to 1847. Currently WDC policy does not limit the number of HCVs it licenses. Anybody can apply for a HCV licence, subject to applicants meeting our quality standards and complying with vehicle and driver conditions. It is recognised that the situation relating to a limitations policy is complex and emotive in nature and may have important consequences for the trade, the travelling public and for the local authority. A decision to change the policy in this respect could therefore not be taken lightly or without full consideration of all of the various associated issues. Most importantly, in order to allow for the appropriate long term taxi licensing policy and arrangements to be put in place, the Council accepts that it would need to carry out extensive consultation in order to make a proper and informed decision.

Having outlined the current situation the possible implications resulting both directly or indirectly from either putting in place or not a limitation policy are set out below.

To limit or not – the options

There are four main options suggested in the CTS survey for dealing with the issue of introducing a limitations policy.

i) Retain the status quo – no change to existing policy
ii) Return a limit at a fixed level (and determine what the level should be)
iii) Return a limit at a fixed level (and determine what that level should be and any other fleet development proposals)
iv) Return a limit but on the basis of not issuing any new plates (therefore number of plates reduces over time)

Each one of these four options has associated with it various positives or advantages and negatives or disadvantages for the public, the trade, the Council and several other and interested parties. Some of these pros and cons are outlined below.

It is important to note however that what may be perceived as an advantage for one party may be thought of as disadvantageous to others and some of the points are

interchangeable between options. These lists are not exhaustive and there may well be other pros and cons associated with any one or more of these options that are either not known or predictable at the present time.

Option 1 Retain the status quo – no change to existing policy
Advantages of not having a limit in place:

- Allows entrepreneurs ready entry if they see an opportunity and encourage new drivers and vehicle owners to enter the trade and provide new employment opportunities.
- It allows vehicles to grow to meet demand quickly and may have a positive effect in terms of the service made available to the public as and when they need it. Change in demand is can occur due to regeneration of the district.
- It is in tune with the latest stated government policy as highlighted recently in the LGA Councilors Taxi Handbook 2017.
- It could prove to be the most straight forward, simple and cost effective method of administration for HCV licensing.
- In the short term there would be a reduced officer workload in the administration of taxi licensing in comparison to any other option which changes the current situation and which would inevitably lead to some changes in the management of taxi licensing services hence changes to and increases in workload.
- Any significant savings that might result from such changes would then be reflected in licensing fees and charges.
- If hackney carriage licences were freely available, owners of vehicles could not sell their vehicles at a premium for the licence attached to the vehicle.
- No need for costly unmet demand surveys to be undertaken every 3 years.

Disadvantages:

- If there is no increase in demand, adding further plates continues to dilute the earnings amongst more vehicles.
- It leads to further reaction from the trade and potential unease amongst those with high levels of experience in servicing the public.
- It also assumes that the free market is working properly and effectively which may not be the case.
- Over-ranking could worsen.

Option 2 Return a limit at a fixed level (and determine what the level should be) Advantages of returning a limit are:

- It can allow the trade to feel better able to focus on customer service.

- By setting a limit at a lower number than currently licensed over ranking could start to improve.
- Could reduce vehicle movements in the district, especially at busy times.
- If there are less HCVs this could promote the earning potential of Private Hire Operators.
- Regular needs surveys would be required which provide a good indication of demand for taxi services in the district and the numbers of hackney carriage vehicles allowed to operate would therefore be relatively up to date to reflect the needs of the travelling public in the area.
- The costs for the survey would be passed to the trade via licence fees.
- The trade feel introducing a limit would reduce public safety issues particularly tiredness of drivers.
- It may encourage renting of vehicles by drivers no longer able to obtain a vehicle, which can increase the activity levels and length of time the fleet is overall available, particularly impacting on periods when people might not otherwise choose to work.

Disadvantage:
- Some local authorities and the Office of Fair Trading have muted concerns about an increase in unlicensed drivers in areas where limits exist thus impacting on public safety and protection (i.e. the drivers and the vehicles are not subject to any control).
- If a limit was put in place that was lower than the current numbers this could be detrimental to the business interests of some existing members of the hackney carriage trade operating in the district.
- Opens up additional potential legal challenge.
- A waiting list would need to be introduced and managed. Some local authorities have reported people can be on the list for many months, even years.
- Maintenance of the limitation policy would necessitate future, regular surveys of unmet demand with cost and perhaps more significantly resource implications for the local authority.
- Maintenance of the limitation policy would necessitate future, regular surveys of unmet demand with cost to the trade as this would need to be recouped via licensing fees.
- Restricts open competition and prevents free market conditions (Office of Fair Trading).
- Limitation of hackney carriages could lead to insufficient taxi numbers in some locations at certain times, therefore causing a disadvantage to users. For example whilst most ranks were good some were fair and the Leamington Spa Station was poor. (Please note the station is private land therefore there is a fee if taxis want to register to use this rank).

- If demand at significant times (e.g. early hours of the morning when the night time economy is winding down) this could result in more customers queuing, this could result in more crime and disorder, especially if customers are fueled by alcohol.
- A disadvantage of renting, drivers are no longer able to obtain a vehicle of their own. These drivers would be totally reliant on existing vehicle license holders for work and will always be required to pay a leasing fee in order to work. Such fees could increase if there was less availability of vehicles, should demand increase or if there was more preference for saloon style vehicles.
- Another disadvantage of renting is the need for owners to ensure the maintenance of a vehicle is more efficiently monitored. More wear and tear issues are likely to arise due to additional use. If more drivers are using vehicles which are not their own there could be an increased chance of mechanical failures being missed, potentially causing a higher risk to both drivers and customers.

Option 3 Return a limit at a fixed level (and determine what that level should be and any other fleet development proposals).

There are a number of fleet developments examples suggested in the CTS survey. A few have been expanded upon below.

Some of the above advantages and disadvantaged plus:

Advantages:

- Add stability to the trade and the positive impact from a trade feeling more secure would assist in finding a way forward with issues such as the student service problems identified in the CTS survey.
- Existing HCV license holders will be required to develop the fleet. For example: A Council can require any hackney carriage licensed by them under the Town and Police Clauses Act 1847 Act to be of such design or appearance or bear such distinguishing marks as shall clearly identify it as a hackney carriage. In a similar way, under the Local Government (Miscellaneous Provisions) Act 1976, a Council can require private hire vehicles not to be of such a design and appearance as to lead the public to believe that it is a hackney carriage. In order to assist the public in recognising a Hackney Carriage that has been licensed by the Authority such vehicles may therefore be required by license conditions to conform to a

specified colour policy. This may assist in the promotion of public safety by helping to reduce the possibility of customers getting into unlicensed vehicles or getting in to private hire vehicles that are unlawfully plying for hire in the street or from a taxi rank. Of secondary consideration, the adoption of a colour policy would, in addition to the main public safety purposes, provide a readily identifiable 'Warwick District Taxi Fleet'. The CTS survey identified that 26% of those responding in the street interviews to the question about use of hackney carriages said they could not remember seeing a hackney carriage in the area.

- A further option could be to work with the trade within a capped environment to see to encourage vehicles towards the hybrid / electric route, which would provide environmental benefits as well as giving the fleet a trend towards being seen as environmentally friendly.

Disadvantages:

- During the WDC consultation there appears to be limited appetite from the trade to develop the fleet.
- Requires operators to incur costs of changing or obtaining or upgrading to new vehicles.
- Will take time to bring about any service improvements as any significant changes in policy and fleet development will require considerably more consultation with the trade.
- With reference to the advantages above regarding electric/hybrid vehicles, since the commissioning of this report there has been a lot of media in relation to the governments requirements for improving air quality, therefore the trade may be required to upgrade regardless.

Option 4 - Return a limit but on the basis of not issuing any new plates (therefore number of plates reduces over time)

Some of the above advantages and disadvantaged plus:

Advantages:

- This is the preferred option of the persons responding to the WDC consultation.
- If transfer of vehicle licences are not controlled this can inflate the value and worth of a licence to existing holders, thus being an advantage to the trade as it introduces 'excess profit', that is, profit that would not exist if the level of supply was determined by market forces and not the local authority or regulator.

Disadvantages:

- Any advantages in terms of earnings for drivers will be slow to materialise. More so as the biggest threat to the trade at the moment in this respect is potentially competition from App based private hire companies such as Uber. The CTS report highlighted, of the members of the general public approached there was a high number of people obtaining vehicles by mobile or smart phone and on-line, 21%.
- Inflated values (also known as plate premiums) make it even more costly for a new person to enter the trade.

Plate premiums

It depends on the actual rules regarding return of plates and if the plates can be traded if no longer required by their owner or not. Some authorities have found ways in which the plates have to be returned (the clear direct legal option for this only exists in Scotland) such that no true plate value can accrue other than that relating to buying the value of the business.

It has however also been reported that disallowing plate transfers can also promote absentee plate holders; if they can't sell the plates for a premium then they hold onto them to lease out instead, given they may still be in high demand.

It is also difficult to assess accurately what the level a premium might be, as none of the authorities which have limits encourage the practice. An extract from a table in "Restricting Taxi Numbers Myth and Reality" (a paper written by Taxi Driver Online in 2004) reported the following figures, however it must be noted there is limited explanation for the source or accuracy of this data.

	No of plates	Plate premium
Manchester	788	£45,000
Brighton	459	£35,000
Leeds	402	£50,000
Oxford	99	£70,000
Wycombe	42	£50,000
Bournemouth	214	£30,000
Crawley	79	£40,000
Reading	138	£25,000
Woking	51	£50,000

2017 statistics

The latest WDC data (31 March 2017) is indicating a slight drop in number of drivers 483 (-12) and number of Private Hire Operators 61 (-7) on the 2016 figures. HCVs have risen to 215 (+2) and PHO vehicles have dropped to 182 (-3).

Market forces could be accountable as well as competition from App based operators, the biggest of which is a company known as Uber with over 25,000 registered drivers. As with all private hire operators Uber can dispatch vehicles and drivers to carry out work anywhere in the country, providing that the vehicle and driver that is allocated the booking is also licensed with the local authority that issued the relevant private hire operator licence.

The company uses an App that allows customers to book a private hire vehicle to collect and drop off in any location by using just a smart phone or iPad etc. The App also confirms the price of a journey upfront and allows the customer to make an electronic payment. Potentially this is an increasingly preferred way of securing a taxi for many customers.

7. FINAL COMMENTS

Officers are sympathetic with the plight of drivers who are attempting to increase their income, which is a problem that has not been helped with the introduction of the Deregulation Act 2015 which came into force and made it lawful for private hire operators licensed within a particular area to subcontract bookings to other operators in other licensed areas. In practice this not only means there can be a higher number of taxis in an area it also causes difficulties for licensing authorities as it allows drivers to lawfully operate anywhere in the country, regardless of where they are licensed.

Officers of Warwick District Council will continue to lobby for urgent change in primary legislation to ensure all licensing authorities promote public safety to the same degree but for the time being it is now for Executive to consider all the information and determine if there should be a policy to limit the number of hackney carriages in the Warwick district.

In respect of HCVs the main statutory function and aim of WDC is to protect the public but at the same time ensuring there is reasonable access to a safe and well maintained taxi service.

Q2 Please provide a brief summary of why you have chosen your preferred option over the others

	Responses	Date
1	To stop all new licences being issued would mean current licences may have extra financial value added to them	6/26/2017 9:22 AM
2	Warwick I feel have the right amount of taxis but I feel that their location is in the wrong place and should either be in close proximity to the bus station as it is hidden away in the town centre and all transport links I feel would benefit from being close toghether so anyone getting off a coach at the bus station does not have a long way to walk with luggage should they need a taxi? or the alternative would be better signage so when you get off a bus or coach.there should be more modern electric or hybrid vehicles or modern euro 6 diesels that don't spew out fumes, air pollution checks should also be carried out on taxi rank	6/25/2017 11:49 AM
3	There are far too many taxis licenced by WDC. There is not sufficient rank space, there is no longer enough work and we are against a losing battle with Uber.	6/25/2017 6:22 AM
4	Too many Taxis not enough work, too many people from other towns not adhering to taxi byelaws i.e. Overcharging being rude to customers, refusing short fares. The whole taxi structure needs to be looked into and policed to a better standard to ensure the public are offered a professional and safe service.	6/24/2017 9:17 PM
5	There are already far too many taxis . when i started there were approximately 60. as a result I earn about half minimum wage.The survey should have been done ten years ago. .	6/24/2017 6:39 PM
6	Its not balance anymore. Better to stop issuing new plate both hackney carriage and private plate. Working and waiting on the queue for 15 hrs everyday having less income not even enough for living. Too much competition.	6/24/2017 4:43 PM
7	Good for environment, and will maintain high standards	6/24/2017
8	At present too many here. Small town. No enough taxi rank. At present we cannot stay all the licence holders in the taxi rank. Increase taxi ranks then may consider. Uber taxi also operating our areas. So we lost at least 20% of Jobs already.	6/19/2017 1:52 PM
9	It doesn't seem to be a problem	6/15/2017
10	because there are more hackney on the road	6/12/2017
11	Because it's more relevant to over trade in these days.	6/12/2017
12	I have chosen option 4 because there are too many taxis in town and there are not enough parking spaces in a taxi rank as well as the waiting time being too long during the weekdays and are struggling to find jobs during the weekends too. It's hard to find jobs with the amount of taxis in the area and therefore result in a less income of money.	6/11/2017 6:47 PM
13	Taxi driving Joppa always good opportunity for new job	6/5/2017
14	there are currently too many taxis and not enough people using them. Therefore, return to limiting number of taxis will help improve service to customers as well as stop the growth in companies putting taxis into the market	6/4/2017 10:15 AM
15	Because There is already way too many hackney carriages	6/2/2017
16	i think number taxi ti many	5/31/2017
17	too many taxis no jobs	5/27/2017

18	Too many taxis not enough work and sapices on the rank.	5/26/2017
19	Hard to make living	5/26/2017
20	Too many taxis Hard to make living	5/26/2017
21	Because the uber taking our jobs and not enough space for taxi in the rank	5/25/2017
22	To many taxis that why no enough place to park and make business. To much competition plus uber does unfair competition.	5/25/2017 8:58 PM
23	Over crowded vehicles, no pleace to stop for plying, waiting too long for fares, causing aggression between drivers over fares,	5/25/2017 8:49 PM
24	Because of Uber and not enough business	5/25/2017 8:46
25	Because too many no work	5/24/2017 11:24
26	There are enough hackney plates to sufficiently meet demand in our area	5/24/2017 2:25
27	confusion over what is and isn't a Hackney carriage. improve standard of vehicles	5/24/2017 11:37
28	Too many taxis already	5/24/2017 5:22
29	Too many taxis not enough work not enough taxi rank space	5/23/2017 5:35
30	There are enough taxi in district.no space in ranks.no enough job in the area	5/23/2017 11:59
31	Too many taxi plate Issued not much work	5/23/2017 11:33
32	There are already plenty taxis. No space on the ranks either. It becomes very difficult to make a living.	5/23/2017 11:11 AM
33	Number of plates being issued should be limited due to there already being issues at rank for not having enough spaces.	5/22/2017 10:11 PM
34	Too many taxis no space on the rank long waiting for jobs	5/22/2017 5:52
35	Car expensive, plate expensive, badge expensive plus to many taxi then how can I make money.	5/22/2017 3:37 PM
36	Taxi to many no work no parking place 3or 4 over wating time 4 over one job	5/22/2017 3:04
37	Too many taxis for the area.	5/22/2017 2:40
38	So much taxi I can't make money because too much taxi	5/22/2017 2:27
39	Too many taxis already.	5/22/2017 2:20
40	I don't think we need any more taxis	5/22/2017 2:01
41	Too many taxis which is making it more difficult to earn money to maintain a taxi business as well as a standard of living. There's so many taxis that all the ranks are filled up, so taxis don't have no choice but to park illegally which is dangerous for the driver, other road users and members of the public. Uber has started coming to leamington which has started taking a part of the taxi trade, which furthermore makes it more difficult to earn.	5/22/2017 12:27 PM
42	Too many taxi licence issued	5/22/2017 11:54
43	There are too many taxis on the road and not enough work , council fees , licensing costs are increasing hugely and fares are diluting further due to all the new taxis coming on to work	5/22/2017 11:48 AM
44	Too many taxis less jobs long waiting	5/22/2017 11:26
45	Too many taxis no work and spices on the rank	5/22/2017 11:02
46	Too many taxis long wait for job most of time no space at rank for park	5/22/2017 9:34
47	Already to many taxis very difficult to living and uber coming	5/21/2017 8:02

48	Already too many taxis. Very difficult to make a living.	5/21/2017 8:01
49	Too many taxis no worksno	5/21/2017 4:31
50	Already too many taxis. Difficult to make money.	5/21/2017 10:42
51	There is not enough trade, also UBER taken our jobs parking around warwick district council area.	5/20/2017 9:05 PM
52	Met the requirement	5/20/2017 8:29
53	Too many	5/20/2017 8:28
54	More than enough taxis	5/20/2017 7:04
55	Too many	5/20/2017 7:03
56	Tikka y taxis in the area making it increasingly difficult to make a living. Additionally Uber have now started to work from the area and are further decreasing the work available. It's an unfair platform! A Wolverhampton drivers licence is £77 and a vehicle can be first licenced when it is up to 12 years old! The costs are a lot cheaper no wonder they can afford to run at Uber's prices!	5/20/2017 3:30 PM
57	Drive rear are working longer hours to make money and cars are not being maintained	5/20/2017 2:27 PM
58	That's the only solution	5/20/2017 1:54
59	Should be stopped years ago	5/20/2017 1:53
60	To look at the capacity of the city, it is hard to find a job because there are so many taxi, that they looking for the customer.	5/20/2017 12:36 PM
61	There doesn't seem to be a need for new Hackney plates .the rank in Warwick and Leamington are full with them every day. And even if we wanted to use the rank for our taxi there is no place to park there is nowhere and if we did get on the rank we would have to wait for a long time for a customer.	5/20/2017 10:40 AM
62	Demand for Hackney taxis is generally low, therefore I feel that there are too many Hackney plates being issued.	5/20/2017 10:40 AM
63	Because all the ranks are full and I get Fed up driving around to find space	5/20/2017 10:35
64	To many taxis no work less space on taxi ranks	5/20/2017 9:58
65	Too many taxis not enough work.no ranks to park taxix.	5/20/2017 9:51
66	Very long waiting time in between fares. Sometimes have to wait a few hours for a minimum fare job. Also Uber are now operating in the area, diminishing our earnings even further.	5/20/2017 9:51 AM
67	Town is flooded with taxis	5/20/2017 9:47
68	Because there is a small rank and not enough jobs available.	5/20/2017 9:27
69	To many taxies not enough work	5/20/2017 9:05
70	Too many taxis not enough work	5/20/2017 8:53
71	Too many taxis. No work!	5/20/2017 8:46
72	So many taxi no much work left	5/20/2017 7:50
73	Too many taxis no work!	5/20/2017 7:46
74	Too many taxis no work!	5/20/2017 7:43
75	Too many taxi not enough work ve	5/20/2017 7:41

76	Too many taxis	5/19/2017 11:09
77	I would like to see more electric vehicles and a smarter fleet in general	5/19/2017 3:57
78	Allows for a control on the amount of licenses issued but also means that the number doesn't decrease over time	5/19/2017 9:30 AM
79	There are too many taxis. Therefore there is no work.	5/18/2017 7:26
80	A lot of Taxis in the town. No space and no work	5/18/2017 6:01
81	Too many taxis. No space on ranks. No business	5/18/2017 5:54
82	There are far too many taxis in Warwick district. Enough for taxi demand.	5/18/2017 5:28
83	Work is very slow	5/18/2017 9:56
84	As the survey comprehensively suggests that there is no unmet demand so the issuance of new plates should be stopped, until after another periodic survey suggests otherwise.	5/17/2017 10:58 PM
85	Too many taxis. Warwick SQ is always full of them.	5/17/2017 9:41
86	Because there are too many plates, there is a reduction in the number jobs for taxi drivers. Also, there won't be enough space for all the taxi's to park.	5/17/2017 7:12 PM
87	Too many taxis and it's getting harder to get jobs- have to wait over 2 hours before the job comes on the rank and parking has become another issue so please enough is enough. If drivers are parked anywhere else they get points and told to drive around the town burning wasting fuel in dead mileage.	5/17/2017 6:01 PM
88	Too many taxis no parking space and no work	5/17/2017 2:46
89	There is no space on rank. And there are too many taxis	5/17/2017 1:25
90	There are too many hackney taxis. Therefore there should be a limit for that.	5/16/2017 7:51
91	There are already sufficient taxis in the area.	5/16/2017 7:39
92	Many people are coming from so far away to leamington and Warwick to work which they don't know the area and most of them they can't speak English. And when they finish their shifts they leave their taxis all around leamington and on north timberland road. I think the taxi drivers should be from around the area at least.	5/16/2017 6:43 PM
93	There are too many taxi's, not enough space for them to park	5/16/2017 4:59
94	I think at this point of time we have a lot hackney carriage vehicles in the town. Therefore it is hard to find the parking space on ranks especially weekends. I suggest that the plates should be stopped for some period of time. As there is less demand and more supply.	5/16/2017 2:24 PM
95	To put a limit on the issue of plates could cause problems in the future with increased housing/development in the area. Also this limit will require continuous checking/monitoring to check on the demand in the area. All of this costs and will be passed on to the operators. Improving fleet quality, drivers and ranks is more important for both the trade and customers.	5/16/2017 2:00 PM
96	Have a fixed level but maybe adjust with new housing, population increase. Electric vehicles is a definite especially with damaging omission levels from older Taxi's.	5/16/2017 1:50 PM
97	It's not enough trade , specially when is already UBER around Leamington and surrounding areas.	5/16/2017 1:40 PM

Q8 Do you have any other comments you wish to add?

	Responses	Date
1	Feel there are sufficient hackney carriage crhicaks but they do feel threatened by private hire companies so some protection should be given and more ranks provided	6/26/2017 9:22 AM
2	I think hackney carriage owners should have the freedom to put their plate on vehicles that are not wheelchair accessible vehicle. It should be a choice for the driver of what type of vehicle they drive. Whether they want a saloon type vehicle or a WAV , there would be sufficient vehicles designed to carry wheel chair users. I think vehicles like VW tourans should not be licenced for more than 4 passengers. I think it's unsafe for passengers who are made to sit in the boot space. Passengers can be left trapped in the event of a accident, I feel it's dangerous. It's far more threatening than having a rear loading WAV. The same rule should apply. Either allow Peugeot premier type vehicles to be licensed hackney carriages or stop Touran type vehicles. Further regulation needs to be implemented, regulations set by WDC are not taken serious by the drivers. Fare Refusals, overcharging etc. We need to have rank marshalls and proper rank rules. Licences should be honoured in a professional manor and not in a manor where drivers are just looking to fill their pockets at the cost of the customer! The test should be more intense and the English test should be more in depth than just asking or giving someone the time. Communication could compensate passenger's safety and well being. There is too much to list of what needs reviewing but I think licensing need to go back to their drawing bored to conjure up a way of knocking taxi drivers in to shape.	6/25/2017 6:22 AM
3	All vehicles should be no more than 10 years old, and rear loading wheelchair vehicles should be told that on next renewal they must get a side loading vehicle or loose the plate.	6/24/2017 9:17 PM
4	Ive held a licence over 30 years .I have recently been hailed by Japanese tourists when I had 6 cars in front of me i.e. from a long way off. I've been hailed at night in the towns thousands of times even with the taxi sign light switched off. The public can easily identify taxis . I believe having the same colour is introducing a change for the sake of introducing a change . If you continue to increase costs and conditions I will look at getting licensed out of district where costs and conditions are significantly less and work for uber in this district. At the end of the day this is my full time job and I need to make a living . I used too regularly work late at night but don't now because there are too many taxis . That income has gone .	6/24/2017 6:39 PM
5	I would like there to be more taxi ranks as there aren't many to notify the public of taxi services e.g. adding signs of taxi services at pubs and food shops.	6/11/2017 6:47 PM
6	Already stop for small car and I want get plate if you stop for big car car price will be more expensive than I can't get my own car and there is lots uBer driver around anyway	6/5/2017 2:21 PM
7	the taxis should use their meters to charge their customers fairly instead of determining the price themselves	6/4/2017 10:15 AM
8	No	6/2/2017
9	no space for taxis	5/27/2017
10	We want you stopped taxi plates so this small town can take any more taxi and we want you take seriously action against uber thanks	5/25/2017 10:59 PM
11	No enough space to many cars for small town. Please stop uber they do unfair competition. We want you to definitely stop plates thanks	5/25/2017 8:58 PM

12	I believe warwick district council issued more plates than the district need and I believe the issuing new grant plates should be stopped	5/25/2017 8:49 PM
13	* Uber needs to be stopped immediately because unfair competition. * Taxi ranks not enough. * Most of the taxi drivers waiting in front of Travel lodge for job just 50 steps from the main taxi rank. *	5/25/2017 8:46 PM
14	Should be more organized	5/24/2017
15	I always struggle to identify a Hackney carriage in warwick. I occasionally want to travel to Birmingham and there's no fare pricing or details of registered companies at the Warwick rank. The warwick rank is often deserted, especially at rush hour, when I suspect they all go to Leamington station. All the private hire vehicles are rubbish, why can't we have decent recognisable cars like Stratford.	5/24/2017 11:37 AM
16	Taxi rank should be permitted for taxi only no private cars parking in taxi rank any time	5/23/2017
17	Not space on rank . Provide more rank space	5/23/2017
18	Too many taxis Uber is killing the business Very difficult to pay bills and make money	5/22/2017
19	Number of plates being issued should be controlled as at the moment there are way too many taxis in comparison to the parking spaces available at the rank. Which means that some drivers do not get the opportunity to be able to stay at that rank and have to relocate themselves.	5/22/2017 10:11 PM
20	Make rank .more bigger	5/22/2017
21	No work	5/22/2017
22	Need to sort out the taxi ranks. More of them and increase the number of spaces on the Hamilton Terrance rank.	5/22/2017 2:40 PM
23	Taxis are already way to spot they have a big sign on the roof that says Taxi	5/22/2017
24	O	5/22/2017
25	Nill	5/22/2017
26	The council need to provide more help and introduce policies or regulations and code of conduct that is more driver friendly - at the moment it feels as though the council isn't for the hackney licences but against them	5/22/2017 11:48 AM
27	Too many taxis	5/21/2017
28	Drivers need space to rank in kenilworth Warwick and leamington spa too many drivers no ranking and stop issuing new plate, already we have lost so many coustomers to uber many thanks	5/21/2017 6:36 PM
29	Hackney carriage already clearly identified by large taxi sign upon roof. And side Hackney carriage stickers. Suggest to implement signage for private hire like other authorities with a sign on top saying Pre booked only. Over time vehicle manufacturers are introducing more environmentally friendly cars so the taxis and Phv will all eventually be lower emission vehicles.	5/21/2017 10:42 AM
30	* I think we should have a UBER Marshall instead of Taxi Marshall. * I think UBER app should not be available in warwick district council area. * I think all the Taxi rank should have many electric vehicles charging points. This is the future. *	5/20/2017 9:05 PM
31	It's becoming more difficult to keep a vehicle up to the required standard when the work is reducing both by the number of taxis and uber. Myself and a numbe of other drivers / owners are considering Licencing with Wolverhampton to reduce our costs!	5/20/2017 3:30 PM
32	Due to the age of some cars there should be a age limit. For example most towns now have age restrictions. So I would recommend a 10 year age limit. This would also give a good image to people visiting the area	5/20/2017 2:27 PM

33	No	5/20/2017
34	No	5/20/2017
35	We are all struggling to earn a living and have to work more and more	5/20/2017
36	Not applicable	5/20/2017
37	As mentioned earlier the market is saturated and this problem has been made even worse with the arrival of Uber. Uber are also not working within their own guidelines and blatantly plying for hire as are some of our own private hire companies who are driving around town and parked outside clubs when their premises are closed.	5/20/2017 9:51 AM
38	New licences should be stopped	5/20/2017
39	Stop issuing more licences.	5/20/2017
40	Na	5/20/2017
41	Ñ/a	5/20/2017
42	It's already too late now to do such thing but never too late	5/20/2017
43	No more taxis.	5/20/2017
44	Vehicle age10 year	5/20/2017
45	Private cars must not be allowed to park on taxis ranks.	5/18/2017
46	No space at night on ranks. Altoria rank is full of private cars. So please give space to taxis on altoria	5/18/2017
47	Extension of ranks. Private cars should not be allowed to park on taxi ranks especially at night.	5/18/2017
48	More taxi rank spaces	5/18/2017
49	WDC and the relevant authorities should consider the following Ranks which will improve the service to customers and also improve the work for taxi drivers as they will be better spread out. 1) Warwick Hospital: there is demand of taxis is hospital and specially at peak times patients and visitors wait for long time because of horrendous traffic in the area. For the service improvement a Rank must be introduced with the consultation of hospital trust. Obviously an appropriate fee should be applied as in Station ranks. 2) New Kenilworth station: As the new station opens by the end of this year, we are hoping that a rank is introduced there like Leamington Spa and Warwick Parkway. 3) Warwick Station: It is unfair with Hackney drivers that the busy station is entirely given to Castle Cars, there should be rank there, with appropriate fee, to give customers a choice between private hire and hackney carriages. The mad prices that the private hire charge (£6 minimum fare) is unfair to customers and they should be given an option of hackney carriage at the station	5/17/2017 10:58 PM
50	Too many taxis around this area.	5/17/2017
51	There are not enough facilities for the taxi drivers. For example, there is a parking problem for taxi drivers at on weekends, therefore more parking space is needed.	5/17/2017 7:12 PM
52	Lot of elderly people or even younger people prefer small saloon cars as they are much more comfortable and easy to get in so most people prefer smaller cars especially if less than 4 passengers are travelling.	5/17/2017 6:01 PM
53	All ranks should be extended because taxis too many	5/17/2017
54	Too many taxis!	5/17/2017
55	Please extend the taxi ranks	5/17/2017
56	I think there are enough taxis to fulfil the present demand. How ever having a repeated survey every three years will be a good idea.	5/16/2017 7:39 PM

57	I think there should be a stop to the number of taxi's there are because we live in a small town and have too many taxi's in a small area.	5/16/2017 4:59 PM
58	I have a Fiat Doblo 4 passenger hackney carriage vehicle. I request that I should be given the permission to change the vehicle into another new 4 passenger vehicle. I have already requested council for that permission. I do not want a 7 seater vehicle. Therefore please allow me to replace my 4 seater vehicle into a new 4 seater vehicle.	5/16/2017 2:24 PM
59	Can we have tea and cakes at the next DOF meeting please! Lovely! :-)	5/16/2017 2:00
60	Yes, Uber!! how are they able to operate within Warwick county council. I operate in Kenilworth and into Leamington and have noticed an increasing number of Uber vehicles Licenced to either Birmingham or Wolverhampton. They are taking local custom! what can be done.	5/16/2017 1:50 PM
61	Hybird or electric car is great idea maybe can be done near future maybe 2020 , also outcome would be for drivers financially to purchases a new car with electric and hybird .also most of the hackney carriage are mini bus so there is no much market yet for a large minibus in hybird or electric .	5/16/2017 1:40 PM

9. BREAKDOWN OF COMMENTS TO QUESTION 8 BY TYPE

Fleet Development	1. Hybird or electric car is great idea maybe can be done near future maybe 2020, also outcome would be for drivers financially to purchases a new car with electric and hybird. Also most of the hackney carriage are mini bus so there is no much market yet for a large minibus in hybird or electric . 2. Lot of elderly people or even younger people prefer small saloon cars as they are much more comfortable and easy to get in so most people prefer smaller cars especially if less than 4 passengers are travelling. 3. Vehicle age10 year 4. Due to the age of some cars there should be a age limit. For example most towns now have age restrictions. So I would recommend a 10 year age limit. This would also give a good image to people visiting the area 5. I think all the Taxi rank should have many electric vehicles charging points. This is the future. 6. Over time vehicle manufacturers are introducing more environmentally friendly cars so the taxis and Phv will all eventually be lower emission vehicles. 7. All the private hire vehicles are rubbish, why can't we have decent recognisable cars like Stratford. *** 8. Already stop for small car and I want get plate if you stop for big car car price will be more expensive than I can't get my own car and there is lots uBer driver around anyway 9. All vehicles should be no more than 10 years old, and rear loading wheelchair vehicles should be told that on next renewal they must get a side loading vehicle or loose the plate. 10. I think hackney carriage owners should have the freedom to put their plate on vehicles that are not wheelchair accessible vehicle. It should be a choice for the driver of what type of vehicle they drive. Whether they want a saloon type vehicle or a WAV , there would be sufficient vehicles designed to carry wheel chair users. I think vehicles like VW tourans should not be licenced for more than 4 passengers. I think it's unsafe for passengers who are made to sit in the boot space. Passengers can be left trapped in the event of a accident, I feel it's dangerous. It's far more threatening than having a rear loading WAV. The same rule should apply. Either allow

	Peugeot premier type vehicles to be licensed hackney carriages or stop Touran type vehicles 11. The test should be more intense and the English test should be more in depth than just asking or giving someone the time. Communication could compensate passenger's safety and well being. There is too much to list of what needs reviewing but I think licensing need to go back to their drawing bored to conjure up a way of knocking taxi drivers in to shape.

Taxi Ranks	1. Please extend the taxi ranks
	2. All ranks should be extended because taxis too many
	3. There are not enough facilities for the taxi drivers. For example, there is a parking problem for taxi drivers at on weekends, therefore more parking space is needed.
	4. WDC and the relevant authorities should consider the following Ranks which will improve the service to customers and also improve the work for taxi drivers as they will be better spread out.
	    1) Warwick Hospital: there is demand of taxis is hospital and specially at peak times patients and visitors wait for long time because of horrendous traffic in the area. For the service improvement a Rank must be introduced with the consultation of hospital trust. Obviously an appropriate fee should be applied as in Station ranks.
	    2) New Kenilworth station: As the new station opens by the end of this year, we are hoping that a rank is introduced there like Leamington Spa and Warwick Parkway.
	    3) Warwick Station: It is unfair with Hackney drivers that the busy station is entirely given to Castle Cars, there should be rank there, with appropriate fee, to give customers a choice between private hire and hackney carriages. The mad prices that the private hire charge (£6 minimum fare) is unfair to customers and they should be given an option of hackney carriage at the station
	5. More taxi rank spaces
	6. Extension of ranks. Private cars should not be allowed to park on taxi ranks especially at night.
	7. No space at night on ranks. Altoria rank is full of private cars. So please give space to taxis on altoria rank
	8. Private cars must not be allowed to park on taxis ranks.
	9. Drivers need space to rank in kenilworth Warwick and leamington spa too many drivers no ranking
	10. Need to sort out the taxi ranks. More of them and increase the number of spaces on the Hamilton Terrance rank.
	11. Make rank .more bigger
	12. Number of plates being issued should be controlled as at the moment there are way too many taxis in comparison to the parking spaces available at the rank. Which means that some drivers do not get the opportunity to be able to stay at that rank and have to relocate themselves.
	13. Not space on rank . Provide more rank space
	14. Taxi rank should be permitted for taxi only no private cars parking in taxi rank any time
	15. The warwick rank is often deserted, especially at rush hour, when I suspect they all go to Leamington station.
	16. Should be more organized
	17. Taxi ranks not enough.
	18. No enough space to many cars for small town.
	19. no space for taxis

	20. I would like there to be more taxi ranks as there aren't many to notify the public of taxi services e.g. adding signs of taxi services at pubs and food shops. 21. Feel there are sufficient hackney carriage crhicaks but they do feel threatened by private hire companies so some protection should be given and more ranks provided
Overcrowding/overpopulation	1. I think there should be a stop to the number of taxi's there are because we live in a small town and have too many taxi's in a small area. 2. I think there are enough taxis to fulfil the present demand. How ever having a repeated survey every three years will be a good idea. 3. Too many taxis! 4. Too many taxis around this area. 5. No more taxis. 6. Stop issuing more licences. 7. New licences should be stopped 8. We are all struggling to earn a living and have to work more and more 9. stop issuing new plate 10. Too many taxis 11. No work 12. Too many taxis 13. I believe warwick district council issued more plates than the district need and I believe the issuing new grant plates should be stopped 14. We want you to definitely stop plates 15. We want you stopped taxi plates so this small town can take any more taxi

Uber	1. Yes, Uber!! how are they able to operate within Warwick county council. I operate in Kenilworth and into Leamington and have noticed an increasing number of Uber vehicles Licenced to either Birmingham or Wolverhampton. They are taking local custom! what can be done.
	2. As mentioned earlier the market is saturated and this problem has been made even worse with the arrival of Uber. Uber are also not working within their own guidelines and blatantly plying for hire as are some of our own private hire companies who are driving around town and parked outside clubs when their premises are closed.
	    a. I think we should have a UBER Marshall instead of Taxi Marshall.
	    b. I think UBER app should not be available in warwick district council area.
	3. already we have lost so many coustomers to uber
	4. Uber is killing the business Very difficult to pay bills and make money
	5. Uber needs to be stopped immediately because unfair competition.
	6. Please stop uber they do unfair competition.
	7. we want you take seriously action against uber
	8. If you continue to increase costs and conditions I will look at getting licensed out of district where costs and conditions are significantly less and work for uber in this district. At the end of the day this is my full time job and I need to make a living . I used too regularly work late at night but don't now because there are too many taxis . That income has gone .

Identification of HC Vehicles	1. Hackney carriage already clearly identified by large taxi sign upon roof. And side Hackney carriage stickers. Suggest to implement signage for private hire like other authorities with a sign on top saying Pre booked only. 2. Taxis are already way to spot they have a big sign on the roof that says

	Taxi
	3. I always struggle to identify a Hackney carriage in warwick.
	4. Ive held a licence over 30 years .I have recently been hailed by Japanese tourists when I had 6 cars in front of me i.e. from a long way off. I've been hailed at night in the towns thousands of times even with the taxi sign light switched off. The public can easily identify taxis . I believe having the same colour is introducing a change for the sake of introducing a change .
Conduct	1. The council need to provide more help and introduce policies or regulations and code of conduct that is more driver friendly - at the moment it feels as though the council isn't for the hackney licences but against them
	2. Most of the taxi drivers waiting in front of Travel lodge for job just 50 steps from the main taxi rank.
	3. the taxis should use their meters to charge their customers fairly instead of determining the price themselves
	4. Further regulation needs to be implemented, regulations set by WDC are not taken serious by the drivers. Fare Refusals, overcharging etc. We need to have rank marshalls and proper rank rules. Licences should be honoured in a professional manor and not in a manor where drivers are just looking to fill their pockets at the cost of the customer!

	EXECUTIVE	Agenda Item No.
WARWICK DISTRICT COUNCIL	5th April 2018	**5**

Title	Service Area Plans for 2018/19 & Annual Performance Reports for 2017/18
For further information about this report please contact	Andrew Jones (01926) 456830 Andrew.jones@warwickdc.gov.uk
Wards of the District directly affected	All
Is the report private and confidential and not for publication by virtue of a paragraph of schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006?	No
Date and meeting when issue was last considered and relevant minute number	Executive meeting 5th April 2017
Background Papers	See above

Contrary to the policy framework:	No
Contrary to the budgetary framework:	No
Key Decision?	No
Included within the Forward Plan? (If yes include reference number)	Yes 922
Equality & Sustainability Impact Assessment Undertaken	No
Not applicable.	

Officer/Councillor Approval	Date	Name
Chief Executive	19th March 2018	Chris Elliott
CMT	19th March 2018	Chris Elliott, Bill Hunt, Andrew Jones
Section 151 Officer	19th March 2018	Mike Snow
Monitoring Officer	19th March 2018	Author
Portfolio Holder(s)	19th March 2018	All
Consultation & Community Engagement		
Final Decision?		Yes

1   SUMMARY

1.1   The report covers a number of areas:
   • Approval of the Council's Service Area Plans for 2018/19;
   • Reporting of performance against Service Area Plans for 2017/18;
   • An update on officers' approach to performance management.

2   RECOMMENDATIONS

2.1   That Executive agrees the Service Area Plans (SAP) at appendices A-G as the Council's programme of work for the financial year 2018/19.

2.2   That Executive notes the respective Service Area's Annual Performance Reports at Appendices H to O making any comments it considers appropriate.

2.3   That Executive notes the position in respect of performance monitoring and reporting.

3   REASONS FOR THE RECOMMENDATIONS

3.1   <u>Recommendation 2.1</u>

3.11 The Council has seven Service Areas - Chief Executive's Office; Cultural Services; Development Services; Finance; Health & Community Protection; Housing Services; and Neighbourhood Services - each of which, following consultation with the respective Portfolio Holders, produces an annual SAP. The SAP comprises five parts:

   • Part 1 - Purpose of the Services Provided
   • Part 2 - Managing Service Delivery
   • Part 3 - Managing and Improving People
   • Part 4 - Budget (Main budgetary pressures and changes)
   • Part 5 - Managing Planned Changes, Major Work-streams and Projects

3.12 The individual plans seek to describe a Service Area's scope of services and projects, and how delivery will be managed through the respective Service Area's resources. In aggregate the SAP's are the programme of work for the Council for the financial year in question.

3.13 Executive is asked to agree the SAP's at Appendices A-G, noting that performance is reported to Overview & Scrutiny Committee on a rolling basis and to Executive at the end of the municipal year.

3.2   <u>Recommendation 2.2</u>

3.21 Following Executive's agreement of the SAP's each year, Service Heads use them as a tool to manage performance. They are also used as the catalyst of discussion between individual Portfolio Holders and Service Heads, as well as giving Overview & Scrutiny Committee (O&S) the opportunity to question the Portfolio Holders on their performance against their respective Plans on a rolling basis. At Appendices H to O an annual performance report is provided for each of the Service Areas. Executive is encouraged to identify any issues that it considers pertinent.

3.3   Recommendation 2.3

3.31   Historically the Council had used a very comprehensive performance
       management framework to manage and report upon service delivery. Following
       the change of Government in 2010, Councils were encouraged to take a more
       streamlined approach. This Council embraced the new attitude dispensing with
       target-based approach to performance and instead using *measures* (not aiming
       for a specific output but seeking to continually improve) to understand and
       manage performance.

3.32   In tandem with this new approach the practice of presenting Councillors with a
       myriad of performance figures also ended and instead, Heads of Service were
       encouraged to use narrative performance reports to describe to Councillors how
       their respective Service Areas were performing. It is officers' view that this has
       been successful in helping Councillors get a good understanding of how a
       Service is performing without getting bogged-down with why a particular target
       has not been achieved.

3.33   However, as reported to Executive in April 2017, it was senior officers' view
       that to enable service issues to be addressed more readily then performance
       information needed to be available in a more timely fashion and that extra
       resource was necessary to gather and interpret this information. Following
       preliminary discussions with Warwickshire County Council it was envisaged that
       their automated approach to performance reporting could be replicated at this
       Council. A project therefore commenced involving both Council's ICT teams.

3.34   As this Council's ICT team started to understand the County's approach it
       became clear that it would be possible to deliver a solution in-house via the use
       of Microsoft's sharepoint product. Working with Neighbourhood Services Service
       Area, a performance reporting model has been developed that has been
       endorsed by the Council's Senior Management Team which will now be rolled-
       out on a Service Area-by-Service Area basis over the next 12 months. As the
       programme rolls out, Councillors will be advised how they can view the
       performance information. This approach has enabled the funding that was
       provided for the initiative totalling £60,000 to be returned to the Service
       Transformation Reserve (STR).

4   POLICY FRAMEWORK

4.1   Fit for the Future (FFF)

       The Council's FFF Strategy is designed to deliver the Vision for the District of
       making it a Great Place to Live, Work and Visit. Amongst other things, the FFF
       Strategy contains Key projects.

       The FFF Strategy has 3 strands – People, Services and Money and each has an
       external and internal element to it. The Council's SAP's are the programme of
       work fundamental to the delivery of the strands described in the table below.

FFF Strands		
People	**Services**	**Money**
External		
Health, Homes, Communities	**Green, Clean, Safe**	**Infrastructure, Enterprise, Employment**
<u>Intended outcomes:</u> Improved health for all Housing needs for all met Impressive cultural and sports activities Cohesive and active communities	<u>Intended outcomes:</u> Area has well looked after public spaces All communities have access to decent open space Improved air quality Low levels of crime and ASB	<u>Intended outcomes:</u> Dynamic and diverse local economy Vibrant town centres Improved performance/ productivity of local economy Increased employment and income levels
Internal		
Effective Staff	**Maintain or Improve Services**	**Firm Financial Footing over the Longer Term**
<u>Intended outcomes:</u> All staff are properly trained All staff have the appropriate tools All staff are engaged, empowered and supported The right people are in the right job with the right skills and right behaviours	<u>Intended outcomes:</u> Focusing on our customers' needs Continuously improve our processes Increase the digital provision of services	<u>Intended outcomes:</u> Better return/use of our assets Full Cost accounting Continued cost management Maximise income earning opportunities Seek best value for money

5   BUDGETARY FRAMEWORK

5.1   Executive's approval of the SAP's will enable work to continue of the Council's Fit For the Future Change Programme which has the aim of making significant savings/ increasing income whilst at the same time maintaining or improving the breadth and quality of Council services.

5.2   The STR will be increased by £60k with the return of the previously allocated funding.

6   RISKS

6.1   This report relates to all aspects of Council Service delivery. The Council has a strong risk governance framework in place from the Significant Business Risk Register through to the individual Service Risk Registers and on to day-to-day risk assessments. Individual projects have their own Issues and Risk logs and there is regular reporting either to Project Boards and/or Executive.

6.2   The experience of the last 6 years for local government is that the funding situation gets worse than anticipated. There is therefore a risk that even though there is a plan for delivering savings/ increased income, more is required. It is therefore prudent to put plans in place which deliver savings/ increased income in excess of the current known requirement. Officers will be reporting to

Executive in June 2018 with proposals for the next stage of the FFF Change Programme wherein further savings/ income generating initiatives will be recommended.

7   ALTERNATIVE OPTIONS CONSIDERED

7.1   No alternative options to the recommendations in this report have been considered.

Service Area Plan 2018/19

| Part 1 - Service Information/links to policy |
| Part 2 – Managing Service Delivery |
| Part 3 – Managing and Improving People |
| Part 4 – Budget |
| Part 5 – Managing Planned Changes/Projects |

Service Area :	Chief Executives Office
Service Area Manager:	Chris Elliott
Deputy Chief Executive:	Andrew Jones, Bill Hunt
Portfolio Holder(s):	Cllr Andrew Mobbs, Cllr Phillips (Assets)

1   Purpose of the Services Provided

To provide comprehensive, professional and customer-focused support services which meet the Council's corporate objectives through the provision of cost effective and high quality services

Warwick District Council External Customers (Citizens) – We will

- enable the creation of a customer focussed Council, supporting joined up services and facilitating the creation of more efficient processes.
- improve customer access to Council services, taking advantage of electronic channels of contact and delivery.
- provide appropriate data security when handling or have responsibility for your data.
- ensure all new developments achieve Value for Money for the citizens of the district.
- support transparent government and enable the democratic process.
- ensure that we operate and manage our assets to support effective service deliver, maintains the safety of their users and provides value for money solutions to minimise costs to our residents
- lead on communicating the Council's news to inform residents and visitors to the district about the services provided, using all available channels

Warwick District Council (Corporate) – We will

- support the delivery of Fit for the Future, relevant policies and service priorities through the development and implementation of relevant strategies and the democratic process.
- ensure the effective and efficient delivery of support services.

- provide appropriate data security and continuity of service delivery.
- create a capability to exploit joined up working.
- establish and exercise effective strategic and service governance and management
- research and implement effective ways of reducing energy use and carbon emissions through technology.
- support transformational and incremental improvement interventions.
- ensure that key programmes and corporate projects are run effectively and deliver benefits to staff and customers.
- support leaders of the organisation by collating and providing relevant data about the customers and the community.
- help the organisation and people in it to develop, learn and improve.
- provide technical advice on all aspects of asset management, new development and asset base re-configuration to ensure our assets are used in the most effective way possible and support efficient service delivery
- provide the organisation with a robust Asset Management Strategy
- lead on informing staff and stakeholders about the council's fit for the future themes and how service delivery reflects this

Warwick District Council Internal Customers (Users of the Service) – We will

- provide high quality and responsive support services to officers and members.
- deliver high levels of service availability.
- empower staff to make better use of Council resources through the provision of training and development.
- undertake a programme of Continual Service Improvement supported by the monitoring and reporting of service performance
- provide professional high quality technical advice appropriate to the needs of Council
- procure and manage contracts to ensure that assets are maintained and improved and appropriate technical, safety and compliance advice and support is offered to the managers of operational buildings
- ensure our staff are fully informed about communications and marketing services we provide and the decisions taken by the council, so that they are better equipped to undertake their role and support decisions when interacting with the public.

1.1   Linkages to Fit For the Future Strategy

External	Direct	Indirect
Service (Green, Clean and Safe)	Will seek to use and move towards sustainable methods of service delivery. Monitoring the energy efficiency of the Council's corporate assets and devising cost effective proposals to improve their energy efficiency and providing support and assistance to Housing Services to allow them to do so for the HRA stock	The service will act as an enabler for others to deliver their aspects of Fit for the Future Strategy

	Managing the energy supply contracts for the Council in the most efficient way possible	
People **(Health, Homes and Communitites)**	Implementation of Digital Council Services to assist communities with poor transport links. Ongoing support for BDUK, promoting rural broadband connectivity.	The service will act as an enabler for others to deliver their aspects of Fit for the Future Strategy The service will act as an enabler for the successful delivery of the HRA Business Plan
Money **(Infrastructure, Enterprise and Employment)**	implementing an asset management strategy to ensure that opportunities for the Council to use its assets and land holdings to the benefit of the local economy are maximised providing technical advice, support and project management where appropriate for corporate projects	The service will act as an enabler for others to deliver their aspects of Fit for the Future Strategy (FFF)

Internal	Direct	Indirect
Service **(Maintain or Improve services)**	provision of technical advice, collection and maintenance of stock condition information and management of responsive repair, planned improvement, gas/electric and other safety contracts for the Council's retained housing stock and the corporate assets owned by other Service Areas undertaking options appraisals for the Housing Service area on the most effective means of developing new HRA housing and improving the existing stock	The service will act as an enabler for others to deliver their aspects of FFF
People **(Effective Staff)**	Embedding health and wellbeing in the Council at all levels Ensuring that the Council meets all health and safety requirements in respect of its housing and corporate assets Right people with the right skills in the right jobs through effective workforce planning promoting the services we offer through correct channels to enable awareness and accessibility to services	The service will act as an enabler for others to deliver their aspects of FFF

Money (Firm Financal Footing over long term)	Asset improvement and replacement plans Effective procurement in line with our CoPP Effective contract management	The service will act as an enabler for others to deliver their aspects of FFF

2 Managing Service Delivery

2.1 Service Overview

(NB – Specify main aspects of service delivery during the year)

Service Being Delivered	Priorities (with Justification)	Service Demand	
Assets Team	Developing and managing the delivery of the Council's Asset Management Strategy in order to support the Fit for the Future Programme and the achievement of the Council's Medium Term Financial Strategy and HRA Business Plan objectives	c.5,500	No. HRA properties
		c.200	No. operational or leased Corporate properties
	Providing property owning service areas with technical advice, assistance and support in the feasibility, development and delivery of asset related maintenance and development projects		
	Maintaining the value and quality of the Council's HRA and corporate stock through cost effective and customer focused repairs and maintenance	c. 18,000	No. HRA repairs completed per annum
		£5.3m	Budget: HRA Repairs and Void Properties
		c. 20,000	No. corporate property repairs completed per annum
		£1.74m	Budget: Corporate Property Repair and Planned Maintenance
	Assisting in the appraisal, planning and delivery of the Council's major refurbishment and re-development projects across the Council's HRA and corporate stock	£30.69m	Budget: Housing Investment Programme and corporate capital programme

Service Being Delivered	Priorities (with Justification)	Service Demand	
	Ensuring a robust approach is taken to maintaining the Council's assets in line with statutory regulation and best practice		
	Collecting, maintaining and reviewing stock condition survey data for HRA and corporate stock to ensure flexible and effective repair, maintenance and improvement strategies, and to provide up to date plans and work programmes to inform future investment requirements		
	Seeking opportunities to improve the environmental impact and sustainability of the Council's new and existing assets		
	To ensure that works and services required to manage the Council's corporate assets are regularly reviewed to ensure that they comply with the Code of Procurement Practice and the Public Contract Regulations	31	No. works and services contracts
ICT Services	Develop and manage the ICT Strategy to meet the Council's priorities		
	Develop and monitor the Information Security Policy to ensure the Confidentiality, Integrity and Availability (CIA) of Council data.		
	Develop and rehearse the ICT Business Continuity Plan to ensure the continuity of Council services		
	Develop and monitor the ICT investment plan to maintain a stable and secure platform for current service delivery and to meet the future needs identified in the ICT Strategy	£1,532,407 £33,000	ICT Asset Reserve (5 Years) Digital work programme 18/19
Desktop Services	Provision of first line and second line Desktop Support, including the provision of a Helpdesk Service, to minimise the disruption caused by service incidents and to improve personal productivity through the adoption of technology.	14,000 600+ Users	No. of Helpdesk calls per annum, excluding Face-To-face, and emails. The team also has project work. Staff, Councillors, Contractors & WCC staff
Applications Support	Provision of support services to users of the Council's line-of-business applications to maintain system availability and to ensure that the applications are exploited to the benefit of the Council and the citizen.	3,200	Ad-hoc requests per year, although the majority of the work is project based
Infrastructure	Provision of a stable, secure, performant network, storage, server and telephony services stable operating environment for all the IT functions using the technology	120+ servers	Primarily a project based team
Geographical Information Systems	Provision and maintenance of the Council's Local Land & Property Gazetteer (LLPG) is a statutory requirement and one which provides an authoritative address database for the Council and its systems;	23,000	Approx. number of address creations/updates for the current year

Service Being Delivered	Priorities (with Justification)	Service Demand	
	Delivery of a corporate geographical information service to the Council is designed to capture, manage, analyse and present all types of spatial and geographical data that it holds – equating to over 80% of all information held by a local authority		
	The provision of a Street Naming & Numbering Service is a statutory requirement.	150 £45,000	Requests per annum Income target
Electoral Services	To deliver and maintain the electoral register for Warwick District, in line with the requirements for Individual Electoral Registration	109,000	Number of electors
	To deliver the requirements placed on this Council for potential Neighbourhood Plan referendums or byelections		
Civic & Committee Services	To manage and support all Council, Executive, Committee and Sub-Committee meetings of the Council	180	Committee meetings per year
	To manage & support the Chairman of the Council, at the functions they host and attend.		
Corporate Support Team	To administer all information requests, associated reviews and work with the Information Commissioner.	700	Requests for information per year
	To administer all Stage 1, Stage 2, LGO and HO complaints about this Council	100	Complaints per year
	To provide a same day document processing service and to manage the corporate scanning project		
	To provide an accurate same day cash receipting system		
	To provide an efficient postal system offering timely delivery		
Information Governance	To provide an information Governance and assurance for the Council in ensuring relevant Policies are in place along with appropriate training and support for officers.		
Payroll	To liaise with Coventry City Council to co-ordinate payroll and HR transactional services		Monthly
	To ensure people management information – vacancies, absence etc is up to date at all times		Quarterly via SMT and PSSG
	To co-ordinate pension information between Coventry City Council and our Pension provider – Warwickshire County Council		Monthly
	To provide 'Self Serve' to all staff and Councillors which includes Expenses, Overtime, ime sheets and Mileage		

Service Being Delivered	Priorities (with Justification)	Service Demand	
HR	Develop and manage the People Strategy to meet the Council's priorities.		Quarterly (SMT PSSG)
	To ensure the Council Policies and practices are fit for purpose and acts within legislation in order to maintain its role as a fair and equitable employer		Annual
	To provide management information regularly to enable the Council to make informed decisions, for example absence, turnover and agency costs.		Quarterly via SMT and PSSG
	To continue to work with Service Areas in reviewing efficiencies and resourcing in all service areas		
	Review E & D priorities including updated training for EQIA's and link to Public Sector Equality Duty		Quarterly via SMT and PSSG
	To ensure the organisation continues in its drive to support different ways of working throughout the council		
Learning & Development	To review key indicators, such as IIP, Peer Review and Safeguarding Agenda, to determine corporate training needs		Quarterly via SMT and PSSG
	To complete Training Needs Analysis of Service Area needs from Personal Development Plans to develop Corporate Training Plan		Quarterly via SMTplus
	To provide comprehensive, blended learning solutions for all staff and managers across the Council, including e-learning.		Elearning Classroom External facilitation
Marketing & Communications	To coordinate and manage all corporate communications, both internally and externally, providing advice and assistance where necessary and in line with the Council's Communications Strategy.	20 100	Press releases per week Tweets per month
	To support the Local Resilience Forum in delivering the County-wide Emergency Plan		
	To provide communications and marketing support across the Council to help promote services		
	To provide a comprehensive graphic design service to all service areas		
Website	To manage the corporate web site, developing best practice and ensuring service areas present information and digital services appropriately for our customers.	No of visits	WDC Residents, businesses and visitors

2.2 Measures

The following measures are reported to SMT/CMT (Management Information) on a quarterly basis and are used for strategic monitoring purposes. For corporate reporting purposes, the measures are summarised to show adverse, neutral or favourable variance from the performance target. Measures that fall outside of the 'Reporting Tolerance' are highlighted in **Red** and are accompanied by an explanatory narrative in the reported management information.

Operational measures are contained within each teams respective Team Operational Plan (TOP).

Customer Measures – those important to the people/organisations who use our services						
Note : these measures should be used on a daily, weekly or monthly basis to identify the impact of interventions in the system and to plan future interventions. Interventions may be very small adjustments to resources, or may involve transformational change						
Measure	**Performance Target**	**Reporting Tolerance**	**Quarter 1**	**Quarter 2**	**Quarter 3**	**Quarter 4**
Assets Team						
%age of HRA repair requests completed on time	90%	2%				
%age of HRA repair requests which were subject to a recall	<10%	2%				
%age of HRA homes with a gas safety inspection completed within the last 12 months	100%	<=2%				
%age of corporate properties with up to date gas safety certification	100%	0%				
%age HRA homes with in date Electrical Test certificates	100%	<=2%				
%age HRA homes with stock condition survey information updated within the last 5 years	100%	0%				
%age corporate properties with in date Electrical Test certificates	100%	0%				
%age HRA dwellings with in date Fire Risk Assessment	100%	0%				
%age corporate properties with in date Fire Risk Assessment	100%	0%				
%age corporate properties with an up to date EPC on display	100%	0%				

%age corporate properties with an up to date asbestos survey	100%	0%				
ICT Services						
%age Service Availability – Servers, Network, Applications	99.99%	>=-0.5%				
%age Service Availability – Corporate Telephones (CallManager)	99.99%	>=-0.5%				
%age Service Availability – Virtual Desktops	99.99%	>=-0.5%				
%age Completion rate for combined Incident & Service Request Calls within SLA	95.00%	>=-5%				
Democratic Services						
%age of Complaints to Ombudsman upheld	0%	>=1				
%age of Freedom of Information Requests responded to on time	80%	>=-5%				
%age of subject access requests responded to on time	100%	0%				
%age of ICO case upheld	0%	0%				
Human Resources						
HR - staff satisfaction and engagement levels via:						
• Sickness absence levels - Av no of working days lost to Absence per employee (tolerance against annual local gov figures)	2.2 Days Per Qtr	>=5%				
• Average number of Vacant Posts per quarter	40	>=10%				
• Staff Turnover %age of FTE (tolerance against annual local gov figures)	3% Per Quarter	+/- 0.5%				
Media						
Increased number of Twitter followers	200	>=-10%				
Increased number of retweets/click throughs	500	>=-10%				
Increased number of facebook (jobs) followers	50	>=-10%				
Positive Press coverage as a percentage of overall reporting about the Council.	60%	>=-5%				

2.3   Managing Risk

The Chief Executive's Office has adopted a layered approach to risk management which ensures risks are managed at an appropriated level.

- The **Significant Business Risk Register** contains the CXO risks which have the potential to have a **significant** adverse impact on the Council. It is the responsibility of CXO team managers to advise, through their head of service, SMT of these risks so that SMT can decide whether to update the corporate risk register as appropriate.
- The **CXO Risk Register** identifies the high level Service Area risks that have the potential to adversely impact multiple Service Areas. The document uses the corporate formatting standard and uses language that is more understandable to the business. The format also supports political scrutiny.
- **Thematic Risk Registers** are used to identify risks associated with particular aspects of the CXO's service that requires additional focus and risk management. For example, ICT has a specific risk register that relates to malware.
- **Project Risk Registers** are created, when appropriate, to manage the risks associated with the introduction of new technology.
- **Individual Risks Assessments** are created when a Request for Service requires a deviation from an agreed policy.

The **Team Operational Plan** contains the <u>key</u> operational service risks for the period of the plan.

Risk	Planned Actions during year	Comments
Budget	- Monthly budget monitoring as part of Finance's corporate budgetary control. - Bi-Annual review of the ICT Equipment Reserve	
Procurement	- Appropriate training for all officers undertaking procurement. - Early involvement of the procurement team in relevant procurement exercises. - Ensuring procurement undertaken is in accordance with the Council's Code of Procurement practice. - E & D & Information Governance to continue to support the procurement process across the Council. - Major Procurements: - Datacentre Support and Maintenance; plus purchasing framework (ICT) - Business Continuity Contract (ICT) - Occupational Health - Combined gas and electric fuel supply contract - Roofing replacement and repairs	

Contract Management	Quarterly update of contract register Contract monitoring Mobilisation and bedding in of new HRA Repairs and Voids contract	

Audits	• Implementation of outstanding audit recommendations.
	• Audits:
	   • System Ownership and Management (ICT)
	   • Database Security (ICT)
	   • Corporate Training
	   • Data Protection
	   • Income Receipting and Document Management
	   • Shared Legal Service
	   • Performance Management (Corporate)
	   • Payroll and Staff Expenses
	   • Absence Management	

Risk Register	• Team Operational Plan risks are reviewed monthly by the management team. • Technical and operation risks are managed according to areas own risk management policy • Review of Risk register quarterly at One to One with Deputy Chief Executive/CXO • Identifying new risks, managing existing risks, developing risk mitigation and removing redundant risks.	
Service Assurance	• Undertake any outstanding actions identified in the Service Assurance Statement.	
Corporate Health & Safety	• Ensuring appropriate H&S risk assessments are undertaken. • Assess the H&S implications of any new services prior to launch. • Reviewing all current Risk Assessments.	

Part 3 – Managing and Improving People

3.1   Staff Resource

There are currently 89.81 FTE posts in the department.

3.2   Workforce Planning

Category	Sponsor	Activity	Budget Impact	Impact on other Service Areas	Milestones
1. Succession Planning (E.g. planning for leavers)					
	All	Review critical posts and activities to ensure continuity of service.	Additional training. Additional resource. Revised structure. Third party contracts.	Potential for reduced service levels.	Include in risk register if appropriate.
2. Skills, Training, Competency Needs					
	All	Completion of the PDPs as part of the appraisal process to enable the creation of a KSA matrix.	Align training needs to the available budget, also considering training required to deliver key projects	None	Ongoing updates throughout the year as a result of appraisals, 1-2-1, succession planning and specific area needs.
3. Service Changes					
Demands on staff resource	All	Responding to and supporting business change throughout the Council.	Unknown	Insufficient capacity to enable, implement and support effective change.	Include in the service area risk register.
ICT Service Review	Ty Walter	Review JDs for currency Position the ICT Heldesk as the first point of contact for the service. Explore the option of introducing an apprentice in Applications.	Possible salary increase depending on HAY evaluation. Potential apprentice cost.	A more responsive service. Outcome to be monitored via service KPIs and feedback.	HAY Panel. Transfer of Application Support calls to Helpdesk. Approval for an apprentice.

Change to service delivery	Graham Leach	Trial and potential introduction of Hybrid mail	Possible salary saving and efficiencies across the Council	Potential savings in terms of service delivery and improved performance for mail delivery. Changes in operation for sending mail.	Business case being developed.
Re-design Asset Team structure and responsibilities	Bill Hunt	Temporary contracts extended to Aug 18 to allow re-design process to be completed	Possible savings but report to Executive as appropriate if any additional budget required	Consultation on re-design options will involve other service areas.	Re-design consultation to commence March 2018 2017 Report to Employment Committee July 2018

Part 4   BUDGET – Main budgetary pressures and changes

Activity	Budgetary Impact	2018/19	2019/20	2020/21
Key ICT Support & Maintenance Contracts	The majority of ICT's support & maintenance contracts are due to be retendered through 2017-2019. Many of these contracts are initially quoted in USD. Due to the devaluation of sterling following the Brexit vote, there is the potential for significant contract price increases at renewal. Inflation will also be a factor as some of the contracts have not been renewed for 5 years.	Unknown		
Re-procurement of gas and electric fuel supply contracts	Unknown. Price increase possible due to higher utility prices but intention is to procure a combined contract via ESPO to achieve cost savings against individual supply contracts.	Unknown	Unknown	Unknown

Part 5 – Managing Planned Changes, Major Work streams and Projects

Project	Sponsor / Lead Officer	Budget Impact	Impact on other Services	Milestones	Date
Corporate Projects					
Digital by Design **To assist in the definition and delivery of the DbD programme and to act as the project lead.**	Ty Walter (ICT Lead) Web Site Manager / Media Team	£200,000 allocated	All Services	Set out in the Digital Programme of Works 2018/19 submitted to the Executive Feb 2018	
Transforming our Workplace (ToW) **To assist in the identification and delivery of technology and processes that will enable staff to operate efficiently and effectively delivering revenue savings and service improvements.**	Bill Hunt (Project Lead) Ty Walter (ICT Lead) Tracy Dolphin (HR lead)	Budget in place and AWA appointed as change partner	All Services	Agreed work programme with change partner and the implementation of agreed technologies	
Corporate Complaints Policy **To review the Council's coporate complaints policy and define what systems should support this.**	Graham Leach	Unknown, at this time. Part of the review will investigate IT provision with a view (if needed to bring forward a business case as part of the 2019/20 Digitial by design work)	All Services		
Development of an Asset Management Strategy	Bill Hunt	Unknown	All services	Targetting July Execurive	

Governance & Management					
ICT Strategy 2015-19 **To monitor, review and update ICT Strategy to ensure it remains aligned the Council's corporate objectives.**	Ty Walter		All Services	Strategy delivered & monitored via ICTSG. Delivery via the Digital Programme of Works.	
People Strategy 2016-2020 **Monitor, review and update of People Strategy Action Plan priorities aligned to Workforce Steering Group, themes to include:** • **Leadership & Organisational Development** • **Workforce Planning & Performance** • **Learning & Development** • **Communications, Involvement & Engagement** • **Equality & Diversity** • **Employee Well-being, Reward & Recognition**	Tracy Dolphin	Potential savings/additional costs from specific workstreams identified	Impact across levels of Staff and Manager	Updates to JCF/WSG/SMT quarterly	
ICT Business Continuity Plan **To continue to update ICT BC Plan in conjunction with the Civil Contingencies Officer to make it a stronger operational document.**	Ty Walter	None	Will be used to inform other services on the BC actions they need to undertake		
Information Governance Framework **To bring forward updated policies and practices in advance of the introduction of GDPR in May 2018**	Graham Leach/ Anna Moore		All service areas	Weekly reports to CMT and to Executive as appropriate,	
Security & Compliance					
Secure Email **To meet the governments requirements for secure email to replace GCSx mail.**	Ty Walter	None	All Services		April 18

Digital Resilience **To identify opportunities, largely through cloud based services, to provide increased digital resilience in the event that Council ICT facilities are compromised.**	Ty Walter		All Services	ICTSG decision on the corporate adoption of O365	Q1 18
Desktop Projects					
Desktop Refresh Review **Look at the implications of implementing Windows10 and Office 2016, and Office 365**	Lee Millest		All Services		
Application Support Projects					
Corporate Development **To deliver the projects authorised in the ICT Steering Group's development plan**	Tass Smith	Service Area Budgets	All services		On-going
Infrastructure Projects					
Review Backup & Recovery **Re-evaluate use of Data Protector. Do we move to Data Protector 10 or look at other product such as Veeam. How we backup Sharepoint, Exchange and requirements for Office365. Improvements in backup and DR that can be achieved using new features and technologies. Use of Tape Drives, Disk Backup and cloud and off site storage.**	Richard Bates		All services		
Upgrade Windows 2008 R2 Server to 2016. **We have approx. 70 Windows server 2008 R2 and need a plan to migrate them by Jan 2020 to server 2016 when support expires.**	Richard Bates		All services		
Expand VoIP telephony to Satellite Sites **Potential to join the Crematorium and Pump Rooms to the Council's VoIP telephone network. This will allow access to services such as Jabber and corporate preferential call rates.**	Richard Bates		Neighbourhood Services Cultural Services		

GIS Projects					
Support of the Neighbourhood Services Data capture project. **A major exercise to capture spatial data relating to the tasks in Neighbourhood Services has been identified in the 2017/18 Digital Programme of Works. For example, the capture of grounds maintenance data to allow for more accurate contract mismanagement.**	Mark Barnes (ICT lead)		Primary - Neighbourhood Services Secondary – All services	Award contract	
Electoral Services					
Boundary review **To lead on a Boundary review of the Council's Ward Boundaries, if approved by the Boundary Commission and Parish/Town boundary changes as a result of the Community Governance Review**	Graham Leach	There will be a reduction in cost due to the review outcome reducing the size of the Council from 46 to 44. However there will be an associated cost of implementing these boundaries within electoral aministration to ensure elections are operated correctly. There will be a report to March Employment Committee regarding the staffing of this.	It is considered to be minimal less, administrative changes to recognise the new warding patterns ahead of election in May 2019.	Draft recommendations on Warding arranagment due by 3 April 2018. With consultation to 11 June 2018. Final recommendations due in August 2018.	
Planning for HQ relocation **To consider the implications for delivering the service from within the new HQ and without the Town Hall**	Gillian Friar		Discussions and planning with project officer on space requirements		

Preperation for 2019 election	Gillian Friar	Initial est £250,000	Establishing a project board to deliver this including project specific risk registers and project plans	June 2018	

Civic & Committee Services

Councillors IT Working Party **To complete the review of the Councillors IT Working Party following the outcome and decisions on the Members Allowances Scheme review**	Graham Leach		Meeting with relevant Councillors		
Prepartion for 2019 induction of Councillors To develop an inducation programme for Councillors ahead of elections in May 2018	Amy Barnes	The current Annual budget for member development is £3,300. The aim will be to retain the cost within this budget.	Discussion between HR Manager, Learning & Development Officer, Senior Committee Services Officer and Deputy Chief Executive & Monitoring Officer. Along with reference at appropriate stages to Group Leaders (as the member development group)		

Information Governance

To deliver the Information Governance framework development inline with requirements of GDPR and Data Proection Act 2018.	Anna Moore		This will be relevant to all Service Areas as there will be a need to update a revise current practice.	This will be a rolling programme but the first decisions will be by Executive in April 2018.	

HR/Marketing & Communications

T&C Review
Impact on other areas relating to T & C Phase 1 and 2:
    Update of Policies/Contract
    Next steps T & C's 3
	HR Senior Business Partners	Priorities to be scoped and potential budget impact assessed	All areas	Linked to WSG for review and timeline to be agreed	March 2019

Review of Salary Benefits & Recruitment related to Pay Award 2018/19:
    Impact of NJC on differentials
    Job Families
	Senior HR Business Partner
	Tracy Dolphin/WSG
		Priority workstreams to be progressed based on final decision	All areas	Now linked to Workforce Steering Group/timeline for workstreams agreed end 2018	End 2018/ ongoing updates

Organisational Development: (Redesigns/restructures) Asset Neighbourhood Services Tenancy (Housing)	HR Business Partners	Linked to individual service area budgets		As part of Service area timelines	Ongoing
On line Recruitment portal	Senior HR Business Partners/HR Manager	Scoping to be completed end July 2018	All Areas	Part of Operational Plan	SMT Dec 2018
Corporate Apprenticeship Scheme	SeniorHR Business Partners	£150,000 budget agreed in 2017 to fund scheme. Claim against apprenticeship levy	All Areas	Career Fairs April – June 18 recruitment Sept 18 – Cohort begins	Sept 2018 first cohort
Reward and Recognition Scheme	HR/Marketing & Comms Manager	Project to be scoped as on-line offering v internal process	All Areas	Software providers to be reviewed by end June 2018	Sept 2018

Mangement/Staff Development Programme: **Link to skills matrix** **Service area training budget review**	HR Manager /Learning & Development Officer	Part of On Course 2018/19	All Areas	WSG to sign off April 2018	April 2018
Planning for HQ relocation **To consider the implications of :** - **Policies** - **Communications** - **Engagement** - **Car Park Displacement**	HR/Marketing & Comms Mgr	Budget implication to be scoped as part of overall plan	All areas	Agreed work programme with change partner	
St Mary's Land	Marketing & Comms Mgr	No direct implication	Corporate project	Agreeed Communications Plan	End 2018/on going
Commonwealth Games 2022	Marketing & Comms Mgr	No direct implication	Corporate project	Agreed communications Plan with project group	2018/19 ongoing
Intranet Improvement Plan	Marketing & Comms Mgr	No direct implication	Corporate project	Part of Operational plan	2018/19 ongoing
Assets					
Refurbishment of communal areas to multi-storey blocks, completion of fire safety works and revised Fire Risk Assessments	Senior Building Surveyor Project Manager	£2.5m allocated from HRA Major Repairs Reserve	Corporate project	Target completion by end of calendar year	Jan 2019
Review of ActiveH record storage	Interim Asset Manager	No direct implication	All services	Post Assets re-design	End 2018/19

Service Area Plan 2018/19

Part 1 - Service Information/links to policy
Part 2 – Managing Service Delivery
Part 3 – Managing and Improving People
Part 4 – Budget
Part 5 – Managing Planned Changes/Projects

Service Area :	Cultural Services
Service Area Manager:	Rose Winship
Deputy Chief Executive:	Andy Jones
Portfolio Holder(s):	Cllr Michael Coker

1   Purpose of the Services Provided

To provide a range of quality cultural services with opportunities for residents and visitors to participate in the activity of choice. Provision will reflect the principles of the Sustainable Community Strategy. These will include:

Sports and Leisure:
To provide facilities, activities and support to encourage people from all sectors of the community to start, sustain and improve active lifestyles.

Arts:
To increase attendance and participation in the Arts, ensuring that opportunities for engagement and inspiration are maximised for visitors and residents; to strengthen the creative economy of the District by supporting its thriving cultural infrastructure and using the Council's influence to develop new and existing partnerships with artists, organisations and key funding bodies.

All Cultural Services:
To contribute to the tourist economy by helping make the district a top visitor destination.

1.1   Linkages to Fit For the Future Strategy

External	Direct	Indirect
Service **(Green, Clean and Safe)**		Openness to new technologies and products in the design and operation of buildings, and transport to facilities. Diverse range of opportunities for all sectors of community – including those normally unwilling to participate
People **(Health, Homes and Communitites)**	Active lifestyles; increased well being and mental health. This includes the contribution made through physical activity and Sport provided by a wide range of opportunities in the District. As well as the opportunities for the community to participate in and benefit from the diverse arts and cultural activities in the district. Range of concessions available; range of targeted activities for specific sectors or groups Encourage volunteering including work with Town Councils and Community groups. Arts and Sports outreach activities initiatives in rural areas	
Money **(Infrastructure, Enterprise and Employment)**		Contribution to thriving economy and vibrant areas; tourism and visitor economy through diverse and quality cultural and sporting offerings. Well maintained facilities that are financially sustainable.

Internal	Direct	Indirect
Service **(Maintain or Improve services)**	Direct delivery of services by WDC staff and working alongside contractors to improve services for local people and other users	
People **(Effective Staff)**	Ongoing training of staff to provide them with the skills required to carry out their roles. Encourage staff to adopt a healthy work life balance and be active at work and at home	
Money **(Firm Financal Footing over long term)**	Successful and effective management of facilities that generate an income for the Council and are financially sustainable.	Partnership with contractors to support successful contracts and optimum return for the Council.

2   Managing Service Delivery

2.1   Service Overview

(NB – Specify main aspects of service delivery during the year)

	Service Being Delivered	Priorities	Service Demand	
	Art Gallery & Museum	Provide quality Art Gallery and Museum for members of the public and relevant groups 6 days a week		
		Deliver range of art and craft workshops for all ages		
		Market the venues to maximise attendance	110,190 Annual Visitors 2017/18 (to end Jan)	
		Maximise the opportunities for visitors to the venue to enjoy the collections		
		Deliver a range of exhibitions		
		Manage the Catering contract		
	Arts Development	Manage the Arts Grants process allocating small grants across the district	Small grants 2017/18 totalling £12,391	
		Monitor performance of key clients receiving grant funding from WDC	Key Client grants £16,500	

Royal Spa Centre		Deliver a range of performances at the venue to maximise income and offer a diverse choice of entertainment	Annual footfall 2017/18: 78,000 (up to Jan 18) Qty Tickets sold: 64,300 Value Tickets sold: £892,740 No. of performances 2017/18 Commercial: 118 Community: 55 Film Screenings: 248	
		Develop cinema attendances	Total Cinema/studio attendances 2017/18: 4,093 Cinema only income: £29,350	
		Maintain the venue in a safe and comfortable condition		
		Market the venue to maximise attendance and income	Total Income 2017/18: TBC Annual Panto income: £298,550 (22,812 attendances)	
		Deliver professional service for customers, hirers, and performers	Customer Feedback: 74% Positive	
	Town Hall	Manage the venue to accommodate the range of users including WDC democratic functions, Leamington Town Council, University of Warwick, charities, commercial hires and other ad hoc bookings	Visitors 2017/18: 6,727 (up to Jan 18) No. of events/bookings Commercial Hires: 15 Community Hires: 53 WDC Events: 147 Fees and charges Income 2017/18: £60,200	
		Maintain the venue in a safe and comfortable condition		

	Sports and Leisure	Manage the contract for Everyone Active to operate the 4 main leisure centres plus 2 dual use sites with associated facilities on behalf of the Council. The contract requires Everyone Active to offer a diverse range of activities to the local population and other users		
		Monitor/manage leisure contract from through the Key Performance Indicators as per the specification. These will be produced in the format of Quarterly reports and will include the data as listed in service demand column.	Figures to end Dec 2017: Attendances (by target group): Women/Girls: 47,816 Pensioners: 30,329 Disabled:787 Concession: 31,333 Passport to Leisure/no, EA cards): 19261 Membership: 3986 Income (annually): TBC QUEST quality scheme: Working towards 2018 Swimming lessons: 1965	
		Maintain non contract venues (pavilions etc) in a safe and comfortable condition		
		Manage the facilities and coordinate bookings of bowling greens at Victoria Park; football pitches across the district, athletics track and oversee the VP Tennis Agreement		
	Sports Development	Manage the development of holiday activities programme for youngsters in conjunction with Everyone Active	Outreach sessions in the community: TBC	

		Support those sectors of the community not currently not active in order to increase activity levels	Sport England Active Lives Survey: 78.6 % Active (highest in the sub-region) 12.5 % moderate activity 25.1% Inactive (lowest in the sub region)	
		Coordinate programme of coach education courses for local sports clubs	Coach Education courses for from April to March 2018: TBC	
		Advise local sports clubs on project development, funding applications, coach education, safeguarding	Database of sports clubs and other agencies Annual Sports Development Evening	
		Manage the Sport Grants process allocating small grants across the district	£8,940 Sports grants awarded April 2017 to end Jan 2018	

2.2 Measures

Customer Measures – those important to the people/organisations who use our services
Note: these measures should be used on a daily, weekly or monthly basis to identify the impact of interventions in the system and to plan future interventions. Interventions may be very small adjustments to resources, or may involve transformational change. Previous years figures in red

	Qtr. 1	2	3	4
Visitor Footfall – Spa Centre (previous year in red)	23,207	19,261	40,694	
Footfall – Town Hall (previous year in red)	22,161	9,990	27,048	
Visitor Footfall – Art Gallery & Museum (previous year in red)	28,979	56,627	26,330	
Visitor Footfall – Royal Pump Rooms (previous year in red)	116,451	235,297	101,857	

Visitor Footfall – Temporary Exhibition Gallery	12,467*	11,907*	N/A	
Visitor Footfall – Leisure Centres (previous year in red)				
External grant income secured for the service (total)				
Customer Satisfaction – Temporary Exhibition Gallery	Not reported	63% Positive	95% positive	
Customer Satisfaction – Royal Spa Centre, Town Hall and RPR	72% Positive	80% Positive	65%	
Customer Satisfaction – Leisure Centres	Not yet collected.	Not yet collected.		
Holders of Everyone Active Card	7,348	11,793	19,261	
Active Lives Survey - % community leading active lives (Annual Sport England Survey) % Active % moderate activity % Inactive		62.4% Active 12.5% moderate activity 25.5% Inactive		

2.3   Managing Risk

Risk	Planned Actions during year	Comments
Budget	Ongoing refresher training of budget managers to ensure that budget monitoring procedures are consistently implemented. Working with Accountants to ensure that the year end financial reporting for the Leisure contract is completed as promptly as possible at year end.	
Procurement	Ongoing training with specific reference to "contract management" Major procurement during 2018/19: - Professional Services for Phase II of Leisure Development programme - Refurbishment of Victoria Park tennis courts ?	

	- Sound system (RSC) - Community Stadium – soft market testing & developer/partner - Options appraisal for Newbold Comyn (ex golf course) - New caterer – Pump Rooms & Jephson Gardens Glasshouse	

Contract Management	Quarterly update of contract register
	
	Contract Register to F&A
	
	Contracts coming up for renewal within the year:
	Catering – Pump Rooms and Jephson Gardens Glasshouse
	Hot Drinks – Royal Spa Centre
	Maintenance and support – Town Hall AV system
	Maintenace of dishwasher – Royal Spa Centre
	Ice Cream supplies – Royal Spa Centre
	Beer, wines and spirits – Royal Spa Centre
	Food supplies – Royal Spa Centre
	
	Ongoing monitoring of major contracts
	    - Leisure Centre management contract
	    - Construction contracts (leisure centres Phase I & II)
	    - Catering – Royal Pump Rooms and Jephsons – Kudos	

Audits	Royal Pump Rooms incl Art Gallery Leisure & Recereation facilities (non contract) Sports Development Leisure Centre contract management	

Risk Register	Actions being addressed within the year:
	    - Monitoring of Leisure, and Catering contracts
	    - Leaks and flood risk – RPR – under ongoing review
	    - Failure of a major contract
	    - Compliance by leaseholders	

Service Assurance	Actions within year:
	    - Contract management of major contracts – ongoing
	    - Year end finance training for budget managers
	    - New managers – Finance module of new framework	

	- Completion of new dual use agreements with Kenilwrth and Myton schools	
Corporate Health & Safety	Corporate Compliance Group - Compliance testing of sporting pavilions - Clarification of building manager responsibilities	
Service Delivery	Ongoing work within the integrated Arts team to maximise the opportunities across a range of cultural activities Robust contract management of leisure contract with regular reporting and performance monitoring Development of Phase II (Kenilworth) of the Leisure Development programme Options appraisal for the ex golf course site Initial planning for Commonwealth Games 2022 Progress of Community Stadium project (Europa Way) Project support for Whitnash Community Hub construction Fostering positive relationships between LAA and LC&AC (2 clubs at Edmondscote athletics track)	

Part 3 – Managing and Improving People

3.1 Staff Resource

There are currently 36 FTE posts in the department.

3.2 Workforce Planning

Category	Sponsor	Activity	Budget Impact	Impact on other Service Areas	Milestones
1. Workforce Planning	David Guilding	Apprentice(s) to join Arts team	Technical Apprentice - within Arts budget Business Admin Apprentice – corporate scheme budget	HR support	Sept 2018 start
	Paddy Herlihy	Addition of 2 project officers (Stadium & Commonwealth Games) to team – subject to approval in March 2018	Subject to HAY evaluation Feb 2018	None	Recruit Spring 2018
	Stuart Winslow	Business Support Team resources – consider fixed term post	TBC	None	April 2018
	David Guilding	Sales & Information Team		None	April 2018
2. Skills, Training, Competency Needs	Rose Winship; Stuart Winslow; David Guilding; Paddy Herlihy	Engagement with new corporate management training framework	Service area and corporate budget	HR	Launch date - TBC

	Rose Winship	Finance training for budget holders	None	Finance	Ongoing
3. Service Changes –	Paddy Herlihy	Commencement of LDP Phase II	TBC	Assets/Property; Finance; Development Services; Neighbourhood Services	Appt of Professional Servces – April 2018 Executive report and public consultation – summer 2018
	Paddy Herlihy	Initial stages of Commonwealth Games project	CG Reserve established - £100k per annum to 2022	Cross Council Project Board established – CE Sponsor	
	Rose Winship	Resourcing of s106/CIL		Shared post with Neighbourhood Services	TBC
	Paddy Herlihy	Community Stadium Project	TBC	Assets/Property; Finance; Development Services; WCC Legal	TBC
4. Determining the need for additional resource	Stuart Winslow	Review the Business Support team resources	TBC	HR	Prior to summer 2018 (end of fixed term Business Support post)

Activity	Budgetary Impact	2018/19	2019/20	2020/21
Seek 1% saving on discretionary budgets	Ongoing challenges to budget managers to find the savings without impacting on service delivery or income levels	£1,600 (1%)	£1,600	£1,600
Leisure Development Programme – Phase II	Need to establish budget for the construction projects following consultation and design phase in 2018	TBC	TBC	TBC

Leisure Development Programme – Phase I. Outcome of claims against utility companies for delays and project changes at NCLC and SNPLC; and claim by construction contractor for delay	Unknown	TBC	TBC	TBC

Part 5 – Managing Planned Changes, Major Work streams and Projects

Change/Project	Sponsor/Lead Officer	Budget Impact	Impact on other Services	Milestones
Leisure Development Programme (Phase I)	Andy Jones (Sponsor) Padraig Herlihy (Programme Manager)	Unknown until construction completed and claims settled	Programme Board includes reps from Finance, H&PS, Neighbourhood, Planning with significant input from WCC Legal team.	**Investment Plans:** Construction completed at SNPLC Spring 2018; NCLC Summer 2018
Leisure Development Programme (Phase II) Kenilworth	Andy Jones (Sponsor) Padraig Herlihy (Programme Manager)	Unknown until options considered; consultation undertaken and plans worked up to RIBA 4	Programme Board includes reps from Finance, H&PS, Neighbourhood, Planning; WCC Procurement, KTC.	Professional services to be appointed Spring 2018; further report to Executive and public consultation Summer 2018.
Community Stadium	Chris Elliott (Sponsor) Padraig Herlihy (Programme Manager)	TBC	Development Services; Finance; WCC Procurement and WCC Legal	TBC
Commonwealth Games – local projects	Chris Elliott (Sponsor) Padraig Herlihy (Programme Manager)	Reserve created - £100k pa until 2022.	Cross Council Project Board established	Appointment of Project Officer – spring/summer 2018 subject to approval Engagement with Birmingham Organising Committee – late Spring 2018

Launch new Concourse area in Royal Pump Rooms	David Guilding	N/A	N/A	April 2018
Appoint new caterer for Royal Pump Rooms and Jephson Gardens Glasshouse	David Guilding/Phil Sharp	July 2018	Creative Quarter (CDP) project	CDP – option April 2018 (Existing contract expires Feb 2019)
Refreshed Playing Pitch Strategy and Indoor Sports Strategy	Stuart Winlsow	Budget allocated in 2017/18 £30,000	Neighbourhood Services	Receipt of refreshed PPS and Indoor Sports Strategy – Autumn 2018
S106/CIL implications on sports & leisure	Rose Winship/ Stuart Winslow	Will depend on applications received and approved	Development Services; Neighbourhood Services	Ongoing
Newbold Golf Course – review of facility	Andrew Jones Stuart Winslow	See P&C report to Executive March 2018	Development Services; Neighbourhood Services	Report to Executive March 2018 Options appraisal undertaken and recommendations made.

Part 1 - Service Information/links to policy
Part 2 – Managing Service Delivery
Part 3 – Managing and Improving People
Part 4 – Budget
Part 5 – Managing Planned Changes/Projects

Service Area :	Housing Services
Service Area Manager:	Lisa Barker
Deputy Chief Executive:	Bill Hunt
Portfolio Holder(s):	Councillor Peter Phillips

1	**Purpose of the Services Provided**

To provide effective, value for money, customer-focussed housing services by:

- Helping people to find and maintain housing appropriate to their needs by providing housing advice and homelessness services
- Managing the HomeChoice scheme on behalf of all affordable housing providers operating within the district.
- Improving standards within the private rented sector by licensing Homes in Multiple Occupation, undertaking Housing Health & Safety Rating System inspections and taking enforcement action if appropriate.
- Providing people-based services, tailored to reflect individual needs, that allow council tenants and leaseholders to thrive and participate in their community and succeed to the best of their abilities.
- To provide effective management of our council housing stock including tenancy enforcement, rent collection and estate management.
- Supporting people to live independently by providing high quality sheltered and supported housing, Lifeline services, Disabled Facility Grants, an aids and adaptation service for council homes, affordable warmth and financial inclusion advice.
- Maintaining a financially viable Housing Revenue Account (HRA) to ensure the provision of a high quality council housing service through timely collection of income, value for money deployment of management resources and prudent management of costs.
- To ensure that the housing stock is maintained to a satisfactory standard, meets appropriate safety requirements and improvements are made to ensure compliance with decent homes standard.
- Supporting the creation of stable, inclusive communities by managing an effective Housing Strategy for the district.
- Encouraging the development of affordable housing across the district through effective use of s106 funding, deployment of commuted sums and exploration of options to increase the level of council housing to offset Right to Buy sales.
- Supporting the delivery of key corporate projects or studies.

1.1 Linkages to Fit For the Future Strategy

External	Direct	Indirect
Service **(Green, Clean and Safe)**	Maintaining our homes to a good standard of energy efficiency across the district	
People **(Health, Homes and Communities)**	Providing tenants with good housing across the district	Enabling the development of affordable housing for sale and to rent
Money **(Infrastructure, Enterprise and Employment)**	Provide money advice to council tenants and ensure that the majority of homes are let at social rents thereby enabling tenants to gain employment	

Internal	Direct	Indirect
Service **(Maintain or Improve Services)**	Direct delivery of housing and estate management services, working with contractors to improve services to tenants	Work with a range of partners across statutory and voluntary sector agencies to tackle homelessness and rough sleeping
People **(Effective Staff)**	Ongoing training of staff to provide them with the skills to carry out their roles.	
Money **(Firm Financial Footing over Long Term)**	Regularly review the Housing Revenue account business plan	

2 Managing Service Delivery

2.1 Service Overview

Service Being Delivered	Priorities (with Justification)	Service Demand/Service Requests
Sustaining Tenancies Team	• Exploring options to maximise the delivery of affordable housing including: o Working with developers to effectively use resources made available through s106 planning obligations or CIL contributions. o Taking advantage of any public funded investment made available by the Homes and Communities Agency or other Government funding streams. o Explore the potential of development sites, both publically and privately owned which can be used to deliver affordable housing for rent, shared ownership or sale. o Purchasing shared ownership properties e.g. Sayer court , Great Field Drive, Cloister Way, as opportunities present themselves. o Buying properties in the open market. • Providing high quality Council homes by regularly reviewing the Housing Revenue Account Business Plan to ensure the Council can continue to effectively manage and maintain its landlord function and continue to make a proactive contribution to the provision of a range of housing options for the district. • Providing an effective financial inclusion support service for Council tenants. • Contributing to the 'Breathing Space' project, operated in partnership with other housing associations providing homes in the district, to support residents who are struggling financially by offering money advice and signposting services and referrals to Job Clubs. • Letting the majority of Council owned homes on social rents.	240 affordable homes completions 1/4/2017 to 31/12/2017 15 WDC Shared Ownership properties 163 financial inclusion referrals 1/4/2017 to 31/12/2017

| | • We reduce anti-social behaviour by having the Tenancy Enforcement Officers work alongside the Community Safety Team therefore sharing capacity and skills.

• Ensuring effective engagement with the county-wide safeguarding structures.

• Training staff to recognise potential safeguarding issues, incidents of domestic violence and equipping them to make effective referrals to ensure appropriate action is taken.

• Working to reduce the distress and ill-health that can be caused by the loss of a home by carrying out regular routine tenancy visits to all WDC tenants to help make sure that people get the right support to sustain their tenancy and allowing potential problems to be identified early and solutions deployed to maintain pleasant neighbourhoods and well-kept homes.

• Maintaining and improving the Council's 24/7 Lifeline service which currently has over 3,000 users.

• Ensuring our sheltered housing schemes maximise the opportunity for older people to maintain their independence, by providing social activities that improve residents' mental and social wellbeing.

• Engaging with tenants and leaseholders through a variety of approaches.

• Ensuring tenants are represented on the Housing Advisory Group which assists in the development of housing policy and practice.

• Direct provision of council homes at social rents in a district with an unbalanced housing market and high costs of private sector renting or home purchase. | 999 Tenancy Update Visits 1/4/2017 to 31/12/2017 |

Service Being Delivered	Priorities (with Justification)	Service Demand/Service Requests

Housing Strategy & Development Team	• Establishing and delivering financial inclusion strategies.
	
	• Hosting the Warwick District Priority Families Programme officer.
	
	• Direct provision of affordable council homes in many villages across the district.
	
	• Helping people to find, maintain and enjoy a secure home by:
	
	    o Deploying effective homelessness prevention strategies and providing support for those threatened by homelessness at an early stage.
	    o Providing high quality temporary accommodation for anyone whose homelessness cannot be prevented with as little use of bed and breakfast accommodation as possible.
	    o Operating the HomeChoice scheme to ensure affordable housing is allocated in a fair and transparent way.
	    o Helping council tenants to sustain their tenancies by providing advice and tailored people-focussed services that equip people to develop the skills and knowledge they need to maintain their tenancy.
	    o Assisting older people to maintain their independence by providing housing support and developing the Council's 24/7 cross-tenure Lifeline Service.
	
	• Contributing to the effective management of the county-wide HEART service to deliver a programme of Disabled Facilities Grants (all tenures) and Aids & Adaptations (Council homes) so that people can continue to enjoy their homes regardless of any disability.
	
	• Providing housing with support for vulnerable people.
	
	• Improving the quality of the districts existing housing stock, including:
	
	    o Raising the standard of homes in the private rented sector by deploying an effective	

	regime for HMO licensing and HHRS inspections, supported by enforcement action when necessary. o Supporting a Landlord Steering Group and a Landlords' Forum. o Helping people remain healthy and safe in their homes, we will provide discretionary. grants to owner occupiers where the condition of their home is dangerous but they do not have the means or capacity without help to resolve the situation. o Maintaining high standards of cleaning of communal areas and grounds maintenance on housing estates where the Council is the majority landlord. • Preventing homelessness and providing temporary accommodation and a route into housing in cases when it cannot be prevented. • Helping to reduce the number of admissions to hospitals and care homes and help people return home more quickly after receiving treatment by carrying out aids and adaptations and providing Disabled Facilities Grants so that residents can remain in their homes safely and for longer. • Visiting every illegal gypsy and traveller encampment to identify if there are particular housing needs amongst the occupants that need to be addressed. • Providing financial advice to tenants to maximise their income. • Effectively administer the district-wide HomeChoice scheme. • Reduce the time people have to spend waiting for a new home and reduce income loss to the Council's landlord service by letting empty homes to new tenants as quickly as possible. • Prevent people from becoming homeless or when that is not possible help them find a new place to live as quickly as possible by providing a homelessness service that is compliant with the legal requirements placed upon the Council to help those who are homeless.	2400 HomeChoice Applications as of 31/12/2017 Average 32 day void turnaround 1/4/2017 to 31/12/2017

2.2 Measures

Customer Measures – those important to the people/organisations who use our services
Note: These measures should be used on a daily, weekly or monthly basis to identify the impact of interventions in the system and to plan future interventions. Interventions may be very small adjustments to resources, or may involve transformational change.

Measure	Target	Qtr. 1	Qtr. 2	Qtr. 3	Qtr. 4
Homeless households per 1000 population					
The average number of weeks each homeless applicant spends in temporary accommodation	6 weeks				
The average number of days it took to let each property	33				
Rent Collection Rate					
Total Rent Arrears as % of rent debit					
Percentage of calls to Lifeline answered within 30 seconds	90.%				
Number of empty homes brought back into use as a consequence of PSH team activity	8				
The percentage of private sector housing service requests responded to within target	90%				
Time taken to close HEART cases					
Total number of Tenancy Update Visits	432				

Operational Measures – other (non-customer) measures essential to ensure that "purpose" can be achieved.
Note: This section will not be used by most service areas as their Customer Measures are expected to be sufficient. However, there may be cases where an operational measure is required to ensure the smooth running of a service area.

Measure	Target	Qtr. 1	Qtr. 2	Qtr. 3	Qtr. 4
The average number of days applicants remain in Band 1	N/A				
Total number of people registered with HomeChoice	N/A				
Total number of affordable homes completions	N/A				
Total income earned by Lifeline	N/A				
Number of HMO Licences which were relicensed	N/A				
Number of open ASB cases	N/A				

Asset Management Measures					
Measure	**Target**	**Qtr. 1**	**Qtr. 2**	**Qtr. 3**	**Qtr. 4**
Percentage of HRA repair requests completed on time	90%				
Percentage of HRA repair requests which were subject to a recall	<10%				
Percentage of HRA properties with a gas safety inspection completed within the last 12 months	100%				
Percentage of HRA properties with in date Electrical Test certificates	100%				
Percentage HRA properties with in date Fire Risk Assessment	100%				
Percentage of HRA properties with an up to date EPC	100%				
Percentage of HRA properties with a minimum D standard EPC	100%				
Percentage of HRA properties with stock conditions survey information updated within the last 5 years	-				

2.3   Managing Risk

Risk	Planned Actions during year	Comments
Budget	• Maintain the monthly budget monitoring regime. • Review HRA budget assumptions when further information on implementation of outstanding Housing & Planning Act proposals and timescale for local implementation of changes to the social security system are known. • Ensure savings/additional income is planned for reduced income from Supporting People for funding our housing related support.	
Procurement	• Ensure contracts are managed well. In particular ensure current risk issues with the cleaning contract are mitigated.	
Contract Management	• Quarterly reviews of the Contracts Register at Housing Management Team meetings.	
Audits	• Internal Audits undertaken this year Rents and collection, cleaning.	
Risk Register	• Quarterly review of Risk Register by Housing services.	
Service Assurance	• Assurance responsibilities for new Head of Service continue and the process includes an in-year review of assurance arrangements.	
Corporate Health and Safety	• Health and Safety Assessments to be regularly checked and updated. • Contribution to corporate agenda to be reviewed as part of Risk Register review.	

Category	Sponsor	Activity	Budget Impact	Impact on Service Areas	Milestones
1. Succession Planning (E.g. planning for leavers)	Lisa Barker	Decision on service team manager secondments	None	Support from HR	VARF Recruitment
2. Skills, Training, Competency Needs	Lisa Barker, Simon Brooke, Ken Bruno	Develop a service area training plan (training matrix) from appraisal PDPs	Budget for training needs to be adequately resourced to support officers, in particular those doing professional courses	Finance Training	Appraisals
3. Service Changes	Lisa Barker, Simon Brooke, Ken Bruno	Skilling the teams to enable them to be more flexible to change Working differently supporting a work/life balance Deployment of ICT to support flexible working	Within existing budgets	HR/IT	Training ICT considered

3.1   Staff Resource

Housing Services employ 84.04 FTE as of March 2018

3.2   Workforce Planning

Category	Sponsor	Activity	Budget Impact	Impact on Service Areas	Milestones
Workforce Planning	Ken Bruno, Simon Brooke	Apprentices	Apprentices with budget	HR Support	September 2018 start
Workforce Planning	Ken Bruno	Homeless staff for new HRA	Government grant	None	April 2018 start
Workforce Planning	Ken Bruno	Additional Officers to support extension of private sector housing legislation	Existing	None	Recruitment Training
Skills, Training, Competency Needs	Lisa Barker, Ken Bruno, Simon Brooke	Engagement with corporate training framework	Service area and corporate budget	HR	Ongoing
Service Changes	Lisa Barker, Ken Bruno, Simon Brooke	Activities detailed in section 5	Various	Asset HR	In accordance with section 5
Determining the need for additional resource	Ken Bruno, Simon Brooke	Review of services	Unknown	HR Finance	Review of: - Neighbourhoods - Tenancy Management - Homelessness - Allocations

Activity	Budgetary Impact	2018/19	2019/20	2020/21
Housing Revenue Account				
Social security changes	Tenants aged under 35 will be affected by the shared room rate that for some will be below our rent levels and therefore tenants will have a shortfall to pay, and some single occupiers of larger/more expensive properties may also be affected and have a shortfall from the one room rate. Occupiers in the private sector are already subject to LHA rates. HA tenants will be more severely affected due to higher rents than we charge. The introduction of Universal Credit has now started to impact upon us, although due to the small numbers involved this is not having a negative impact on rent collection overall, The full roll out from October 2018, will have a bigger impact and we will monitor the impact and measures prior to this time.	Bad debt provision (BDP) set at 1.5% £399k	HRA BDP increased to 2% £524k to reflect increased risk of rent arrears	BDP set at 2% in HRA BP £517k

Activity	Budgetary Impact	2018/19	2019/20	2020/21
Reduction in cost/increase in income for Lifeline Service	The funding shortfall of £546K identified from July 2017 when Housing Related Support funding from WCC was withdrawn has been made. The service is now required to maintain income levels and increase charitable work to increase turnover and operations margins.	HRA has agreed budget of up to £546k as per HRA Budget report at February 2017 Executive.	Current funding shortfall of £819k at 2017/18 values (Pending re-design and income generation programme).	TBA
1% annual rent reduction	Mandatory until 19/20	£253k reduction	£243k reduction	£237k reduction

Part 5 – Managing Planned Changes, Major Work streams and Projects

Change/Project	Sponsor/Lead Officer	Budget Impact	Impact on other Services	Milestones	Date
Agree and implement work plan for Year two actions for the Housing & Homelessness Strategy	Ken Bruno	None	Identify as work progresses	Plan agreed	31/3/19
Promote the Lifeline Service to increase number of users and maximise income	Simon Brooke	Increased Income	None	None	31/3/19
Review the effectiveness of the Housing Advisory Group and formulate an approach to resident involvement	Ken Bruno	Unknown	TBC	Review complete	30/9/19
Review services provided to leaseholders including S20 consultations	Ken Bruno	None	TBC	Consultation Review	31/3/19
Review service charges	Simon Brooke	TBC	TBC	Determine Approach	31/3/19
Income maximisation advice to all sheltered scheme tenants adversely affected by Universal credit	Simon Brooke	Rent Income maintained	None	Tenants Identified Advice Starts Advice Ends	December 2018
Complete the fire alarm system improvement programme	Simon Brooke	HRA	Assets to support work	Radcliffe works Gas removed Other high rise communal Other high rise doors	March 2018
Develop a strategy to tackle rough sleeping in the district	Ken Bruno	Will become clear as work progresses	Neighbourhood Services Health & Community Protection	Consultation Action Plan approved	31/3/19

Change/Project	Sponsor/Lead Officer	Budget Impact	Impact on other Services	Milestones	Date
Review the operation of the cleaning contract	Simon Brooke	TBC	Neighbourhood Services Finance	Consultation Review	31/3/19
Complete the re-licensing of existing HMOs and the new licensing required by the revised regulations	Ken Bruno	Existing	None	Legislation Start work	Ongoing
Effectively settle and support Syrian refugees	Ken Bruno	None	Possible at year 2	2 years 5 years	Ongoing
Review of options to develop new HRA homes	Head of Housing	None (for review)	Finance	Paper written Approvals	Paper May 2018
Review HRA Business Plan assumptions in light of budget pressures, social security changes and emerging thinking on the unimplemented provisions of the Housing & Planning Act	Head of Housing, Andrew Rollins	None (for review)	Finance Assets		
Review Housing Support and the Lifeline service	Simon Brooke	TBC	None	Review Complete	
Review our approach to tenancy management in light of the Housing and Planning Act and specifically fixed term tenancies. This may mean the introduction of a new Tenancy Agreement as well as related procedures and current tenancy agreement	Simon Brooke	TBC	Legal	Unknown	Per government timelines
Ensure the newly established Neighbourhood Officers team is operating effectively in improving the management of our estates and undertaking appropriate safety inspections	Simon Brooke	TBC	HR Finance	Review Approvals Consultation	June 2018

Change/Project	Sponsor/Lead Officer	Budget Impact	Impact on other Services	Milestones	Date
Prepare customers and the service for the introduction of universal credit	Simon Brooke	None	HB	Plan produced Tenants identified Advice provided	October 2018
Review whether to renew the Tunstall centre or to replace with another product extend the reach and the income achieved by lifeline	Simon Brooke	None	IT	Consideration of alternative products Determine service requirements	November 2018
Monitor HEART service ensuring that the council interests are embedded	Ken Bruno	Existing	None	None	Ongoing
Introduce the revised allocations policy	Ken Bruno	Existing	None	New policy in place	1/8/18
Complete the 12 month review of the new allocations Policy. After a sufficient period	Ken Bruno	Existing	None	Analysis completed	1/8/19
Implement and review the void process	Ken Bruno	Existing	None	Complete review	31/3/19
Implement the housing and homelessness strategy	Simon Brooke	TBC	Assets		
Review accommodation for supportive housing	Simon Brooke, Ken Bruno	Existing	None	None	None
Effectively manage new temporary accommodation provision e.g. PSC and review the level of service provision provided to households in temporary accommodation	Ken Bruno, Simon Brooke	Existing	None	None	Ongoing
Prepare a student strategy	Ken Bruno	Existing	Supports Development Services	Strategy in place	30/9/18
Implement the new homeless reduction act, ensuring a smooth transition to the new arrangements	Ken Bruno	Existing	Maybe greater workload for front line	None	Ongoing

Change/Project	Sponsor / Lead Officer	Budget Impact	Impact on other Services	Milestones	Date
Formulate a new approach to tenant involvement and engagement	Ken Bruno	None	None	Strategy agreed	30/9/18
Let ICT support and develop contract/system for HomeChoice	Ken Bruno	Existing	IT impact already agreed	In place	1/5/18
Maintain effective administration of the service area	Ken Bruno	Existing	None	None	Ongoing
Effectively manage new temporary accommodation provision e.g. PSC and review the level of service provision provided to households in temporary accommodation	Simon Brooke, Ken Bruno	Existing	None	None	Ongoing

Service Area Plan 2018/19

Part 1 - Service Information/links to policy
Part 2 – Managing Service Delivery
Part 3 – Managing and Improving People
Part 4 – Budget
Part 5 – Managing Planned Changes/Projects

Service Area :	Health and Community Protection
Service Area Manager:	Marianne Rolfe
Deputy Chief Executive:	Andrew Jones
Portfolio Holder(s):	Andrew Thompson

1   Purpose of the Services Provided

Purpose –   To protect individuals and the community from harm, improving their health & wellbeing and the quality of
                     the environment.

I want protection from practices, nuisance, infection and pollution which could have an adverse effect; and support for the disadvantaged in the community towards improving health & wellbeing. This includes:-

• 	Effective and fast response to environmental health, nuisance, animal welfare and public protection issues.
• 	Effective use of regulatory and licensing controls to ensure business practices are appropriate and comply with legislation and guidance
• 	To provide high quality services which support sustainable development, mitigate flood risk, maintains safety & security in the public domain and delivers effective solutions to meet the customer's needs.
• 	Support for local community and voluntary sector engagement, in particular for the most disadvantaged communities.
• 	Making my neighbourhood feel safer.
• 	In the event of Civil Emergencies, a quick and co-ordinated incident response with recovery, help & assistance to the community, whilst still being able to access Council services.
• 	Prompt and professional advice for businesses on legislative issues related to food safety, health & safety and environmental emissions; and to individuals across a wide range issues affecting health & wellbeing
• 	A dog warden service providing effective control over stray dogs and dog fouling
• 	A pest control service providing prompt and effective response to pest infestations having a public health significance, at low or no cost to those on low income

1.1   Linkages to Fit For the Future Strategy

External	Direct	Indirect
Service **(Green, Clean and Safe)**	In order that residents, workers and visitors within our communities feel safe, the district requires monitoring, overview, and targeted interventions to deliver crime reduction, community cohesion and environment protection. • Analyse data in order to identify and agree priorities. • Work in partnership with other local authorities and agencies to deliver targeted interventions. • Ensure that all of our decisions, policies and strategies promote safer communities as a consideration. By Delivering: • CCTV service • Crime and disorder, ASB and public places interventions. • Undertaking Food Hygiene and Safety interventions. Inc illegally imported food. • Undertaking Health and Safety interventions. Inc accident investigations • Licensing application processing and compliance interventions • Advice provision to ensure safe & secure Events programme of WDC and third party events across the District. • Community Safety multi-agency partnership initiatives to deliver the priorities of the South Warwickshire Community Safety Partnership. • Work with the voluntary sector and Neighbourhood Watch to reduce the opportunity for crime and disorder. • Mitigation against malicious disruption to Crowded places in the Districts Towns with our multi-agency partners. • Emergency & Business Continuity planning • Promoting Parish Emergency Planning	• Work to promote community cohesion, community resilience and community self-sufficiency. • Working with stakeholders to address the outcomes of this agenda. • Engaging stakeholders and other services in the delivery of agenda.

	In order to deliver a clean and green environment, the district requires monitoring, overview and targeted interventions to deliver improvements to safeguard our communities, businesses, environment, district and services. • Ensuring the environment is protected so as to maintain or improve the current status. • Ensure that we represent sustainable values in our own organisation. • Promote sustainability within our communities • Provide advice and support to our communities • Ensure that all of our decisions, policies and strategies take clean environment into account. • Work in partnership with agencies to deliver wider aims. • Investigate opportunities and programmes which promote our aims. By Delivering: • Deliver sustainability interventions both in the community and of the councils own impacts. • Air quality monitoring and interventions • Contaminated land, private water supply monitoring. • Environmental process permitting. • Responsible dog ownership interventions • Pest Control services • Investigation of infectious diseases and undertaking of public health funerals	

People (Health, Homes and Communities)	In order for individual, homes and communities to remain healthy, they need to be supported in order to establish resilient self-reliant graduated care packages. The individual, the community and the specialist.	• Working with stakeholders in the community to address the agenda. • Engaging stakeholders and other services in the delivery of Health and wellbeing.
	• Analyse data and deliver suitable targeted interventions based on evidence • Use evidence to direct priorities • Work in partnership with other local authorities and agencies to ensure a coordinated holistic approach. • Engage with those communities which are hard to reach • Work in the community to establish effective community engagement, community capacity building • Identify gaps in available service provision and helping to establish mechanisms and arrangement to fill those gaps. • Concentrating on those with the greatest need. • Ensure that all of our decisions, policies and strategies promote health and wellbeing as a consideration By delivering: • Advice and guidance through 'making every contact count' and other Health & Wellbeing mechanisms. • Delivering interventions in partnership to contribute to improvements in health and wellbeing. • Joint working on Priority Families county-wide programme and Anti-social behaviour issues. • Designing out crime and nuisance from new developments. • Overlap with direct measures listed above. • Co-ordinated response to Civil Emergency incident and recovery help & assistance. • Promotion of greater responsibility including a good neighbour guide and Going Out & Staying Safe. • Works with voluntary and community sector, signposting to grants and funding for voluntary and community sector. • Support for Community Forums.	

Money (Infrastructure, Enterprise and Employment)	In order for businesses to compete, grow and stay current, they need support and engagement with councils. Critical to this is that businesses find it easy to access the council support and services. Equally critical is that the council listens and considers the changing needs of the business. Work with growth hubs to develop a cohesive system of business support that is effective, sustainable and adds value that a business understands. • Regular engagement with businesses and business community • Work in partnership with other local authorities to engage with business • Take steps to engage with businesses which are hard to reach specifically • Data share regarding business needs, confidence etc. • Embed 'Better Business for all' ethos (BBFA) to help promote business and economic development. • Promote & deliver Primary Authority Arrangements • Take graduated enforcement action to address non-compliance. • Provide appropriate advice and guidance to assist in regulatory compliance.	• Encouraging greater use and diversity of our town centres attractions by delivering the outputs of Green, Clean and Safe. • Deliver training opportunities • Embed social value, return and sustainability into our procurement activities

Internal	Direct	Indirect
Service (Maintain or Improve services)	In order to maintain or improve services operated by Health and Community Protection, the services strive for continuous improvement and take advantage of opportunities. • Make services accessible remotely to customers and staff. • Deliver payment solutions • Ensure the staff have the required competence • Ensure that staff are developed in order to meet the need of the future service. • Investigate opportunities and programmes of work • Develop services in order to meet the needs of the future demand • Develop commercial opportunities and experience	

People **(Effective Staff)**	Employees are the key to the successful delivery of the services of Health and Community Protection. Diversity, health and safety, workplace conditions, personal development, work/life balance and remuneration are all issues that responsible employers need to address to ensure a happy, motivated, competent workforce. • Ensure every member of staff has a personal development plan • Promote shadowing, mentoring within teams and across service areas. • Ensure staff understand their role and contributions to the service plan and how their performance will be assessed. • Ensure that staff are treated fairly and that policies are consistently applied.	
Money **(Firm Financial Footing over long term)**	Health and Community Protection operate in a manner to ensure the firm financial footing of the service. • Operates a full cost recovery in the calculation of its fees (within legislative boundaries) • Develop services which operate in a cost effective manner • Investigate and take advantage of commercial opportunities • Deliver payment solutions • Seek investment and partners in order to deliver specialised services	

2   Managing Service Delivery

2.1   Service Overview

(NB – Specify main aspects of service delivery during the year)

	Service Being Delivered	Priorities (with Justification)	Service Demand/Service Requests	
Community Partnership	**Support for the Community Forums**	7 Locality Areas	**2/yr/e**	Meetings and administration activities
		Dealing with grant applications and monitoring delivery of spent		
	Voluntary and Community Sector Funding Support	Procure Voluntary Commissioned Service contracts to deliver identified priorities		
		Delivering the new spending structures for VCS work		
		Build links with altruistic partners and funds		
	Community Development Work	Two CDWs in the community working out of 4 community hubs		
		Support for corporate projects e.g. Lillington Regeneration, Commonwealth games, pump room gardens		
		Champion self sustainability and community capacity building		
	Sustainability	Delivery of the strategic actions identified in the approach		
		Complete the phase 2 feasibility study of the District Heat Network Project in the key delivery areas		Project timetables of contractors
		Energy efficient identification of projects and schemes		
		Work with communities and supporting voluntary agencies to increase community sustainability.		
		Integration of the approach in corporate strategy's		
	Health and Wellbeing	Delivery of the Health and Wellbeing Approach actions		
		Work with other services to ensure that the Health and wellbeing embedded in decisions.		
		Progression of projects to have a positive impact on Health		

		and Wellbeing on community		
		Integration of the approach in corporate strategy's		
Safer Communities	**Emergency Planning**	Work to support statutory local authority duties as Category 1 responder.		
		Review of Emergency Plan and Business Continuity Plans		Annual Review of plans
		Testing of Emergency and Business Continuity Plans	1 event	
		Representing the Council at Warwickshire LRF Tactical Group		Monthly meetings
		Organise and Chair Safety Advisory Groups (representatives attend from across HCP)	40 (events needing a SAG)	Internal and External Events
		Training programme to ensure complete understanding of roles responsibilities through organisation		
	Corporate Health and Safety	Programme of H&S Audits within the year	10	Internal Audits or services or processes
		Review and ongoing updating of H&S policy and procedures		
		Investigation and reporting of RIDDOR reportable Accidents		No. of reported incidents
		Monitoring, review and reporting on management systems		SMT, JCT, JMTUSP
		Training and induction	30	No. training sessions delivered
		Participation in Corporate Asset Compliance Management		
	Environmental Protection	Advice to Planning on Environmental Protection issues		
		Dealing with planning applications		As required
		Expert noise input on HS2		Requests for detained site information
		Investigation of complaints relating to domestic, commercial and industrial premises		
		Monitoring of air quality – Operation of monitoring stations and equipment, preparation of reports as required by legislation.	60 (approx) 3	Diffusion tubes Monitoring sites
		Delivery against the Air Quality Action Plan		

		Advice to Licensing as a 'responsible authority' (public nuisance)		
		Permitting of polluting businesses (EPA Part 1)	37	No. current permits
		Public Health Funerals	10	
		Contaminated Land advice and monitoring		
		Delivery of Primary Authority Arrangements	1	PAP agreements
	CCTV	Identification of incidents and reporting to the police	14, 000	
		Monitoring of Retail radio, rangers, police and events radios.		
	Crime and Disorder	Organise 4 x Operational Your Town, Your Choice events	4	
		Deliver public education interventions	2	
		Tender for the weekend Street Marshal Service		
		Carrying out Domestic Homicide Reviews		
		Reducing incidents of anti-social behaviour,	<100 (approx.)	Warning letters to perpetrators
		Reducing the risk to victims of high risk cases	<140	Victim profiles created
		Reviewing the policy		
		Support for Community Safety Partnerships		Meetings and associated document production
		Support the delivery of purple flag accreditation by partners		
	Services	Collection of Stray Dogs	160	No. of incidents
		Provide advice regarding those effected by and allegedly causing noise nuisance as a result of dogs & animal licenced activities		
		Promotion and education activities for responsible dog ownership		
		Investigation of dog fouling service requests	165	No. of incidents
		Investigation of other dog related incidents	160	No. of incidents
		Delivery of pest control services	1365	Enquires and requests for treatment
		Remain abreast of emerging vector management issues		

		Study of commercial opportunity for pest control		
Regulatory	**Food Safety**	Delivery of Food business inspection programme as part of FSA agreed work plan	639 400 50 197	Planned inspections Revisits FHRS rescore requests Non planned inspections
		Investigation of food complaints	15	
		Food Safety advice, enquiries, registrations, hygiene complaints etc.	484	
		Response to imported food notifications	35	
		Investigation of appropriate infectious disease notifications	180	
		Understanding of service costs to progress commercialisation opportunities		
		Delivery of Primary Authority Services	4	PAP agreements
	Health and Safety Enforcement	Intervention inc visits	100	Interventions
		Complaints and enquires	172	
		Accident reports	110	
		Delivery of Primary Authority Services	2	PAP agreements
	Licensing	Dealing with licensed Premises (Application, Variations, meetings and inspections)	650	
		Dealing with Taxi Licenses	155 460+ 60	Drivers Licences Vehicle Licences Operators Licences
		Dealing with complaints and enquiries	300	
		Personal treatment registrations	11	
		Temporary Event Notices	500	Applications
		Licensing Policy – Amendments and updating of policy areas		

2.2 Measures

Customer Measures – those important to the people/organisations who use our services
Note: these measures should be used on a daily, weekly or monthly basis to identify the impact of interventions in the system and to plan future interventions. Interventions may be very small adjustments to resources, or may involve transformational change

	Qtr. 1	2	3	4
Average time taken to resolve noise nuisance service requests				
Average time taken to resolve pest control, dog warden and other nuisance (excl. noise) service requests				
% Food businesses with '5' score in Food Hygiene Rating Scheme				
% Food businesses which are 'broadly compliant'				
Reduce the risk of 80% of all ASB victims assessed as high				
To reduce the number of violent crimes across the District				
Percentage of monitoring sites exceeding national air quality standards (*unverified data as must be verified nationally at the end of the year).				
% of hackney carriage private hire fleet passing fleet inspection				
% premises compliant with their license at compliance visit				
Value of volunteering directly linked to grant investment				
Number of new services established through grant making				
Number of community inclusion services and support offers established as a result of community development interventions				

Operational Measures – other (non customer) measures essential to ensure that "purpose" can be achieved.
Note: this section will not be used by most service areas as their Customer Measures are expected to be sufficient. However, there may be cases where an operational measure is required to ensure the smooth running of a service area.

	Qtr. 1	2	3	4
% Requests for Service received, first response to within target time				
% Requests for service received, completed within target time				
To increase the No of arrests from CCTV incident information				
To increase the No of crime incidents observed by CCTV Control Room				

Percentage of Planning consultation requests completed within target time.				
% of Armed Forces Community Covenant actions completed on target				
% of Sustainability actions completed on target				
% of Health and wellbeing action completed to target.				

2.3   Managing Risk

Risk	Planned Actions during year	Comments
Budget	• Regular budget monitoring (including accountants) • Delivering service within budget • Savings to be achieved without service impact • Reviewing opportunities to gain income for services • Ongoing budget management training	Expansion of current Primary Authority Arrangements. Commerciality of Services
Procurement	• Attendance of key officers at in-house Ongoing training • Regular meetings with procurement officers • Procurement project meetings to VCS procurement. Planned Procurement exercises in year: • The 'Lots' of the Voluntary commissioned contracts (NEW) • Service Level Agreement: Domestic Homicide Review • Service level Agreement: Local Resilience Forum • Water Coolers • CCTV maintenance • Air Quality Status Report • MOT for taxis (concession) • Electric Vehicles (subject to SMT decision) • Public Health Funerals • Disability Awareness Course Provision • CSE Course Provisions (partnership with Warwickshire LA's) • Energy advice provider	Ongoing training of officers and those participating in procurement. Scheduled procurement exercises and review of long term service level agreements.

	• Resilient telecoms • Door Controls • Street Marshalls (partnership with University Warwick)	
Contract Management	• No. Contracts due for renewal during the year 9as identified above) • Training in relation to contract monitoring • Quarterly update of the contract register • Report to Finance and Audit Committee	Ongoing training of officers and those managing contracts. Report due to F&A, April 2018
Audits	• Intra-Authority audit of Food Safety • Peer Review of Health & Safety • British Standard 7958 Management & Operation of Closed Circuit Television (June 2019) Internal audit programme 2018/19 • CCTV service • Places and Projects • H&S enforcement • Funding of VCS	
Risk Register	• Regular review at departmental management meetings • Annual review • Quarterly PH review • Peer Review at SMT, by Risk Manager and Insurance Officer • Implementation of mitigation and control	Reported to the Committee in Q3 2017/2018
Service Assurance	• Actions arising out of Annual SA document include: - • Amendment of customer measures • Refresher training in procurement and finance procedures, where appropriate • Update of Business Continuity Plan • Completion of the statutory returns. • Completion of the statutory Regulatory Service Plan • Completion of the SWSCP review.	

Corporate Health and Safety	• Delivery of the H&S audit programme • Delivery of corporate Training programme • Satisfactory completion of Corporate Compliance Group actions • Regular Reports to SMT, Joint Communications Forum and Members Trade Unions Safety Panel.	
Service Delivery	• Horizon forecasting review • Inclusion of horizon forecast within service plan • Keeping up to date with key change programmes from statutory agencies • Monitoring growth and demand for service need	

3 Managing and Improving People

3.1 Staff Resource

There are currently 43.72 FTE posts in the department. There are two posts vacant at the time of writing.

3.2 Workforce Planning

Category	Sponsor	Activity	Budget Impact	Impact on other Service Areas	Milestones
1. Workforce Planning	Marianne Rolfe	Recruitment to vacant posts	Within Budget	Development Services In liaison with HR	Ongoing
	Marianne Rolfe	Review of impact of horizon forecast (inc demand from growth of district)	Within Budget	In liaison with HR	Ongoing
	Marianne Rolfe	Authorisation review	Within Budget	None	Completion of review Spring 2018
	Marianne Rolfe, Pete Cutts, Lorna Hudson	Apprentices & Environmental Health Officers Placements	Within Budget	In liaison with HR In liaison with other Warwickshire Las for placement	September 2018

	Marianne Rolfe	Continuing development of post holders	Within Budget	In liaison with HR	Ongoing
	Marianne Rolfe	Ongoing requirements for professional and technical staff including shadowing and mentoring	Within Budget	In liaison with HR	As required and identified in Personal Development Plans
2. Skills, Training, Competency Needs	Marianne Rolfe, Lorna Hudson	Meeting continuing development needs of portfolio holder and relevant members	Within Budget	In liaison with HR and other service areas	Ongoing
	Marianne Rolfe, Pete Cutts	Development of Corporate H&S, Emergency Planning, Prevent and Counter Terrorism.	Within Budget	In liaison with HR and other service areas	Ongoing
	Marianne Rolfe	Develop commerciality skills	Within Budget	In liaison with HR	As identified in Personal Development Plans
3. Service Changes –	Marianne Rolfe, Pete Cutts, Lorna Hudson, Elizabeth Young	Continued horizon scanning with focus on Food Standards Agency, Better Regulation office and Chartered institute of Environmental Health Officers with their proposed changes	Within Budget	Within Budget	Consultation reports General Meetings and update events
4. Determining the need for additional resource	Marianne Rolfe	Demand management and district growth	TBC	TBC	

Part 4   BUDGET – Main budgetary pressures and changes

Activity	Budgetary Impact	2018/19	2019/20	2020/21
Delivery of the VCS contracts and reduction in spend in this area	Budget saving	£32, 895	£23,180 (on the previous saving)	£30,000 (on previous saving)
Delivery of the District heat networks phase 2 feasibility study for the key areas	Budgets in place	£5000 project manager £90,000 feasibility study	-	-
Digitalisation of the CCTV service	Some budget in place as part of the HQ relocation. Additional budget to be secured and opportunities for income to be explored	£144,580.00 TBC £137,951.00 TBC (able to fit in new HQ and digital upgrade)	£432,726.00 TBC (get signal to new HQ)	£56,157.00 TBC £14,555.00 TBC (move in to new HQ)
Transfer of the Flood Responses SLA to Development Services	Budget Saving	£10,600	-	-
Upgrade of CIVICA app system/ alteration to another system.	Costs to be confirmed.	-	TBC	TBC
Discretionary Savings	Budget saving	£4,500 identified	£4,500	TBC

Part 5 – Managing Planned Changes, Major Work streams and Projects

Change/Project	Sponsor/Lead Officer	Budget Impact	Impact on other Services	Milestones	Date
Flood mitigation project • St John's Warwick	Marianne Rolfe SLA with WCC	Not known £100,000.00 earmarked for project contribution	Finance Neighbourhood	Response to decision by Environment Agency. Project contribution	2018/19 TBC
Budgetary pressures • Following corporate decisions	Marianne Rolfe	Not known	Unknown	Unknown	March 2019
Contribution to Major Corporate Projects • Relocation, • Commonwealth games	Marianne Rolfe	Not Known	Corporate project	Unknown	2020 (TBC)

Night Noise service • Implement the findings of the review of the	Marianne Rolfe Pete Cutts	Within existing budget	HCP project	Report Delivery Spring 18	March 2019
CCTV • Digitisation of the CCTV service to enable relocation into new HQ	Marianne Rolfe Pete Cutts	Budget allocated for relocation. Additional budget to be identified.		Digitisation of Control Room Digitisation of Cameras Creation of Wireless Spine Relocation into new HQ	2020 TBC
Enterprise & Commercial Opportunities • Assess current services for feasible enterprise opportunities. • Understand commercial operating models. • Identify relevant skills gaps of staff in this area. • Raise the profile of our business offer • Review charging for intervention (i.e.pre application advice)	Marianne Rolfe Pete Cutts Lorna Hudson Elizabeth Young	Within Existing budget		Food standards agency – regulating our futures proposal for 2020 Better Regulation Office proposals for 2020	March 2019
Air Quality • Delivery against the air quality action plan • Investigation of opportunities and programmes which would enhance air quality	Marianne Rolfe Pete Cuts Elizabeth Young	Within existing budget, raised grant funding	Development Services	September 2018 annual air quality review Annual report to Health Scrutiny Committee	March 2019
Voluntary Commissioned Services • Procure Voluntary Commissioned Service contracts to deliver identified priorities	Marianne Rolfe Elizabeth Young	Within Existing budget		Current contracts finish end may 2018	June 2018 March 2019
Health & Wellbeing • Wellbeing Charter accreditation progress	Marianne Rolfe Elizabeth Young Tracy Dolphin	None	Cross-cutting HR Regular updates to	Annual submission for HWB (Jun 18) Director of Public Health	March 2019

• Development of the South Warwickshire Health and Wellbeing Partnership			SMT, O&S subcommittee and Health and Wellbeing Board.	report (Sept 18) PH statement updates for the WHB. Reports to Health Scurrility sub committee	
Sustainability • Heat network mapping studies • Development of the Sustainability programme and approach • Identify projects and opportunities which enhance sustainability	Marianne Rolfe Elizabeth Young	Within existing budget	Cross-cutting work. Need for regular updates to SMT	Phase 2 key stage 1 (May 18) Phase 2 key stage 1 (Aug 18) O&S report	March 2019
Cash & Cheque Handling: • Ensure that cash and cheque handling is reduced. • Develop field payment system for pest control and dog warden service.	Marianne Rolfe Pete Cutts Lorna Hudson	Within exiting budget Projects through ITCSG allocation	ICT Chief Executives Office	Monthly monitoring of the cheques and cash received to order to review relevant systems to prevent cash & cheque receipts	March 2019
Digital transformation: • Continuing Total mobile Development • Review opportunities for digital registration of businesses • Development of a specification for software provider to licensing. • Development of specification for software provider (end of Civica app contract 2021) • Improve website information	Marianne Rolfe Pete Cutts Lorna Hudson Elizabeth Young	Within existing budget Projects through ITCSG allocation	ICT	Purchase of additional cameras and Information controller software Ongoing	Within ICTSG work programme

• Roll out of body camera use. • Begin online form integration activities • Improve the information to customers on website				

Service Area Plan 2018/19

Part 1 - Service Information/links to policy
Part 2 – Managing Service Delivery
Part 3 – Managing and Improving People
Part 4 – Budget
Part 5 – Managing Planned Changes/Projects

Service Area :	Development Services
Service Area Manager:	David Barber
Deputy Chief Executive:	Bill Hunt
Portfolio Holder(s):	Cllr Alan Rhead and Cllr Noel Butler

1   Purpose of the Services Provided

To promote and deliver safe and attractive development, in the right place and at the right time in a timely manner, to meet the future needs of the residents, visitors and businesses within the district, whilst protecting the natural and historic environment.

Providing support to businesses in the town centres and rural areas together with attracting inward investment and encouraging growth.

Providing a variety of well managed events in our district to attract residents and visitors to our towns and villages and provide leisure and recreational activities.

To support the delivery of key corporate studies and projects.

1.1 Linkages to Sustainable Community Strategy

External	Direct	Indirect
Service (Green, Clean and Safe) **(Development Portfolio)**	• Assisting in the design process of developments to ensure that they provide safe and high quality environments for our communities, including encouraging active lifestyles. • Adoption of Policies to enable community safety to be taken in to account in new developments • Supporting the delivery of development which supports and assists the health and well-being of our communities and encouraging investors and developers to incorporate such considerations into their proposals. • Adoption of Policies to enable health and wellbeing to be taken in to account in new developments • Project feasibility development for major corporate projects that deliver new housing and community facilities	• Ensuring development meets the requirements of the Building Regulations. • Preparing planning policies and guidance which support green, clean and safe environments • Providing a vibrant economy, creating additional jobs and consequently contributing to Health and Well-being.

External	Direct	Indirect
People (Health, Homes and Communities) **(Development Portfolio)**	• The development and implementation of policies that guide and direct housing, meeting the needs of the communities and ensuring the delivery of high quality residential environments. • Provision of suitable sites for the delivery of housing to meet local housing need. • Project feasibility development for major corporate projects that deliver new housing and community facilities • Pre-application advice and efficient development management processes for new housing developments within the district • The provision of infrastructure through Section 106 contributions/Community Infrastructure Levy to provide community facilities • Sustainability appraisal for all major site allocations and development strategy. • Adoption of Policies to encompass sustainability in new developments • In the 'Statement of Community Involvement' there is a clear engagement and consultation process for developing planning policies and dealing with all other related planning matters. Ensure all stakeholders understand how to engage in the planning process. • Joint working with communities to ensure best outcomes as a result of HS2. • Development of schemes such as Job Clubs and Local Labour agreements. • Identification of Gypsy and Traveller sites to meet the needs of this community and development of appropriate DPD • Ensuring that there is adequate provision of affordable housing. • Supporting regeneration schemes where these can support communities and tackle local deprivation. • Developing policies to ensure the provision of an appropriate mix and standard of housing in residential development schemes. • Supporting the delivery of development which takes account of health and well-being and encourages active lifestyles	• The provision of a high quality responsive building control service • Policies through our local plan • Building Control Regulations • Ensuring that there is community cohesion when considering development proposals. • Assisting in delivering better living conditions through high quality design • Supporting residents in improving their homes in an affordable way through the provision of design guidance and speedy decision making in the application process.
Money (Infrastructure, Enterprise and Employment) **(Business Portfolio)**	• Supporting economic growth and inward investment into our district • Supporting the delivery of key corporate projects to regenerate areas, encourage growth and support the wider prosperity of the district. • Provision of suitable sites for the delivery of employment to meet local, and where relevant sub-regional need. • Ongoing analysis of economic and business tends to ensure planning policies are delivering employment growth in tandem with housing need.	• Ensuring that planning applications are dealt with in an efficient and timely manner to support investment into the district. • The development and implementation of policies

External	Direct	Indirect
	• Promotion of vital and vibrant town centres • Support, management and operation of events • Project feasibility development for major corporate projects • Direct support to businesses, in particular business start-ups • Provision, management and expansion of enterprise centres to support creative and start up businesses • Assisting the rural areas through planning policies to ensure that the rural economy is protected and that villages maintain services, community facilities and the right level of housing	to support investment and growth

2   Managing Service Delivery

2.1   Service Overview

Summary of the main aspects of service delivery during the year

Service being delivered	Priorities	Service demand	PFH
Development Management	Providing pre-application advice and processing planning applications to deliver timely decisions in supporting quality development.	Approx 2300 planning applications per year Up to 200 pre-application requests per year	AR
	Defending planning and enforcement decisions through the appeal process.	60 appeals per year	AR
	Addressing harmful unauthorised development through planning enforcement.	Up to 500 complaints per year	AR
	Protecting the historic heritage of the District through conservation work.		AR
	Protecting important trees which provide the character of the District through TPO and related safeguards.		AR

Service being delivered	Priorities	Service demand	PFH
	Supporting the housing market through processing property searches.	1600 full searches per year	AR
	Monitoring of Section 106 contributions.	30-40 active agreements monitored per year	AR
Policy and Projects	Implementing the Local Development Scheme, including the Local Plan		AR
	Delivering strategic allocations and providing a facilitating role to assist development though to implementation, including infrastructure requirements		AR
	Supporting neighbourhood plans		AR
	Working with partners in the sub-region to deal with sub-regional strategic policy and development		AR
	Understanding & analysis of the local economy		NB
	Active management and promotion of Town Centres through development and delivery of Town Centre Action Plans with key stakeholders		NB
	Manage programme of events across the district	Approximately 110 events per year	NB
	Targeted sectoral interventions to enable growth and innovation		NB
	Promotion of the District to attract and deliver Inward Investment opportunities		NB
	Support for the tourism industry via Destination Management Organisation (Shakespeare's England Ltd), including developing and delivery of Destination Management Plan		NB

Service being delivered	Priorities	Service demand	PFH
	Management of the Enterprise Projects and maximisation of their impact through exploring alternative delivery models		NB
	Co-ordination and delivery of the joint authority Business Support Programme intervention	Businesses supported 150+ /year	NB
	Providing assistance to businesses, through Enterprise team and Economic Development (ED) interactions and interventions		NB
	ED policy development of the prosperity agenda		NB
	Undertaking feasibility and other studies to support Council decision-making on key corporate project.	Projects have different milestones as set out in part 5 below.	AR/NB
	Delivering key corporate projects working with partner organisations, landowners and developers		AR/NB
	Supporting the coordination and delivery of key infrastructure across the district to support growth and new development		AR
Building Control	Processing all types of Building Regulation submissions for Warwick, Rugby and Daventry.		AR
	Providing expertise in dealing with dangerous structures, demolitions and safety at sports grounds.		AR
	Providing Fire Risk Assessments for Corporate Properties, and fire related advice for HMO's.		AR

2.2 Measures

Key Corporate Measures

Customer Measures – those important to the people/organisations who use our services Note : these measures should be used on a daily, weekly or monthly basis to identify the impact of interventions in the system and to plan future interventions. Interventions may be very small adjustments to resources, or may involve transformational change					PFH
	Qtr. 1	2	3	4	
Building Regulation Applications acknowledged within 3 working days					AR
Building Completion Certificates issued within 5 working days of final inspection (% overall)					AR
% of site inspections achieved on time or meeting customer requests					AR
Building Regulation applications determined within the statutory time period					AR
Dangerous structures attended to within 2 hours (imminent danger), within 24 hours (non-imminent danger) (% overall)					AR
Customer questionnaires returned satisfied with Building Control service (% overall)					AR
Number of planning applications determined within the statutory timeframe (%)					AR
Time taken to process minor amendment/discharge of condition applications (no. of average days)					AR
% of planning applications refused permission					AR
Number of pre-application enquiries responded to on time (%)					AR
Time taken to validate all types of applications (no. of days average)					AR
Time taken to resolve enforcement enquiries – see charter (no. of days average for investigations completed without having to take formal action)					AR
Number of Enforcement Notices issued.					AR

Number of dwellings granted planning permission (annually)					AR
Number of dwellings with extant planning permission(annually)					AR
Number of years housing land supply (annually)					AR
Housing Delivery Test – percentage delivery against target (annually)					AR
Employment land with extant planning permission (hectares)(annually)					AR
Use class B employment land granted planning permission (hectares – annually)					AR
Number of new businesses created or attracted to area (via ESIF programme or Enterprise assistance)					NB
Number of new jobs created (via ESIF programme or Enterprise assistance)					NB
Amount of floorspace provided to business by the enterprise service (square feet)					NB
Number of businesses utilising Enterprise facilities who have expanded (either internally or externally)					NB
Customer questionnaires returned satisfied with Enterprise facilities and services (upon exit)					NB
Number of corporate projects (as identified by CMT) that are given a RAG rating of "red" in accordance with agreed project milestones.					NB
Operational Measures – other (non customer) measures essential to ensure that "purpose" can be achieved. Note: this section will not be used by most service areas as their Customer Measures are expected to be sufficient. However, there may be cases where an operational measure is required to ensure the smooth running of a service area.					
	Qtr. 1	2	3	4	
Occupancy levels of property – optimal rent income V actual for our Enterprise units(%)					NB
Number of neighbourhood plans designated					AR
Number of neighbourhood plans adopted					AR
Amount of S106 contributions agreed but not yet paid(£)					AR

					AR
Total amount anticipated from CIL calculate as the sum of CIL liability notices issued but not yet paid each quarter					AR
Total amount of CIL received or demanded as calculated by the sum of all demand notices sent out each quarter)					AR
S106/CIL contributions paid but not yet spent or distributed (£)					SAR
Appeal decisions contrary to WDC decision					AR
Time taken to determine planning applications (no. of days average)					AR
% of planning applications determined by planning committee					AR

2.3 Managing Risk

Risk	Planned Actions during year	Comments
Budget	Regular budget monitoring, Training of budget managers. Improved reporting of under/over spends Better day to day management of budgets: PO's/invoices	Monitoring of budget on a monthly basis
Procurement	Close working with procurement officers in improving procurement processes	DS Team meeting: July, Oct, Jan, April Surgery sessions set up regularly with Procurement
Contract Management	Ensure Contract Register is kept up to date	Reviewed at the DS Team meeting: June, Sept, Dec, March
Audits	Internal audits programmed in the year: - Building Control - Section 106 agreements Check audit plan and ensure actions are implemented Implementation of action identified in Audits undertaken during 2017/18: - Development Management - Land Charges - Events - Economic Development	

Risk	Planned Actions during year	Comments
Risk Register	Regular review of register at management meetings Local Plan identified as significant risk (red).	DS Team meeting: May, August, Nov, Feb Mitigation put in place
Service Assurance	Procurement/Contract register management training Review of Service Assurance Statement	
Corporate Health & Safety	Health and Safety Assessments to be regularly checked and updated Corporate risk and Liability assessments regarding events in our parks and gardens, road closures, etc. are carried out Introduce Health and Safety and standing item at team or section meetings	

Part 3 – Managing and Improving People

3.1   Staff Resources

There are currently XX FTE posts in the department.

3.2   Workforce Planning

Category	Sponsor	Activity	Budget Impact	Impact on other Service Areas	Milestones
1. Workforce Planning (E.g. planning for leavers)	Dave Barber	Planning for career development and any loss of staff through retirement.	Within existing budgets	Support from HR	Ongoing
		Planning for more generic planning and administration roles	Within existing budgets		April 2018
		Appointment of 3 apprentices			
		Expansion of training opportunities	Within existing budget plus use of Levy		September 2018
			20% increase in planning fees		September 2018

2. Skills, Training, Competency Needs	Dave Barber	Develop a service area training plan (training matrix) from appraisal PDPs	Budget for training needs to be adequately resourced to support officers, in particular those doing professional courses	Finance HR	Sept 2018
3. Service Changes	Dave Barber/Service area managers	Skilling the teams to enable them to be more flexible to change	Within existing budgets	None	On-going
		Working differently supporting a work/life balance	Within existing budgets	None	On-going
4. Determining the need for additional resource	Gary Fisher / Phil Rook / Dave Barber	Consider market supplements for hard-to-recruit posts	20% increase in planning fees	None	On-going
		Establish and appoint to posts to utilise increase in planning fees	20% increase in planning fees	None	May 2018

Part 4	BUDGET – Main budgetary pressures and changes			

Activity	Budgetary Impact	2018/19	2019/20	2020/21	PFH
1% discretionary budget reduction	On-going challenges to budget managers to address savings without affecting service delivery	£8,760	£8,760	£8,760	AR/NB

Activity	Budgetary Impact	2018/19	2019/20	2020/21	PFH
Pre-application planning charges	Poor take up of scheme may result in lack of income to cover cost of post	£50,000	£50,000	£50,000	AR
Additional work following the outcome of the local plan, particularly preparing documents detailed in LDS	Preparing evidence, consultations and Examinations	£70,000	£30,000	£30,000	AR
Review of Building Control salaries due to difficulty in recruiting as directly competing with the private sector	Building Control account is ring-fenced and service has to be cost neutral – to be reviewed when end of year accounts completed April/May 2018	tbc	tbc	tbc	AR
BC Fee earning income	This is a ring fenced budget	£720,000	tbc	tbc	AR
Forecasting/monitoring planning fee income	Identify expected annual income. Identify scale of 20% increase in planning fees	£1,435,000 £239,000	£1,215,000 £203,000	£1,100,000 £183,000	AR

Part 5 – Managing Planned Changes, Major Work-streams and Projects

Change/Project	Sponsor/Lead Officer	Budget Impact	Impact on other Services	Milestones	PFH
Designation of the canal as a Conservation Area	Gary Fisher/Nick Corbett	None	None	Mar 2018	AR
Preparation of Canal-side DPD	David Butler	Unknown	None	Publication Draft by March 2018	AR
Improvements to Development Management (Phase 2) and use of 20% increase in planning fees	Dave Barber/Gary Fisher	£190,000 (2018/19)	Includes creation of new posts in Neighbourhood and HCP	May 2018	AR

Change/Project	Sponsor/Lead Officer	Budget Impact	Impact on other Services	Milestones	PFH
Ensuring that CIL is effectively implemented	Dave Barber/Gary Fisher	Significant financial benefits expected by ensuring effective collection of CIL	Will require input from Finance	Ongoing from April 2018.	AR
Facilitating and supporting the delivery of significant housing schemes in the district including Housing Delivery Test	Dave Barber	Fund for monitoring contributions.	Will involve Housing, Neighbourhood and Cultural Services	Specific milestones predominantly driven by planning applications.	AR/NB
Develop and implement the Infrastructure Delivery Plan	Dave Barber	Significant financial benefits expected by ensuring effective collection of CIL	Neighbourhood and Cultural Services	To align with the local plan	AR/NB
Consider purchase of IDOX workflow module and roll out if necessary	Gary Fisher	£10,000 – included in 20% increase in planning fees	IT resources required?	Decision by July 2018 Implement by December 2018	AR
Preparation of a Gypsy and Traveller DPD	David Butler	There may be costs associated with establishing sites	Housing	Publication Draft by March 2018	AR
Prepare Supplementary Planning Documents: • Parking standards • Custom and Self-Build • Residential design guide • Open Space	David Butler	Some costs associated with compiling evidence base	Neighbourhood Services Housing	In line with milestones in Local Development Scheme	AR

Change/Project	Sponsor/Lead Officer	Budget Impact	Impact on other Services	Milestones	PFH
Standards • Affordable housing • East of Kenilworth • Purpose built student accommodation • Air quality • East of Whitnash					
Utilisation of IDOX obligations and monitoring modules	Phil Clarke/Gary Fisher/David Butler	Within existing budgets	Joint working with Finance IT resources required – agreed as part of business case submitted January 2018	Implement by Dec 2018	AR
Implement and review team prosperity plan to ensure business growth/inward investment related partnerships are maximised.	Dave Barber / Philip Clarke	Implementation costs	All service areas	On-going On-going	NB
Business Support review to be implemented and monitored.	Philip Clarke	None	None	Ongoing (as set out review action plan)	NB
Embedding redesign to ensure staff are aware of their priorities and are effective in achieving them	Dave Barber	None	Housing, Culture, CE	End 16/17	AR/NB
Marketing of Building Control service	Phil Rook	From Reserves (agreed by Exec)	None	Implemented by Sept 17, Ongoing planned events 2018	AR
Trial opportunities to expand ring-fenced enterprise service	Gayle Spencer	Additional income generation (unknown)	All support services	18/19	NB

Change/Project	Sponsor/Lead Officer	Budget Impact	Impact on other Services	Milestones	PFH
Implement review of Events service to focus resources on events that add the greatest value	Philip Clarke (plus BM Projects & economic development))	Unknown	Culture; Community Protection	Implementation on-going	NB
Undertake review of promotional literature for Leamington town centre	Business Manager - Projects & economic development		Culture		NB
Provision of advice to assist the development of corporate projects as required, e.g. pre-application for Relocation Project, policy input etc. as required during the year	Gary Fisher/Dave Barber/Philip Clarke		To be determined for each project	On-going	AR/NB
Delivery of Creative Quarter project in conjunction with development partner.	Bill Hunt / Phil Clarke / Guy Collier	None. Some support for master plan if this aligns with Local Development Scheme objectives.	Culture, Neighbourhood Services	Stakeholder engagement and master-planning on-going (to be completed by Nov 2019)	NB
Provision of project support for health improvements in Lillington	Andrew Jones / Guy Collier	Potential investment to be established through project scoping.	Finance, Neighbourhood Services		NB
Provision of project feasibility support for the 2nd Warwick Sea Scouts HQ relocation project	Chris Elliott / Guy Collier	Grant of £50k has been agreed.	Neighbourhood Services, Cultural Services	Milestones determined by pace at which Sea Scouts can progress project.	NB

Change/Project	Sponsor/Lead Officer	Budget Impact	Impact on other Services	Milestones	PFH
Delivery of land at Stratford Road Warwick for employment use	Bill Hunt / Guy Collier	None.	None	Agreement with other landowners and planning permission obtained	AR/PW

Service Area Plan 2018/19

Part 1 - Service Information/links to policy
Part 2 – Managing Service Delivery
Part 3 – Managing and Improving People
Part 4 – Budget
Part 5 – Managing Planned Changes/Projects

Service Area :	Finance
Service Area Manager:	Mike Snow – Head of Finance
Deputy Chief Executive:	Andrew Jones
Portfolio Holder(s):	Councillor Peter Whiting

1   Purpose of the Services Provided

- To seek to ensure that the Council's finances are well managed, in accordance with best practice whilst ensuring best value and value for money is always obtained.
- To ensure that suppliers can do business with the Council and be able to tender fairly on an equal basis along with all other prospective businesses.
- To provide sound and understandable financial advice and a responsive support service to enable members and officers to make the right decisions and to ensure the Council's services are properly managed.
- To seek to provide assurance that all risks are being properly managed and controls are in place.
- To provide the right benefits that claimants are due at the right time.

1.1 Linkages to Fit For the Future Strategy

External	Direct	Indirect
Service (Green, Clean and Safe)		Finance provides the funds to provide services, and seeks to ensure that funds are correctly used, whilst presenting value for money.
People (Health, Homes and Communitites)	Benefits service assists tenants afford their homes, by awarding housing benefits and council tax reduction. Administration of the discretionary housing payments scheme for claimants receiving housing benefit toprevent homelessness. RUCIS grants.	
Money (Infrastructure, Enterprise and Employment)	Benefits and Procurement assist in providing funding which will circulate in the local economy. Using our discretionary powers in Business Rates enables businesses to get assistance by way of discounts	Procurement joined Better Business for all group (BBFA) to support local businesses in procuring council contracts to help build the local economy

Internal	Direct	Indirect
Service (Maintain or Improve services)	Customer services telephones and face to face are aiming to encourage and support customers to self serve in line with the digital by default policy.	The Audit and Risk service provides an assurance framework to ensure all resources are correctly deployed, whilst providing value for money. The Procurement service provides a contract management framework to ensure contracts achieve value for money and best performance.
People (Effective Staff)	Procurement are partnering with other services to empower them to carry out best procurement practices effectively.	

		Direct	Indirect
Money (Firm Financal Footing over long term)	Ensuring the Council's finances are on a firm footing is a key priority for Finance.		

	Direct	Indirect
All Themes	The support services within Finance (Accountancy, Audit/Risk, Procurement, FSTeam), and Council Tax/Business Rates directly and indirectly contribute to all the themes by providing finance and support services for the Council's services.	

2   Managing Service Delivery

2.1   Service Overview

(NB – Specify main aspects of service delivery during the year)

	Service Being Delivered	Priorities (with Justification)	Service Demand	
Accountancy	**Budget/Council Tax Setting**	Ensure council tax and budget setting complies with legislation, meets Council priorities and is within available resources.	Statutory Requirement	
	Budget Review	To monitor income and expenditure on an on-going basis and assess implications for medium term financial strategy, reporting regularly to SMT and members.	11 Budget Review Reports to SMT, 6 Reports to Executive	
	Final Accounts	Ensure annual accounts closed down correctly and promptly. Production of Annual Statement of Accounts within statutory deadlines. Liaison with external auditors.	Statutory Requirement	
	Treasury Management	Manage the Council's investments to minimise risk whilst securing the optimum return. Manage the Council's cashflow and borrowing. Funding the Council's Capital Programme.		£90m investment peak as at 1 February 2018

	Service Being Delivered	Priorities (with Justification)	Service Demand	
	Financial advice	Advise officers and members of the financial implications of proposed actions and decisions and provide appropriate challenge.		
	Financial Planning	Forecast the Council's income and expenditure for the General Fund and Housing Revenue Account as part of the Medium Term Financial Strategy and HRA Business Plan.		
	Parish/town council support	Arrange payments to parish/town council in respect of precepts and grants in respect of council tax (2018/19 final year).		
Audit & Risk	**Internal Audit**	Provision of comprehensive internal audit service for management in line with the Internal Audit Strategic Plan.	Statutory requirement.	Approx.38 audits completed p.a.
	Risk Management	Promote and advise on good risk management across the authority.	Statutory requirement. Effective corporate governance.	
	Insurances	Ensure that the Council is appropriately insured in the provision of its services and manage any resulting claims.	Effective corporate governance.	
	Investigations	Undertake ad-hoc internal investigations on behalf of management.	Effective corporate governance.	
Benefits & Fraud	**Housing Benefits**	Assessment and payment of claims for housing benefit in line with DWP scheme.	Changes processed p.a New claims determined p.a	22,000 1,900

	Service Being Delivered	Priorities (with Justification)	Service Demand	
	Council Tax Reduction	Assessment of council tax reduction claims in line with Council's scheme. Including administering discretionary housing payments to housing benefit and universal credit customers.	Changes processed p.a New claims determined p.a	17,600 2,240
	Fraud investigation	Undertake investigations into fraud against the council in respect of services such as council tax, business rates, house lettings. Promotion of fraud awareness.		
	Customer Service Team	Take Revenues, Benefits and Switchboard telephone calls	Service calls pa Switchboard calls	46,000 12,000
	Reception/One Stop Shops	To work with WCC to ensure customers can obtain the services they need efficiently and effectively as possible.	No of District face to face enquiries pa	30,000
Exchequer	**Collection of Council Tax**	Maintenance of council tax records, award of reliefs, calculation of tax due, billing and recovery thereof.	Council tax payers Reliefs & discounts	63,500 23,000
	Collection of Business Rates	Maintenance of business rates records, award of reliefs, calculation of rates due, billing and recovery thereof.	Business Rate payers Reliefs & discounts	5,100 2,,750
	Recovery of CT, BR and Benefit overpayments	Take appropriate action to recover sums due to the Council, including use of magistrates courts.	Summonses Reminder notices Collectible per annum	6,000 26,500 £180m
	Payment of suppliers	Arrange payment to suppliers for goods ordered.	Transactions Paid to suppliers	10,000 £48m

	Service Being Delivered	Priorities (with Justification)	Service Demand	
	Recovery of sundry debts	Raise sundry debt accounts for sums due to the Council, and recovery thereof.	Transactions Collected pa	13,000 £7.0m
	Rural and Urban Capital Initiatives Scheme	Manage the Council's RUCI scheme, making recommendations to Executive on grant awards, payment and monitoring of awards agreed.	Budget Applications per annum	£150,000 10-12
Procurement	**Manage corporate procurement**	Review and develop the Council's approach to procurement, management of the Council's Procurement Strategy and completion of the Procurement Action Plan.		
	Maintain contracts registers	Work with officers across the Council to ensure that the Council's contract register is correct, is duly published, and contracts within the register are appropriately managed.	Approx 260 contracts on Contracts Register	
	Lead/advise on procurement and tenders	Advise and assist officers in the procurement of goods and services in line with the Council's Code of Procurement Practice and EU Regulations.		

2.2 Measures

Customer Measures – those important to the people/organisations who use our services				
Note: these measures should be used on a daily, weekly or monthly basis to identify the impact of interventions in the system and to plan future interventions. Interventions may be very small adjustments to resources, or may involve transformational change				
	Qtr. 1	2	3	4
Average number of days from receipt of all information to determine new benefit/reduction claims.				
Number of new benefit/reduction claims awaiting processing				

Prompt payment of invoices within agreed payment terms				
Unqualified audit statement on Statement of Accounts				
Average number of days from receipt of all information to determine changes to benefit/reduction claims.				
Timely and informed Budget and Financial Forecasts				
Number of Benefits/Revenues calls to Customer Service Centre.				
Efficient & timely CTax processing (Age of oldest item) - Days				
Number of CTax correspondence awaiting processing				
Efficient & timely NNDR processing (Age of oldest item) – Days				
Number of NNDR correspondence awaiting processing				
Number of formal legal challenges received and upheld against the total number of tenders				
Number of local suppliers actively registered on CSWJETS E Portal				
% Percentage of suppliers on CSWJETS for contracts awarded for the period located within Warwick District				
Number of local suppliers that submitted a tender				

Operational Measures – other (non customer) measures essential to ensure that "purpose" can be achieved.
Note: this section will not be used by most service areas as their Customer Measures are expected to be sufficient. However, there may be cases where an operational measure is required to ensure the smooth running of a service area.

	Qtr. 1	2	3	4
Sundry Debt balance outstanding over 90 days				
Numbers of transactions – orders, creditor invoices, sundry debtor invoices				
Value cashable and non-cashable fraud savings				

detected.				
Council tax collection rate				
NNDR collection rate				
Business Rate Growth (Rateable Value)				
Completion of Internal Audit Plan (percentage variation to profiled plan)				
No of Outstanding appeals (Business Rates)				
% Private Sector suppliers with a formal contract agreement				
Number of Approved Exemptions below £20k				
Number of Approved Exemptions above £25k				

2.3   Managing Risk

Risk	Planned Actions during year	Comments
Budget	• Regular budget monitoring • Achievement of savings target for 2018/19, and other FFF savings agreed by members.	
Procurement	• Management of corporate procurement • Continue provision of Procurement training. • Attendance of key officers at in-house training. Maintenance of Finance and Council Contract Register	
Contract Management	Attendance of appropriate officers on Contract Management training.	
Audits	• Internal Audits of various Finance functions scheduled for year in accordance with Internal Audit Plan. • External Audit of Statement of Accounts and grant claims.	
Risk Management	• Risks reviewed at management team meeting and on on-going basis • Quarterly risk register review with portfolio holder.	

Risk	Planned Actions during year	Comments
	• Risk Management Action plan being formulated for 2017/18 based on external review of Risk Management.	

Service Assurance	• Actions arising out of Annual Service Assurance Statement include: -
	   o Provision of Procurement training
	   o Update of Business Continuity Plan	

Corporate Health and Safety	• Completion of H&S Assessments.	
Service Delivery	• New WDC/WCC Procurement Partnership. • Shared Services for Business Rates and Fraud Investigation.	

Part 3 – Managing and Improving People

3.1 Staff Resource

There are currently 71 FTE posts in the department.

3.2 Workforce Planning

Category	Sponsor	Activity	Budget Impact	Impact on other Service Areas	Milestones
1. Workforce Planning	Head of Service and Divisional Managers	Encourage training, coaching, mentoring etc of staff; assist them to maximise their potential and roles within the organisation.		Support from HR	On-going
	Divisional Managers	Employment of apprentices.	Funded from corporate budget and Levy	Support from HR	Appointment and subsequent completion of apprenticeship.

Category	Sponsor	Activity	Budget Impact	Impact on other Service Areas	Milestones
2. Skills, Training, Competency Needs	Head of Service and Divisional Managers	Formal staff training / professional qualifications to encourage them to maximise their potential.	Cost of professional training courses.	Support from HR	Staff commencing formal training. Staff completing formal training.
	Divisional Managers	On-going CPD training for staff.	Met out of existing budgets.		On-going, March 2019
3. Service Changes –	Head of Service	Complete recruitment to new Procurement Business Partner post.		Support from HR	
	Head of Benefits and Fraud	Review OSS/Front Line staff and interaction with Cusomter Service Team and Back Office.		Potentially all service areas.	
4. Determining the need for additional resource					

Part 4	BUDGET – Main budgetary pressures and changes		

Activity	Budgetary Impact	2018/19	2019/20	2020/21
Corporate savings requirements accommodated within 2018/19 Budget.				

Activity	Budgetary Impact	2018/19	2019/20	2020/21
Support Service savings included within Budget as part of FFF review.				
Court fees income continuing to be volatile.	Budget overstated. Budget reduced from 2018/19	£20,000 recurring reduction		
Reduction in Benefits Admin Subsidy	Redcued subsidy included in 2018/19 Budget	£41,000 reduction.		
Cost of new Financial Management System			TBC	

Part 5 – Managing Planned Changes, Major Work streams and Projects

Change/Project	Sponsor/Lead Officer	Budget Impact	Impact on other Services	Milestones	Date
Investigate feasibility of using of Meta Training for improving employee awareness of risk management.	Audit and Risk Manager			Compilation of mini report on feasibility of using Meta Training for improving employee awareness of risk management.	March 2019.
Customer Service Team – review telephony enhancements to improve customer service.	Benefits and Fraud Manager	Potential request for Service Trqanfromation Reserve funding		Reduction in calls received.	March 2019
Universal Credit – prepare for October 2018 rollout to new working age housing benefits claimants.	Benefits and Fraud Manager			Appropriate online and budgetary support is in place. Training provided to all relevant people.	October 2018
Customer service team face to face. Review service delivery.	Benefits and Fraud Manager				March 2019
Review Discretionary	Benefits and Fraud		Housing		March

Change/Project	Sponsor/Lead Officer	Budget Impact	Impact on other Services	Milestones	Date
Housing Payments policy in view of new Homelessness legislation.	Manager				2019
Review options for Council Tax Reduction Banded Scheme	Benefits and Fraud Manager			Draft options to Executive	July 2018
Visiting Team – improve efficiency and affectiveness of working practices.	Exchequer Manager		Development Services, Street Naming/Numbering, ICT	Fill vacant admin role/consider current working arrangements/review JDs/	June 2018
Auto-matching for Creditor invoices – implement across Council	Exchequer Manager		All.	System live across Council	May 2018
Explore local discount/relief schemes for council tax and business rates.	Exchequer Manager	Potential cost on collection fund. Possible long term gains from local business investment.		Paper on options for 2 schemes including pros and cons of policy	July 2018
Council Tax "Self Serve" (Open Channel) module	Exchequer Manager			Moving out form Moving within form Single person discount form	May 2018 July 2018 Aug 2018
Production of Spend Analysis	Exchequer Manager/Senior Procurement Business Partner.	Potential for future savings from improved collaborative procurement.	Potentially all.	Agreement on what data to be analysed	September 2018

Change/Project	Sponsor/Lead Officer	Budget Impact	Impact on other Services	Milestones	Date
WDC/WCC Procurement Partnership – progress new arrangements. Review of success to Executive	Head of Finance		Potentially all.	Report to Executive	March 2019.
Contract Register – review with ICT format held, how shared and accessed.	Senior Procurement Business Partner.		Potentially all.		March 2019
Early Closure of Accounts – for 2017/18 inc improved electronic WPs, planning for2018/19 closedown.	Strategic Finance Manager				July 2018
New Financial Management System	Strategic Finance Manager	One of Capital Cost, potentially additional revenue support costs (but not in 2018/19)	All service areas are stakeholders who will need to be consulted and involved throughout the process.	Soft Market testing. Production of specification.	31 March 2018
Budget Review – increase accuracy of process and year end projections.	Strategic Finance Manager		All		On-going

Service Area Plan 2018/19

Part 1 - Service Information/links to policy
Part 2 – Managing Service Delivery
Part 3 – Managing and Improving People
Part 4 – Budget
Part 5 – Managing Planned Changes/Projects

Service Area :	Neighbourhood Services
Service Area Manager:	Rob Hoof
Deputy Chief Executive:	Andrew Jones
Portfolio Holder(s):	Cllr Moira-Ann Grainger

1 Purpose of the Services Provided

Purpose – To provide a range of front line services that have a direct impact on making the district a great place to live work and visit including:-

Waste Collection
As the designated Waste Collection Authority the Council is responsible for providing a range of waste collection and recycling services.

Street Cleansing
As the designated Litter Authority the Council is responsible for ensuring that street cleansing is carried out across the District.

Grounds Maintenance
Responsible for the provision of good quality parks and open spaces across the district contributing to a high quality local environment, promoting healthy lifestyles, and supporting a range of local activities.

Off-Street Car Parking
Providing car parks that meet the needs of residents, workers and visitors to the District, in order to support the local economy.

Bereavement Services
Providing burial and cremation services to residents of the District and beyond.

1.1   Linkages to Fit For the Future Strategy

External	Direct	Indirect
Service (Green, Clean and Safe)	Responsible for managing the delivery of the Street Cleansing Contract, designed to give a good standard of cleansing across the District. Removal of fly tipping, graffiti, fly posting and abandoned vehicles as required. Enforcement activities to reduce incidents of fly tipping and waste accumulations. Responsible for managing the Grounds Maintenance Contract, designed to maintain the Districts parks and open spaces to a good standard. Responsible for managing the delivery of the Waste Collection Contract, designed to dispose of various types of waste and achieve high levels of recycling. Provision of Ranger Service to give a high profile, on site presence in the Districts parks and off street car parks. Delivering a number of projects to improve the quality and security of parks and open spaces across the district.	Working with Clean Up Britain to deliver a high profile behavioural change programme focused on littering and fly tipping. Monitoring the health and safety of contractors working on behalf of the Council. Robust risk management processes for all service responsibilities / functions.

People (Health, Homes and Communitites)	Provision of parks and open spaces gives an opportunity for exercise, sporting activities and play. Neighbourhood Services supports community groups to bid for funding and set up and operate "Friends Of" groups. Maintenance contracts managed by Neighbourhood Service include areas which are covered by the Housing Revenue Account	Officers attend local community forums to give updates on local projects and to gain feedback from the community in relation to local environmental issues.
Money (Infrastructure, Enterprise and Employment)	Provision of off-street car parking is key to supporting town centres.	High quality local environment encourages tourism, housing growth and commercial investment.

Internal	Direct	Indirect
Service (Maintain or Improve services)	The Neighbourhood Services redesign included resources to improve system development and data management used for day to day service delivery.	Teams encouraged to find new and innovative ways of improving service delivery.
People (Effective Staff)	Increasing staff levels to accommodate the level of housing growth in the district and related projects.	Training programme has been developed for every member of staff. Investigating opportunities to take on apprentices within the team.
Money (Firm Financal Footing over long term)	Neighbourhood Services generates an annual income of approximately £5m, that contributes to the delivery of local services and assists in the delivery of the Council's Medium Financial Strategy.	

2   Managing Service Delivery

2.1   Service Overview

	Service Being Delivered	Priorities	Service Demand	
	Contract Services			
CS1	Waste Collection	WDC is the designated Waste Collection Authority (statutory service). Collection of residual waste in wheeled bins/sacks, bulk collections, clinical waste, commercial waste, and events	No. of collections per annum Income	4 Million £460k per annum
CS2	Recycling Services	Required to meet English Recycling Targets, collection of dry recyclables, green/food waste, bring banks, recycling from flats and schools. (statutory service)	WDC Recycling rate	56%
CS3	Street Cleansing Operations	WDC is the designated Litter Authority. Cleansing of parks open spaces and highway land at various frequencies across the District. Removal of fly tipping, graffiti and fly posting. (statutory service)	Carried out 365 days a year	Supported by Rapid Response Teams
CS4	Car Parking Management	Provision of off-street car parks, managing income and parking enforcement. Managed service on behalf of Royal Priors Shopping Centre.	3 multi storey and 24 surface car parks	Income £3.1 million per annum
CS5	Grounds Maintenance	Grass cutting, shrub bed maintenance, hedges, highway verges, parks and open spaces	Area maintained	550 Hectares
CS6	Children's Playgrounds	Maintenance of children's play equipment.	Checked weekly	49 No.

CS7	Ranger Service	Generic role that encompasses operational activities in parks and open spaces, signposting for residents and visitors, supporting community groups and other agencies, and enforcement.	Ranger Posts Supervisors	12.5 FTE 2
CS8	Abandoned Vehicles	Removal of abandoned vehicles from public land.	Reported each year	Approx. 200
CS9	Enforcement	Use of powers under the Environmental Protection Act and Clean Neighbourhoods Act to deal with issues such as fly tipping and accumulated waste.	Incidents each year Interventions each year	2000 350
	Green Space Development			
GS1	Project Management	Projects to improve the quality of parks, open spaces and playgrounds	Planned this year	15 projects
GS2	Technical Role	Management of the technical aspects of the parks service including, bowling green maintenance, sports pitch maintenance, bedding, sustainable planting, tree and woodland management, and nature reserves. Advice provided on planning applications/ 106 agreements, planning policy, commuted sums and delivery of open spaces on new developments.		
GS3	Strategy Development	Development of management plans, policies and procedures that underpin the future provision and quality of green space in the district, including commenting on 106s and planning applications.		

	Bereavement Services			
BS1	Oakley Wood Crematorium	Provisions of cremations, woodland burials and garden of remembrance in a peaceful and tranquil setting.	Burials	280 per annum
			Cremations	2000 per annum
			Income	£1.5 million per annum
BS2	Cemeteries and Closed Churchyards	Legal obligation to maintain if not carried out by other bodies.	No.	7
	Business Support			
	Business Support Telephony Service	The efficient resolution of customer enquiries through the answering of phone calls and emails	No. of calls received.	24,000
			No. of emails received	25,000

2.2 Measures

Customer Measures – those important to the people/organisations who use our services
Note: these measures should be used on a daily, weekly or monthly basis to identify the impact of interventions in the system and to plan future interventions. Interventions may be very small adjustments to resources, or may involve transformational change

	Qtr. 1	2	3	4
Contract Officers responding to customer enquiries within 2 working days				
Number of missed refuse, recycling and green bin collections				
% of missed collections rectified within 2 days				
Satisfaction survey of funeral directors to be carried out annually				

Operational Measures – other (non customer) measures essential to ensure that "purpose" can be achieved.
Note: this section will not be used by most service areas as their Customer Measures are expected to be sufficient. However, there may be cases where an operational measure is required to ensure the smooth running of a service area.

	Qtr. 1	2	3	4
Number of joint health and safety inspections completed				
Number of enforcement actions resulting from fly tipping and waste accumulations				
% of joint street cleansing completed to an acceptable standard				
Total income generated from car parks				
No. of PCN's issued as a % of ticket sales				

2.3 Managing Risk

Risk	Planned Actions during year	Comments
Budget	Monthly budget monitoring by managers and accountants. Continual monitoring of income and revising projected outturn. Continual review of service delivery and identification of savings, efficiencies and sources of additional income.	Information also reviewed regularly in SMT budget reports.
Procurement	Day to day discussions with Procurement Team Updating and review of the NS Contract Register Major Procurement During 2018/19 Additional car park capacity in Leamington Replacement of parking meters. Sites included with the Green Space Strategy Action Plan Bereavement Service ICT system Children's play equipment	As required Ongoing
Contract Management	Use of performance measures Joint inspections Health and safety audits Monthly contract liaison meetings Annual partnership meetings Customer enquiries/complaints	Monitored monthly Throughout the year Throughout the year With the 3 maintenance contractors With the 3 maintenance contractors Monitored daily
Audits	Audit of Off-Street Parking	Date to be confirmed

Risk Register	Reviewed every 3 months across all areas of service.	Management Team Agenda Item
	Reviewed every 3 months with Portfolio Holder	Part of Portfolio Holder Briefing
	Reviewed annually by Finance & Audit	July 2016
	Head of Service attends the Corporate Risk Management Group	Head of Service
	Key risks included within Service Plan and Team Operational Plans	Shared corporately and with Members
	Included within corporate management information	Reviewed quarterly by SMT
	Current Key Risks for Neighbourhood Services are:-	
	Issues relating to multi-storey car parks	To be addressed subject to future business cases and funding.
	Bereavement Service ICT system failure/replacement and associated records data.	System replacement to be completed in 2018
Service Assurance	Included in Service Assurance Statement	
Corporate Health & Safety	Completion of new style Fire Risk Assessments across all corporate buildings	FRA undertaken by Building Control and logged on Assessnet with allocation of actions.
	NS has a representative on the Corporate Compliance Group	Priorities and actions currently being reviewed.
	Planned health and safety audits.	

| Service Delivery | Implementing a car park displacement strategy for Leamington to mitigate the impact on the town of closing Covent Garden Car Parks in 2019.

Undertaking a series of projects to provide efficiency and align Neighbourhood Services more in line with WDC's ICT & Digital Strategy 2015-2019, which include:-
- Litter bin database with the potential for resident QR reporting
- Providing Total Mobile for Contractors
- Development of a Fly-Tipping App | These projects are part of the agreed ICT Workplan for 2018/19 |

Part 3 – Managing and Improving People

3.1   Staff Resource

There are currently 50 FTE posts in the department.

3.2   Workforce Planning

Category	Sponsor	Activity	Budget Impact	Impact on other Service Areas	Milestones
1. Workforce Planning	Rob Hoof	Complete recruitment of Car Park Manager	Within existing establishment	Non	April 2018
	Graham Folkes-Skinner	Fill vacant post in the Business Support Team	Within existing establishment	Non	April 2018
2. Skills, Training, Competency Needs	Rob Hoof	Agreement of the 2017/18 plan for Neighbourhood Services		Support from HR	Monitored throughout the year and amended as necessary

3. Service Changes –	Graham Folkes-Skinner	Transfer responsibility for One Stop Shops to Finance Portfolio	Non	Finance	April 2018
		Transfer System Ownership of Allpay and Capita Contracts to Democratic Services	Non	Democratic Services	April 2018
	Gary Charlton	Plan for upskilling of staff to take on enforcement duties when agreement with Rugby Borough Council comes to an end.	Non	Legal Services	End of 2018
	Dave Anderson	Identify resources required to deliver Country Park project	TBC	None	End of 2018
	Rob Hoof	Identify additional resources required to support delivery of numerous car park related projects.	TBC	None	April 2018

Part 4   **BUDGET – Main budgetary pressures and changes**

Activity	Budgetary Impact	2018/19	2019/20	2020/21
Leamington Displacement Strategy	Capital costs to create additional car parking	£674k	Nil	Nil
Closure of Covent Garden Car Parks	Communications and mitigation strategies	TBC	TBC	TBC
	Loss of income	Nil	£445k	£220k
Complete Open Space Data Capture Project	Unknown at this stage	Unknown at this stage	Unknown at this stage	Unknown at this stage
Green Space Strategy Action Plan	2018/19 funded. Requires additional funding to the Public Amenity Reserve from 2019/20	£295k (funded)	£20k	TBC
New ICT system for Bereavement Services	Funded as part of the 2017/18 Digital Transformation Programme	£50k	£0	£0

Part 5 – Managing Planned Changes, Major Work streams and Projects

Change/Project	Sponsor/Lead Officer	Budget Impact	Impact on other Services	Milestones	Date
Pump Room Gardens Project	Rob Hoof	£1.4m project funded through contributions from Heritage Lottery Fund, Friends of the Pump Rooms and WDC	Development Services Events Team	Work due to commence Work to be completed	May 2018 Nov. 2018
Create additional car park capacity in Leamington to include: Princes Drive Victoria Park Court Street	Rob Hoof	Capital costs £674k	Input required from Development Services and Cultural Services	Planning permission required	Dec 2018
Changes to parking arrangements in St. Peters MS Car Park and Riverside House	Rob Hoof	Additional cost to be covered by the LLP		Planning permission required for Riverside House	March 2019
Implementation of Section 46 and 47 powers in partnership with Rugby Borough Council	Gary Charlton	£41k available for 2018/2019	Health & Community Protection	Work due to commence	April 2018
Bishop Tach Brook Country Park Project	Dave Anderson	£2.4m + project funded through s106 contributions from developers	Development Services	Work due to commence	April 2018

Green Space Strategy Projects Midland Oak (Leamington) Othello Avenue (Warwick) Ophelia Drive (Warwick) Rushmore Street(Leamington) Mander Grove (Warwick) Glendale Avenue (Kenilworth) Sabin Drive (Cubbington) Twycross Walk (Warwick) Campion Hills (Leamington)	Dave Anderson	£295,000	None	Milestones for each individual project including:- Project planning Consultation Procurement Installation Handover	April 2018
Community Led Projects New Street Burial Ground All Saints Churchyard	Dave Anderson	TBC	None	Milestones for each individual project including:- Project planning Consultation Procurement Installation Handover	April 2018
Other Projects Victoria Park improvements Newbold Arms play area Kennedy Square Clarendon Square	Dave Anderson	£312,000	None	Milestones for each individual project including:- Project planning Consultation Procurement Installation Handover	April 2018

2017/2018 - Chief Executive's Office Portfolio Holder Update

1. Service Plan Performance

The ICT Service provides the underlying infrastructure and support services for nearly 600 users, including members and key council contractors who access our systems. By the end of 2017/18 we expect the ICT Helpdesk to have received circa 13,000 calls, and the service as a whole made over 550 planned changes to our systems, excluding new developments. Despite the volume of change, service availability for systems remained high at 98.98%

The GIS team, which also has responsibility for Street Naming & Numbering (SNN), made over 50,000 updates the Local Land and Property Gazetteer (LLPG) in 2017/18 compared with 32,000 updates in 2016/17. The LLPG is the Council's master property database and is integrated into services such as Planning, Revenues and Benefits, Community Protection and Electoral Services.

Income from Street Naming and Numbering remains strong. Income to date (19 Feb 18) is £43,500 against a 2017/18 income target of £45,000.

Democratic Services is split between four core teams. Civic & Committee Services provides support to all Warwick District Councillors and manages the Council's public meetings, along with supporting the Chairman in their role as civic lead for the District. The electoral services team are responsible for managing of the electoral register (currently 103,956 electors) within the district and delivering all public elections that occur in the District. The Corporate Support Team are responsible for the management of post and deliveries within the Council, cash receipting, management of requests for information to the Council and provide support to the Corporate Management Team. The new Information Governance Manager is undertaking the statutory role of Data Protection officer for the Council. With this they are developing a new Framework and policies (plus updating policies and procedures where necessary) for ensuring the highest level integrity for handling information with the Council.

HR has continued to support the FFF strategy and work with the organisation to realise its vision and values. Present full time equivalent for the organisation is 428, headcount is 487, staff turnover is at 8.96% (22.8% including TUPE out of Leisure Services). Management information and trends are reviewed regularly with the Senior Management Team, Workforce Steering Group and People Strategy Steering Group and also includes staff absence, vacancies, leaver information and agency staff spend.

HR provides support to its customers for the following areas: HR Senior Officers managing day to day issues with the council and support for redesigns/policy guidance/recruitment and performance, conduct and absence related issues. HR Support/Payroll are a combined area providing a consistent service for all personnel as part of the Employee Life Cycle. Learning & Development ensures Personal Development Plans are linked to the Corporate Training Plan and considers the priorities of the organisation to ensure skills and knowledge continue to be progressed through a variety of blended learning options.

The themes of the People Strategy 2016 -2020 have been identified as Leadership and Organisational Development; Equality and Diversity; Workforce Planning and Performance; Learning and Development; Communications, Involvement and Engagement; Employee Well-being, Reward & Recognition. The People Strategy priorities in 2017/18 have resulted in a complete re-branding of how we recruit including social media with emphatic results; a remuneration review based on hard to recruit areas; a refresher of our HAY evaluation scheme guidance; preparation for a new corporate apprenticeships scheme; scoping and consultation with our Staff Voice group relating to recognition and reward with further investigation identified; training matrices for each service area developed to ensure a corporate approach to learning and development. Progress on these areas are updated and governed by the People Strategy Steering Group/Workforce Steering Group.

Media and Communications, Design & Print and Website teams are aligned to HR as part of CXO and responsible for all our internal and external communication with residents, councillors and staff by all communication channels including press releases, advertising, printed literature, website, and social media. A review of our Social Media offering has resulted in restructure of the team to integrate a Digital and Social Media Officer into the team to ensure we are progressive in how we deliver our communications. Internally, they update the Intranet with the latest news, as well as supporting staff to access the services they need. They also manage the Rumour Mill as a way of engaging with staff and highlighting current concerns and questions to relevant service areas.

The Assets Team is now incorporated within the Chief Executive's Office following the break-up of the former Housing & Property Services' Service Area. A fundamental redesign of the team is being finalised to ensure that it is set up to provide a robust corporate support service to all the asset owning service areas and specialist technical input to corporate projects as required.

During the year the team has completed the stock condition survey work for the HRA stock and this is now being used to tailor the future Housing Improvement Programme. The main responsive repair and void repair contract for all HRA homes has also been re-let and a new contractor appointed with mobilisation underway for contract start in April 2018.

The tragic fire at Grenfell Tower in June 2017 and its aftermath has been a major source of work for the team in the second half of the year. The Council's response was swift and robust with joint fire safety inspections of the 7 HRA multi-storey blocks and a further 2 six-storey blocks undertaken with Warwickshire Fire & Rescue Service in within weeks of the fire. The cladding fitted to 6 of the blocks has been thoroughly investigated and determined to not pose any fire safety risk and structural surveys of the cladding by abseil have been undertaken, again identifying no concerns. The fire alarm and detection systems have been upgraded in all the blocks to fully addressable systems linked to an automatic receiving centre which can provide Acorn Court of details of the type of activation and drench systems fitted to all bin stores. Automatic Opening Vents have been specified for all the blocks to ensure smoke can be removed from fire fighting and evacuation stairwells and fitting is due to completed by May 2018. Every resident in every block has been visited and major programme of refurbishment to the communal areas has been specified, including re-wiring,

improved signage, new decorations and floor finishes and the replacement of every door leading onto a communal area, including all flat front doors, with a FD60S fire door providing a minimum 60 minute of fire protection. Work begins on Radcliffe Gardens on 12 March 2018 and will be completed in the remaining blocks by the end of 2018. Sheds and stores rooms are in the process of being rationalised to minimise fire risk and the gas supply has been removed entirely from the 3 blocks at the Crest.

2. Risks

The ICT Service has two primary risks:
- The increasing sophistication of Cyber Attacks, particularly the increase in Ransomware, poses a constant risk to the confidentiality, integrity and availability of council services and data.
- The capacity of the ICT Service to deliver new and innovative solutions to meet strategic demands and service area improvements is being eroded by day-to-day support and the need to secure and maintain our systems. The lack of ICT capacity puts strategic initiatives such as Digital Transformation and Transforming our Workplace at risk while operational demand takes priority.

The primary risks for Democratic Services are:
- IS updating the Councils approach for improving Information Governance within the Council to ensure that it can be compliant with the requirements of the General Data Protection Regulations and the merging Data Protection Bill.
- Decision/unauthorised decision. This risk was associated with the introduction of a new Council and ensuring adequate training and support was in place. This risk will now have reduced and should continue to do so.

The primary risks for HR/Media are:
- Loss of IT, due to the deadlines HR need to adhere to the loss of IT would have a major impact, loss of key records to enable us to inform payroll correctly related to pay/pensions/absence updates.
- Work on People Strategy not achieved and the impact of low morale and engagement in the organisation.
- Inaccurate/inappropriate communication for internal and external contacts could result in messages being misinterpreted and impact on reputation on the organisation.

The primary risks for the Assets team are:
- Insufficient or inadequately trained/qualified staff. Recruitment and retention of specialist staff has proved problematic in the past but the current fundamental re-design of the team and the recruitment of apprentices is designed to address this.
- Non-compliance with H&S requirements, e.g. asbestos, gas and electric, legionella, fire safety etc. The risk is mitigated by the contract management framework, robust testing regimes, revised Asbestos Management Plan and the major fire post-Grenfell fire safety work programme but further monitoring by the Asset Compliance Group and a review of how records are stored is now underway.

3. Workforce Planning

In 2017/18 the ICT Service was fortunate not to have any vacancies. However, as per the Employment Committee report dated 13 Dec 2017 and the subsequent Executive report dated 07 Feb 2018, the remaining Business Analyst was made redundant on the 8th March 2018 due to changes in working practices.

Democratic Services have two current vacancies within the team. These are the Chairman's Attendant for which recruitment is underway. The second is a role within the Corporate Support Team which is subject to a report to Employment Committee on 21 March 2018.

In 2017/18 HR, Media & Communication completed a comprehensive review of the service and the capacity required to ensure the teams can continue to provide the resources to achieve key projects and day to day support for all our customers.

During 2017/18 the Assets Team has operated on an interim basis with key management posts covered by internal secondments or temporary interim appointments pending the full team re-design referred to above.

4. Budget

The ICT Service continues to operate within its budget, although this will be tested over the next 18 months as the Council's ICT support contracts come up for renewal.

However, as reported last year, the devaluation of the British pound against the US dollar (Licences and support contracts are quoted in dollars) and general UK inflationary pressure, present an ongoing financial risk.

Expenditure from the ICT Asset Reserve is monitored to ensure that only necessary expenditure is committed. This, coupled with the desktop virtualisation strategy has reduced predicted expenditure from the fund by £171,000 over the first five years of the reserve.

Democratic Services Team has had stable year for budgeting and the costs of the Elections & Electoral Registration Printing contract came when awarded was in line with the budget.

The HR area continues to operate in budget through monitoring and review of how it offers its services to its customers. The impact of self-serve across the organisation culturally has continued to enable managers and staff to be more empowered when managing expenses/overtime and absence. Learning and Development has been identified as a significant contributor to the morale and motivation of staff to maintain and improve on the skills, knowledge and behaviours of the people of Warwick District Council. The budget for this key area has not been reduced to ensure training remains a key part of Service Plans and the 'People' aspect of FFF.

Media, Design, Print and Website pro-actively manage their budget to ensure the framework is adhered to and provides value for money.

The Assets Team has managed the corporate asset PPM programme and the HRA HIP programme within budget.

5. 2017/2018 Service Area Projects

Corporate Projects
Digital by Design – Programme of work submitted to Executive
Transforming our Workplace (ToW) – project is ongoing as part of the relocation

Governance & Management
ICT Strategy & Plan 2015/19 – Ongoing, managed by the ICT Steering Group
People Strategy 2016-2020 – Ongoing, managed by the Workforce Steering Group
ICT Business Continuity Plan – Plan updated and tested at the Council's contracted recovery centre in Aston.
Information Governance – New Officer in Place and reports coming to Executive in April

Security & Compliance
PSN CoCo – Actions on the active ICT Health Check completed, new ICT Health Check to be undertaken on 20th – 23rd march 2018 by independent external assessor.
Digital Resilience – Multiple initiatives undertaken as reported to Executive in Feb 18.

Desktop Projects
Desktop Refresh Review - Ongoing

Application Support Projects
Corporate Development – Ongoing

Infrastructure Projects
Network Core & Firewall Replacement - Completed
Reconfigure File Server - Completed
Expand VoIP telephony to Satellite sites – Delayed due to major upgrade of the corporate network

GIS Projects
Support Neighbourhood Services Data capture project - Ongoing

People Strategy
Review of People Strategy Action Plan – ongoing as part of priorities from the Workforce Steering Group/People Strategy Steering Group

Equality & Diversity
Update of E & D action plan – ongoing as part of People Strategy action plan

Terms & Conditions Review – completed
Electoral Services
Boundary Review – Ongoing. The Local Government Boundary Commission for England are due to publish their Warding Proposals on 3 April 2018 with a final decision in August 2018.
Contracts - completed.
Planning for HQ relocation - Ongoing.
WCC Election & General Election 2017 – Completed, awaiting assessment of General Election accounts by the Electoral Claim Unit (Expected late summer early autumn 2018)

Civic & Committee Services
Implement the new Scheme of Members Allowances - Completed.
Councillors IT Working Party – This has been rolled forward to the 2018/19 Service Area Plan.

HR
T&C Review - completed
Review of Salary Benefits & Recruitment – completed
Organisational Development – ongoing as part of redesigns/restructures
HR/Media Review - completed

Assets
HRA Stock Condition Survey – data capture complete, analysis on-going
Post-Grenfell review of fire safety in multi-storey blocks - ongoing
Re-letting of HRA Responsive Repair & Voids contract – completed

6. 2018/2019 Service Area Projects

Corporate Projects
Digital by Design.
Transforming our Workplace (ToW)
Corporate Complaints Policy
Development of an Asset Management Strategy
Governance & Management

ICT Strategy 2015-19
People Strategy 2016-2020
ICT Business Continuity Plan
Information Governance Framework

Security & Compliance
Secure Email
Digital Resilience

Desktop Projects
Desktop Refresh Review

Application Support Projects
Corporate Development

Infrastructure Projects
Review Backup & Recovery
Upgrade Windows 2008 R2 Server to 2016.
Expand VoIP telephony to Satellite Sites

GIS Projects
Support of the Neighbourhood Services Data capture project.

Electoral Services
Boundary review
Planning for HQ relocation
Preparation for 2019 election

Civic & Committee Services
Councillors IT Working Party
Preparation for 2019 induction of Councillors

Information Governance
To deliver the Information Governance framework

HR/Marketing & Communications
T&C Review
Review of Salary Benefits & Recruitment related to Pay Award 2018/19
Organisational Development
On line Recruitment portal
Corporate Apprenticeship Scheme
Reward and Recognition scheme
Management/Staff Development Programme
Planning for HQ relocation
St Mary's Land
Commonwealth Games 2022
Intranet Improvement Plan

Assets
Refurbishment of communal areas to multi-storey blocks
Completion of Fire Safety Works and revised Fire Risk Assessments
Review of ActiveH record storage

Cultural Services – Year End Service Plan Review (March 2018)

Leisure Development Programme Following Executive approval in November 2015 the procurement of an external operator to manage the Council's leisure facilities was completed in May 2017 with the appointment of SLM (operating as Everyone Active (EA)EA managing the 4 WDC leisure centres and the 2 dual use facilities on school sites. EA and the Council worked in partnership to re-open Phase I of the works at Newbold Comyn Leisure Centre open in August 2017, and ST Nicholas Park Leisure Centre in September 2017. It was pleasing to see that despite being in the very early stages of a new partnership, the handover of these centres and the early months of the contract were relatively trouble free despite what were challenging circumstances due to the ongoing delay of the construction at Newbold Comyn. In the 9 months since the start of the contract, performance has been very encouraging. Given that work continues with the Leisure Centre construction projects at Newbold Comyn and St Nicholas Park, Everyone Active has done well to increase participation overall, but particularly with health and fitness activities and swimming lessons.

Everyone Active cards have been issued to date, allowing those who qualify for concessionary prices can do so without any stigma, and EA can contact all card holders to promote new initiatives or to deliver urgent information about facility opening times. Work is now focussing on the final stage of the construction at St Nicolas Park being completed before Easter 2018, with an official opening ceremony scheduled for late April 2018. The long awaited completion of Newbold Comyn has continued to be thwarted by uncontrollable issues with utilities and the latest target date for completion is summer 2018. Further updates will be communicated as soon as officers have dates that they can be confident will be achieved.

Planning ahead, the initial scoping on Phase II of the investment proposals (Kenilworth) has commenced with the Executive approving the next steps at their meeting in Feb 2018. Procurement is now underway to appoint professional services to work with officers to develop a range of options for Abbey Fields and Castle Farm, which will be brought back to the Executive in summer 2018, and then will form the basis for initial public consultation. The Phase II project is taking a holistic view across the whole of Kenilworth and engagement with local sports clubs, Everyone Active, and other stakeholders is considered to be essential in this project.

The new Sports & Leisure team in Cultural Services was established in Jan 2017 and in the last 12 months has recruited to the new Contract officer post, enabling the team to deliver its new role in managing the new leisure centre contract and deliver the active communities and outdoor sports services. One area of work that has growth significantly in the last 12 months has been the input into securing appropriate developer contributions for sports and leisure provision, and ensuring that these contributions are aligned to the needs evidenced by the Playing Pitch and Indoor Sports strategies. Both strategies are currently in the process of being updated and will be reported to councillors in summer 2018 for approval.

Arts Review – The outcomes of the Arts Review were officially implemented in February 2017. A year on and the new integrated Arts team is now well established. The Visitor Information Centre (VIC) team was added to the Arts team in April and was combined with the box office team to create a new Sales & Information team which is now operating from a new central information hub in the main concourse at the Royal Pump Rooms. This hub provides a local information service and

ticketing services. This area continues to be improved with the aim of making it a more creative, engaging space.

Contract Management – in addition to the new leisure centre contract, Cultural Services monitor and manage a number of key contracts. In November 2017, the Council were informed of the decision by Mack Golf to walk away from the golf contract operating at Newbold Comyn Golf Course. This was obviously very disappointing and comes after a great deal of work by both parties to find a solution to the well documented challenges that Mack have experienced. Mack terminated its relationship with the Council on 31st Jan 2018, and work is underway to agree a negotiated settlement with Mack, and to identify options for the future use of the open space and buildings that were managed as the golf course.

The Council took the option to extend the Kudos catering contract by 12 months. This contract will finish in February 2019. Work is underway with Complex Development Partnerships (CDP) to identify a suitable catering operator at the end of the Kudos contract in the Royal Pump Rooms and Jephson glasshouse. In the meantime, the Arts Manger is now managing the catering contract and has regular performance meetings with Kudos. Kudos have worked hard over the last 6 months to improve their café offering and positive feedback has increased as a result.

Other significant contracts managed by the team include the ongoing contracts with Mace Ltd and Speller Metcalfe (construction projects); annual pantomime production and the leisure centre contract with Everyone Active.

Strategic projects – the team have continued to work throughout the year with partners to progress a number of strategic projects including:

- Phase II (Kenilworth) which involves Kenilworth Wardens relocation to Castle Farm and the development of Wardens current site at Thickthorn; Kenilworth School relocation; Kenilworth Rugby Club relocation; and dialogue with a number of local sports clubs
- Europa Way and the delivery of a community stadium in partnership with Leamington FC.
- Commonwealth Games 2022 – delivery of Bowls and Parabowls events at Victoria Park and associated projects to optimise the impact of the event and provide legacies for the district

Leamington Spa Art Gallery & Museum - the Art Gallery & Museum continues to be a popular destination for local people and visitors alike attracting over 135,000 visitors a year.

The four temporary exhibitions this year were as diverse and popular as ever, attracting over 40,000 people. These included the 'OPEN 2017' (artists from across the west midlands), 'Drawn from Life' (touring Arts Council Collection), 'Holt: The Benevolent Despot' (local history), and Stuart Whipp's 'The Lights of Leamington' (contemporary art).

The newly appointed Learning & Engagement Officer has dramatically increased the amount school trip to the Royal Pump Rooms, meaning that more young people than ever before are engaging with the Art Gallery and Museum.

The main art gallery was also re-hung in February – with an emphasis on making it as accessible and engaging as possible. Feedback so far has been extremely positive. The regular series of 'Friday Focus' talks has grown in popularity recently and now averages 60-70 people attending every Friday lunchtime.

Arts Development – the service continues to support a wide range of arts projects ranging from national arts organisations based in the district to local community arts groups. The service also provides professional support for these organisations and small scale financial support through the Arts Grants scheme.

Royal Spa Centre - the venue has enjoyed a successful year attracting over 100,000 visitors in 2017/18 and including one of the most financially successful pantomime seasons ever, with over 22,800 people attending and attracting some of the best feedback ever received. Income from the pantomime increased by £21,000 (13% increase on the previous year) for the 2017 show, a tremendous achievement and credit to the whole Spa Centre team.

Leisure Centres – The initial hurdle facing and Everyone Active (EA) was to ensure that the transition for handover of the Leisure facilities happened without interruption of service. The staff who TUPE'd over to EA experienced a significant amount of support and training to help them adjust to the new organisation.

EA attended many local events to publicise the exciting new activities at the Leisure centres. The EA offered Health and Fitness testing for WDC staff as part of the Health & Wellbeing project. EA has also introduced "on-line booking systems" and "apps" and are providing online information to members through the Aqua Passport and activity tracker schemes. EA have invested significantly in existing staff by providing valuable training across the whole team.

The client team are building a strong positive working relationship with EA, and have been impressed by their approach to supporting the authority in achieve the objective local communities to play sport and participate in physical activity. We look forward to the coming year, which will see the development works completed and allow EA to have fully functional facilities by which they will be able to build on their promising start.

Active communities - work continues across the district with support for local communities and sports clubs to encourage residents to participate in active lifestyles. Sports England released the results of the new Active Lives Survey which shows this district to be very "active" and by far the most active in the sub-region. 75% of the adult population are considered to be active (ie take part in over 150 mins of activity a week). This is a tremendous result and evidence of the wide range of opportunities available and the vibrant local club and voluntary sector.

Looking ahead and Strategic Plans

There are 2 key areas that will have a significant impact on the future shape of this service.

The Leisure Development Programme – Phase 1 is nearing completion with ST Nicholas Park Leisure Centre being completed in March 2018, and Newbold Comyn Leisure Centre in July 2018. Both sites

have experienced significant construction challenges and delays, but with the impending completion of the projects the Council and Everyone Active are delighted with the facilities that will very shortly be available for the local community. Attendances at the facilities in the Everyone Active contract are generally exceeding target and feedback from customers is very encouraging at this early stage of the contract.

Officers are now in the process of procuring professional services for Phase II (Kenilworth) with the intention of a further report to the Executive in summer 2018, and then the commencement of public consultation to inform the proposals for Phase II.

The second key area is the ongoing debate around the **future use of our assets**. The Royal Pump Rooms and Town Hall are challenging assets to maintain, and are therefore costly for the Council to retain. Decisions around their future use will have a significant impact on the delivery of our Arts and Heritage service, and to the role of the Town Hall. The decision to progress the new Council HQ has provided some clarity around the future civic demands on the Town Hall and work is progressing to consider alternative uses for this asset. The future of the Royal Pump Rooms is linked to decisions made on the Creative Quarter project.

The Leisure Development programme team has recently been expanded to include 2 fixed term project officers to support the Community Stadium and Commonwealth Games project, 2 complex projects which will have impact across the district in the coming 3 to 4 years. Updates will be reported to Members on these projects as they evolve.

Housing & Property Services Portfolio Holder

Update on the last 12 months for Overview & Scrutiny Committee

Preamble

Since the presentation of this report to Overview & Scrutiny Committee, work has continued across the work strands with substantial progress being made on Homelessness.

In preparation for the introduction of the Homeless Reduction Act, a new temporary structure has been agreed alongside the establishment of an additional three posts to undertake the additional work that has been identified as a consequence of implementing this legislation. A new IT system which is designed for the new operational environment is being trialled and a consultant has been engaged who is currently drafting new customer information and preparing training for partner agencies.

Our work on tackling rough sleeping has received a boost following a successful bid for a property at Coten End in Warwick. The former hostel will provide around 12 bed spaces to enable people requiring support, to acquire skills to enable them to live independently. The property is currently with solicitors who are taking forward conveyancing prior to refurbishment work starting.

This acquisition is part of a wider approach to tackle homelessness in Warwick and is potentially a game changer for WDC as to how it addresses homelessness and rough sleeping within the District and starts to open up some new options for the Council. We are in the process of reviewing our entire homelessness strategy in light of the Homelessness Reduction Act, both for what we support as a Council and in conjunction with the voluntary sector such as the Salvation Army, Pet-xi and the night shelters at Radford Road Methodist Church and the Leamington Winter Shelter.

Leamington Winter Shelter (LWS) is currently based in the Priors Club, the owners of which are seeking permissions for the future development of the site. In summer 2017 Warwick District Council's Executive agreed to plans for the former Italian Club in Packington Place to be offered to LWS to operate their night shelter facility. This was to ensure that the LWS service did not cease at the point when LWS would be asked to vacate the Priors Club. It is commonly known that the premises are in a poor condition and will need substantial work. LWS have themselves raised monies towards these costs. The Council has also been working toward this ambition and last month announced that budget provision has been made for 2018/19 to cover the costs of the refurbishment. Discussions are due to take place shortly with LWS to work up the project in detail and to determine the potential to configure the project to deliver a wider range of support to rough sleepers than just a bed for the night. This move is part of a wider approach to tackle homelessness in Warwick a matter which the Council takes very seriously.

We are collaborating with strategic partners including Warwickshire County Council who have recently announced another £300,000 over the next two years to assist in tackling rough sleeping and are in discussions which will determining the scope and nature of the work to be funded and the detail of how this can support the work of local agencies to help rough sleepers to move away from the streets.

Our work on developing a student housing strategy has also been given a boost with the news that the Local Government Association has approved a further £14,000 for the work. This will enable the consultant to spend more time in developing the strategy

Report received at Overview & Scrutiny

Notable achievements/successes

Since the last report the former Housing & Property Services team has been re-designed with a new Assets team moving into the Chief Executive's Office and the remaining teams forming a new service area, Housing Services.

We have appointed a new Head of Housing Services to manage this new service area and ensure that it focusses on the delivery of 'people based' services for council tenants, homeless and other households seeking housing, tenants of private sector landlords and gypsies and travellers.

The Assets team has been re-established as a service team delivering 'property-based' services across the whole Council to internal clients within a range of service areas including Housing Services.

Housing Services

Delivery of Affordable housing

We welcomed tenants moving into our new development at Sayer Court. These provide 76 modern apartments with communal gardens and community facilities. The development also includes 5 bungalows specifically designed to meet the needs of disabled people. We held a very successful opening event in January 2017, with the daughter of Malcolm Sayer, the designer of the E Type Jaguar leading the celebrations. Residents at Sayer Court recently enjoyed a well-attended wine and cheese event.

We reopened William Wallsgrove House following the supported housing provider pulling out. Our staff accepted the challenge, and now manage and provide support to 11 young residents who would otherwise would be homeless.

In the last financial year we saw 284 new affordable homes completed, with a further 182 completed in the first two quarters of 2017/18.

With our partners, we continue to deliver homes that are affordable. Through our joint venture with W2 we are now onsite at Station Approach in Leamington which will deliver 212 homes (160 affordable) and will include a new Council owned 100 space car park and an improved cycle-path to the station via the underpass off Avenue Road. W2 is also on site at the Print Works in Warwick delivering 39 affordable homes.

The proposal to regenerate the Lillington area and build 600 new homes has been put on hold following the Inspector's decision to not approve Red House Farm being taken out of the green belt. This was unfortunate as it would have provided an additional 278 homes in the area, of which a net 111 additional would have been affordable/social homes. It would also have provided an opportunity to fundamentally address housing and social issues in the District's most deprived area.

Over the summer we submitted a bid to the Local Government Association for assistance with the development of the Student Housing Strategy. We were successful in obtaining £14,000 worth of free-to-WDC consultancy support, to help with data gathering and analysis that will provide a firm basis for the development of the final strategy document.

Housing register, allocations and lettings

Following implementation of the Council's new allocations policy, the number of households waiting for a home on the housing register has reduced by over 1,000. Of this number, over 200 existing tenants were helped to obtain a move to a new home, thereby freeing up their existing property for occupation by an applicant from the waiting list. The new policy has seen the number of applicants in Band 1 (highest priority need) halved. Additional statistics are included in appendix one.

The team were delighted to receive a 'substantial level of assurance' rating from the lettings and void control audit.

Housing Advice & Homelessness

Following consultation with voluntary and community services, other partners and with elected members, a new Housing & Homelessness Strategy for Warwick District Council was approved at Full Council and went live from 1st April 2017. This important document will help to shape the work of the Council and its partners over the coming three years with an aim of tackling homelessness across the district.

Considerable savings have been achieved through the significant reduction in the use of bed and breakfast accommodation for homeless families. The alternative accommodation used provides more suitable temporary accommodation for homeless families whilst their situation is assessed.

Working with fellow local authorities across the county we submitted a successful bid to government, receiving £865,000 of government 'trailblazer' funding over three years to provide a countywide early prevention service for homelessness and contribute to its implementation. The project will test new, innovative approaches to preventing homelessness to help the government to build an evidence base on what works and understand the effects of these approaches in different areas.

In recognition of the additional health problems that can result for rough sleepers, the Executive in November reduced the trigger for the SWEP (Sever Weather Emergency Protocol) from three days to one day where temperatures reach zero or below, thus providing a more extensive service for rough sleepers and offering additional opportunities for agencies to intervene.

Financial Inclusion

Councillors and officers have been working together to review the work around financial inclusion. This has led to the formulation of a Financial Inclusion Action Plan. The plan sets out actions around six themes: access to Money Advice; responding to welfare benefit changes; promoting affordable credit; reducing fuel poverty; tackling worklessness; and working with partners.

Our two Money Advice caseworkers have generated income in the form of benefit entitlements for tenants and or savings from prevention of evictions of around £300,000. Since April their work has prevented seven evictions giving an estimated saving of around £17,500 (Average void cost is £2500 per property x 7 = £17,500).

Income management

In November 2016, the Executive approved a new Rent Arrears Policy.

We have set a performance target for rent arrears to be no greater than 2.8% of total rent due. Performance improved for the year ending March 17 with our target being met. This was an improvement from 3.17% the previous year, and a considerable achievement given that other organisations in our benchmarking group experienced on average an increase of 1.82 percentage points in rent arrears.

In early summer, performance slipped primarily due to staff sickness. However the team is now up to strength and performance is now ahead of where we were last year.

Approval to participate in the Rental Exchange was granted by the Executive in November 2016. Letters went out to all tenants in June 2017 with go live planned for January 2018. This scheme, run by Experian and the Big Issue, aims to improve the credit scoring of our tenants by sharing details of their rental payment history.

Improved credit scores can mean easier access to obtaining mainstream credit facilities and avoiding the very high cost borrowing that many tenants otherwise find is their only option. It also is a way of incentivising customers to keep their rent accounts in credit. The initial analysis suggested that over 71% of our tenants will benefit from being part of the scheme.

There was a 3% increase in the number of customers paying by direct debit, with a total of 32% now paying by this method. Paying by direct debit results in tenants having better budgeting and therefore control over their finances, as well as lower administration costs for the Council.

We received a 'substantial level of assurance' rating for the rent and income collection audit.

Tenancy Management

The work of the Tenancy Officers has been dominated by fire safety and this has formed a major part of the work of the team. The Grenfell Tower fire tragedy generated a high level of enquiries from the media, councillors and residents.

We have always had a robust and safety first approach to fire safety, but we have used the tragic events of Grenfell to fully reappraise our approach and identify any further ways to upgrade our approaches to fire safety in all of our high rise blocks. We have kept all residents of our high rise blocks fully informed through both general communication letters and specific communication regarding cladding, fire alarm upgrades, flat inspections and the use of sheds, for example.

The team have refocused their work and have completed visits to all 400 individual high rise flats, undertaking an inspection of the flats and following up where the need for action has been identified, such as if smoke alarms were not working effectively or repairs were required. The work also helped the team to identify vulnerable customers which enabled support to be offered, and specialised equipment to be ordered (e.g. visual alarms for those who are hard of hearing), or a move to more suitable accommodation to be instigated. The safety of the blocks has been improved from carrying out these checks and inspections.

We await the outcome of the Grenfell enquiry to help identify any other areas that could be improved.

Over the last 12 months (November 2016 to October 2017) there have been 478 lettings of HRA property. We ask new tenants for their feedback through a survey, approximately

two weeks after the moving-in date. The survey information provides assurance that relevant technical information is being provided as part of the letting process and tenants understand their rent payment obligations at the point of occupation. The analysis shows tenants were kept up-to-date about when the property would be available (96%) and were generally positive about the property they moved in to (85%).

Over the last 12 months, of the 137 new households who responded an average of 98% were satisfied with the overall experience and appreciated the opportunity to raise any issues they had experienced since moving in.

In March 2017, Council approved two new policy documents, the Domestic Violence Policy and the Anti-Social Behaviour Policy. These documents set out the approach of the Council and provide clarity for the public and staff.

The team continue to take action on anti-social behaviour, having a current live case load of 36 cases. Over the past year we have served seven "Notices Seeking Possession" (NSP) on tenants causing nuisance, with five tenants subsequently being evicted. We have also made use of the Anti-Social Behaviour, Crime and Policing Act 2014 powers with a Closure Order gained in June 2017 and possession using mandatory possession powers gained in April 2017.

New procedures have been put in place for carrying out reviews following the Executive decision to wind down the Housing Appeals and Reviews Panel (HARP), and they are working well.

Estate Management

Our Estate Management service has at its backbone, four Neighbourhood Officers who look after our 279 high and low rise apartments. The team have been instrumental in providing our 'on-the-ground' response to the Grenfell tragedy. Despite a member of staff leaving during the year with a gap to filling the post, staff have worked flexibly, adapting and adjusting to new priorities, increasing their focus on the high rise blocks and ensuring that a daily inspection of each our nine high rise blocks is undertaken. These regular inspections have meant that fire safety has been improved, repairs are ordered more quickly with other problems identified and actioned the same day.

We have established new procedures regarding inspection of the blocks and used new technology to record the inspection and its finding, providing an instant report to asset management and housing management staff of any matters requiring further action. We also revised our procedures concerning our response to the communal alarm ringing, providing training to staff and advice to all staff across the Council.

Our work has included updating the fire safety notices and general messages for residents and visitors that are displayed in our blocks.

The team have taken delivery of new liveried vans which promote the presence of Warwick District Council staff on the estates and at our high or low rise apartments.

Housing Support and Lifeline Services

Our Housing Support and Lifeline Services were subject to a full review during the year and a subsequent major restructure. The loss of £500,000 Supporting People funding from the County Council delivered a major blow and threatened the continued existence of our services. Whilst this has meant that we said goodbye to some staff, we are proud

to have protected our continued services, delivering important support to vulnerable and older residents.

Inevitably, there was a transition period whilst staff became familiar with new arrangements, different ways of working and completing their training. In the meantime we have kept residents updated, holding residents meetings at our five sheltered schemes in May and again in October to explain the changes and discuss how new arrangements are working in practice. The team have now settled in with the new team leaders now in post and the service working well.

Our Lifeline service now operates on a more commercial footing which has required some focus on marketing our Lifeline Services. We have undertaken a number of exciting publicity events and increased our marketing activity. Our new (electric) vehicles are now very clearly branded as Lifeline, and we have been active on social media as well as targeted marketing at key audiences.

Syrian refugees

Working with Warwickshire County Council who act as lead agency, and other partners, we have played our part to support vulnerable Syrian refugee families. The families are met at the airport by Warwickshire County Council staff and the Arabic speaking support workers. We meet the family when they arrive at the property with their support worker to welcome them and to ensure that the relevant tenancy documents are signed. The properties we use are owned and managed by private sector landlords. So far Warwick has welcomed four Syrian refugee families with a fifth arriving late November 2017.

Private sector housing

This year saw the introduction of the county-wide Home Environment Assessment and Response Team service (HEART) which went live on 1 April 2017. This service, involving the five Warwickshire District and Borough Councils and the County Council, provides specialist support for the delivery of home adaptations and related services.

Designed to speed up and improve the quality of services offered to people who need home adaptations, the introduction of a caseworker system, means that each customer has a single point of contact from the start to the finish of their adaptation work. At the end of September 2017 the time taken to carry out DFG work dropped to 117 days for Warwick District, compared with a pre HEART county wide average of 395 days.

The HEART service delivers a range of interventions, in addition to Disabled Facilities Grants to enable customers to remain independent in their homes.

A common Housing Financial Assistance Policy has been adopted across the county to enable applicants to be assessed in the same way.

In collaboration with Stratford-on-Avon District Council we have held two landlord forums in the last 12 months, bringing together 50 to 60 different stakeholders including private sector landlords, letting and property management agencies, and the National Landlords Association. These events enable the sharing of information and ideas and a place that landlords can find out about work elsewhere in the sector.

Topics have included: updates in legislation, awareness of property being used for criminal purposes, developing Houses of Multiple Occupancy legally, ARK passport (rent guarantee insurance offering tenants an online bank account which deducts the rent from incoming payments and holds it in a locked area until the payment is required. The

service includes a rent guarantee and legal costs insurance for landlords) and a talk from a representative of the Bank of England.

We will continue to vigorously pursue landlords who flagrantly breach housing regulations, whether related to HMO licensing, fire safety or overcrowding. This last year we have had two successful prosecutions.

The team were delighted to receive a 'substantial level of assurance' rating from the Private Sector Housing Regulation internal audit.

Gypsy and Travellers

Over the summer the District encountered a significant increase in the number of unauthorised encampments resulting in action through both the County and Magistrates courts. Over the course of the year, the team dealt with 20 incidents. This has led to increasing tensions and criticism from settled residential communities who seek effective responses from their local elected representatives.

In some instances it has led to criminal and anti-social behaviours from within and outside the encampment. Consequently the effects have impacted on local authorities, private landowners, the courts and the police in terms of resource, time and cost.

Liaising with the Police and Crime Commissioner Office we agreed a countywide Gypsy and Traveller protocol. This protocol is aimed at ensuring that the response to unauthorised encampments from local authorities, private landowners, the police and other salient agencies is cohesive, consistent, efficient and effective. It seeks to provide a set of shared principles and processes with clearly identified lead.

We have also decided to strengthen those open spaces owned by WDC to prevent unauthorised encampments in the first place. Much of the work has already been completed, with only the more complex projects remaining to be finished by the end of 2017/18.

Tenant engagement

Engagement work has continued with a number of local environmental projects completed following tenant consultation. These have provided new planting, seating and fencing, and "skip days" to help tidy up areas where tenants have requested it. The Annual Report to Tenants has recently been completed and will be circulated in the next couple of weeks to all tenants and councillors. Handbooks for tenants and for leaseholders are being reviewed at present and a new Tenant Engagement Strategy is being formulated to be taken forward and finalised in the coming months.

An independent satisfaction survey found that 82% of tenants were satisfied with the service provided by Warwick District Council.

Assets Team

Stock Condition Survey

A full survey has been completed for all the major building elements of every single HRA home. In addition a survey of the external building fabric of the Council's seven multi-storey blocks has been completed and additional surveys of the building fabric of those homes constructed on non-traditional materials. The analysis of this work is being fed

into the Housing Investment Programme for 2018/19 and the next HRA Business Plan review, papers on which will come to the Executive before year end.

Response to the Grenfell Tower disaster

In addition to the housing management response set out above the Asset team has undertaken significant work in respect of the seven multi-storey blocks and the two six-storey blocks that fall within the Warwickshire Fire & Rescue Service (WFRS) definition of a high-rise block.

Joint inspections of the communal areas of each block were undertaken with WFRS and a programme of initial repair work and additional safety measures implemented and completed, including the fitting of 'drench' systems to bin stores linked to the fire detection systems.

A major refurbishment programme for the communal parts of each block is now being designed and a specialist contractor has been appointed to undertake the work which will include, replacement of every door within or leading onto a communal area with a FD60S, smoke sealed fire door offering a minimum 60 minutes fire protection, re-wiring of the communal areas and redecoration.

In addition work has started to –

> Upgrade fire alarm systems so they can be connected to automatic monitoring systems and have the capability to be linked to heat detectors within individual flats

> Fit automatic opening vents, linked to the fire alarm system, to ensure smoke is dispersed from communal stairwells in the event of a fire and

> Investigate the feasibility of various fire suppression systems.

The visits to each individual flat within the blocks were conducted jointly between Housing Services and the Assets team and in addition to the management information collected, repairs and future maintenance issues were identified and information collected to enable flashing beacons and pillow sensors to be fitted for tenants hard of hearing who would otherwise not necessarily hear the fire alarm.

Procurement of Responsive Repair Contracts

A major task for the team has been designing and specifying the re-procurement of the main contract for responsive repairs and void properties within the HRA stock which is now out to tender. We will be appointing the new contractor in the first week of January allowing them to mobilise for a contract start date of 1 April 2018.

Support for corporate projects

The Assets team has continued to play a major part in the delivery of major corporate projects supplying technical expertise and support to a range of projects including the refurbishment of the Newbold Comyn and St. Nicholas Leisure Centres, feasibility work on the Myton Fields car park and Whitnash community hub and aspects of the Pump Room Gardens and St. Mary's Lands projects.

What is planned in the coming 12 months?

<u>Housing Services</u>

We will implement the new requirements brought about by the Homeless Reduction Act 2017, ensuring that our staff have the skills and support to make a smooth transition to the new arrangements and ensuring that our Homeless Strategy is revised accordingly.

Our review of the allocations scheme will be completed and brought back to the Executive and Council for approval.

Our work on improving fire safety will continue with the Housing and Assets team working closing to deliver the communal area refurbishment programme for the nine high rise blocks. We will be engaging with residents in respect of the improvements and to ensure that the requirements of individual residents are catered for as well as giving residents a say in the final colour scheme.

The delivery of affordable housing will continue to be a key priority. Plans for Europa Way continue to progress and whilst it is a longer term project between WDC and Waterloo we are expecting to be able to add approaching 400 affordable and social housing on the site.

We continue to look for opportunities to purchase small parcels of houses, and also for development land within the District.

Our new Head of Housing, Lisa Barker, has as a key part of her brief to consider whether delivery could be accelerated and extended including a full review of our options to increase the HRA stock (notwithstanding that we are still awaiting clarity from the Government on the future of the High Value Void Levy).

Implementation of Financial Inclusion Plan including actions to support residents on the transition to the full roll out of Universal Credit, which is scheduled for mid 2018 for Warwick District.

Implementation of the Rental Exchange project.

Continuing our work to ensure that our Lifeline services are developed, we will further rollout our Lifeline marketing plan

Review the possible restructuring of teams to deliver better management of teams and management of contracts for grounds maintenance and cleaning

Complete the Student Housing Strategy.

We will consider and put in place policies to accommodate new legislation in the Housing and Planning Act, as the detailed regulations and implemented dates are confirmed, starting with a report to the Executive on Civil Penalties.

We are still awaiting regulation concerning the implementation of fixed term tenancies. We will use this opportunity to update our tenancy agreements, updating and making the document more relevant to our tenancy management.

We will be preparing for the extension of HMO licensing expected to start in April 2018 and we will commission a new private sector stock condition survey.

Reviewing how we will engage with our tenants, whether via the Housing Advisory Group or by other means.

Assets Team

Consultation will be undertaken on a major re-design of the Assets Team with an aim of bringing a revised staffing structure tailored to suit the needs of our internal and external customers by March 2018 Employment Committee.

The mobilisation and implementation of the new responsive and void repairs contract will be a major challenge for the team in the next six months.

The continued learnings from the Stock Condition Survey will form a major part of the team's work, providing informative information into the investment requirement for our HRA stock.

Other development work will include the strategy and proposals for validating and maintaining updated stock condition data.

We will be developing and updating our Asset Management Strategy in relation to our HRA stock and Corporate assets.

Any areas you believe that the Overview and Scrutiny Committee might usefully examine/scrutinise to help.

To provide examination of the Council's approach to the Homeless Reduction Act

To assist with a review of the Homelessness Strategy in light of the Homeless Reduction Act

To assist with a review of the allocations policy once the revised policy has undergone a period of operation

The extension of private sector HMO licencing, for which we are awaiting further information from the Government and implementation of new practices

The emerging Student Housing Strategy

Appendix one – Allocations policy statistics

A) Composition of the housing register

Prior to implementation of the new system, in April 2016 the make-up of the housing register, by band and number of bedrooms needed, was as shown in the following table.

Table 1 - Housing register analysis as at April 2016						
Band	**1 Bed**	**2 Bed**	**3 Bed**	**4 Bed**	**5 Bed+**	**TOTAL**
1	19	6	3	0	0	28
2	134	37	85	20	5	281
3	972	287	73	16	3	1351
4	1087	571	148	15	4	1825
Young Person	3	0	0	0	0	3
Unbanded	6	0	2	0	0	8
TOTAL	**2221**	**901**	**311**	**51**	**12**	**3496**

The introduction of the changes means that the current register is different because of the transfer band. However, within that context, the following table shows the analysis of the register as at 3rd November 2017.

Table 2 – Housing register analysis as at November 2017						
Band	**1 Bed**	**2 Bed**	**3 Bed**	**4 Bed**	**5 Bed+**	**Total**
Band 1	10	3	0	0	1	14
Band 2	104	75	62	24	16	281
Band 3	614	112	22	5	1	754
Band 4	465	269	68	7	1	810
Young person	0	0	0	0	0	0
Transfer	363	203	28	2	1	597
Total	**1556**	**662**	**180**	**38**	**20**	**2456**

B) Allocations under the new scheme

The approval for the new allocations scheme allowed up to 100% of available properties to be available to transfer tenants and then to become available for Bands 1 to 4. As an initial trial we have been advertising 50% of available properties for transfer applicants to bid on while the other 50% are advertised for applicants in bands one to four.

As regards properties advertised for a numbered band, they are advertised with a preference for a particular band as follows: 50% for band one; 30% for band two and 20% for band three. The two exceptions to this are those properties where the age of the applicant is restricted (invariably this will be properties for people who are over 55 years of age) and properties where the rural local lettings policy applies.

For the 538 properties advertised in the normal way the following table show in percentage terms which bands properties have been advertised for and which bands properties were actually allocated to during the first twelve months of the scheme.

Table 3 – Advertisements and allocations by band (General needs)		
Band	**Proportion advertised (%)**	**Proportion allocated (%)**
One	25.5	30.5
Two	15	31.5
Three	6.5	14.5
Four	0	1.5
Transfer	53	22
TOTAL	**100**	**100**

* All figures rounded to the nearest 0.5%.

There were 234 age-designated properties allocated during the year. Exactly 50% were advertised to the transfer band and 32% of allocations went to the transfer band.

Of 39 properties advertised under the rural local lettings policy seven were allocated to a transfer case.

Overall 811 properties were allocated during the twelve month period of which 403 were advertised to the transfer band, resulting in 201 allocations to transfer applicants. The breakdown by band of all allocations completed was as follows.

Table 4 –Allocations by band (all properties)		
Band	**Number**	**Percentage**
One	171	21
Two	218	27
Three	150	18.5
Four	71	8.5
Transfer	201	25
TOTAL	**811**	**100**

These can also be analysed by the types of property that have been available as follows.

Table 5 – Allocations by band and bedroom type (all properties)						
Band	**Bedsit**	**One bed**	**Two bed**	**Three bed**	**Four bed**	**TOTAL**
One	2	54	78	34	3	171
Two	3	53	92	61	9	218
Three	2	76	56	15	1	150
Four	0	37	28	5	1	71
Transfer	2	90	82	26	1	201
TOTAL	**9**	**310**	**336**	**141**	**15**	**811**

HEALTH & COMMUNITY PROTECTION

PORTFOLIO HOLDER STATEMENT

END OF YEAR REVIEW 2017-18

Performance

1. <u>What do the Customer and Operational Measures in the Service Plan tell you about the performance of the service during 2017/18?</u>

- **Percentage of service requestd received responded to within target time**

  (Chart showing 16-17 and 17-18 lines across Qtr 1 to Qtr 4, vertical axis 75 to 85)

  Percentage of service requests received completed within target time

  (Chart showing 16-17 and 17-18 lines across Qtr 1 to Qtr 4, vertical axis 64 to 89)
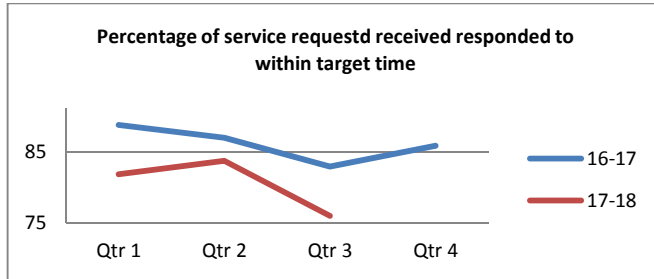
Customer service remains strong in the response to service requests received despite the decrease in performance measures in quarter three below our performance target of by 4% and 2.5% respectively.

Resolution of service requests to date in 2017-18, is taking longer than in 2016-17, as there have been a number of complex cases investigated this year. This is in addition to the continuing increased workload as statutory consultees on planning applications and staff vacancies.

- **Average time taken to resolve noise nuisance service requests**

  (Chart with vertical axis "No. of days" 30 to 50, lines 16-17 and 17-18 across Qtr 1 to Qtr 4)

  Average time taken to resolve pest control, dog warden and other nusiance (excl. noise) service requests

  (Chart with vertical axis "No. of Days" 10 to 25, lines 16-17 and 17-18 across Qtr 1 to Qtr 4)
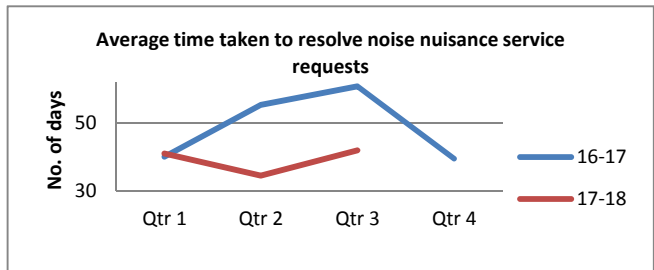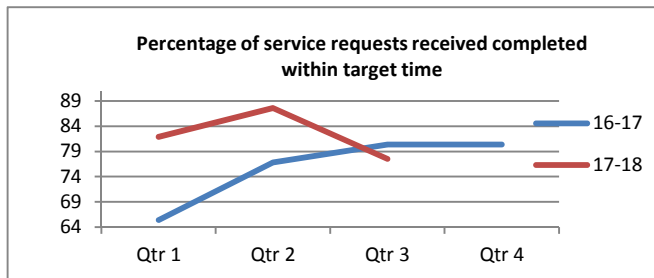
In 2016-17 officers conducted historical database cleansing exercises which affected the results.

The work load associated with planning applications and staff vacancies has had a direct impact on the resolution of noise complaints and other nuisance works.

- **Percentage of planning consultations responded to within target time.**

  (Chart with vertical axis 75 to 90, line across Qtr 1 to Qtr 4)
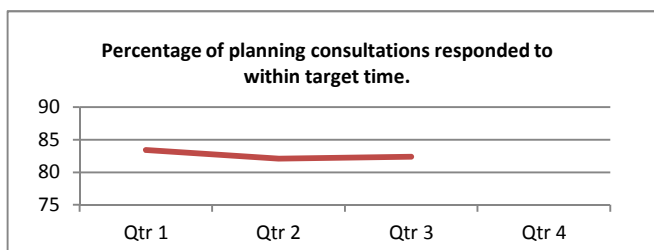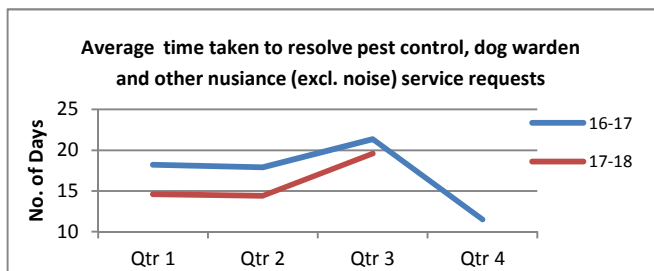
The performance measure was altered from the previous year and therefore is not directly comparable. The service area has been reviewing the procedures for responding to these consultations in light of the increasing number of requests being received.

Officers have maintained the response levels

required to ensure that planning applications are responded to. However, this has impacted upon other service measures.

The percentage of food businesses which are classed as 'broadly compliant' (scoring 3, 4 or 5 food hygiene rating) and those who score a 5 on the Food Hygiene Rating Scheme remains high at over 90%.

-

Percentage of food businesses which are classed as broadly compliant

Legend: 16-17, 17-18, National Average 17/18

Percentage of food businesses with a 5 Food Hygiene Rating

Legend: 16-17, 17-18, National Average 17/18

-

Percentage of monitoring sites exceeding national air quality standards
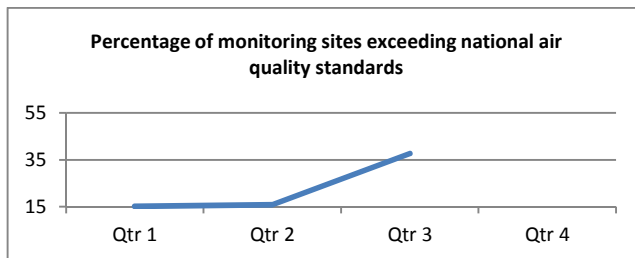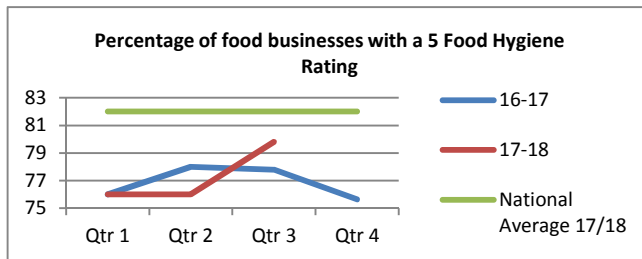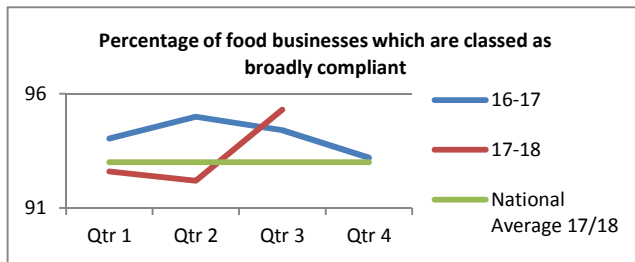
Please note that the data is unverified. The data is verified nationally at the end of the financial year.

HCP changed the performance measure to give a more accurate representation of the air quality picture, in terms of nitrogen dioxide monitoring. As a result the 2017/18 results cannot be compared with those of 2016/17.

As is usually observed in the third quarter of the year there has been an increase in monitoring sites exceeding NO2 monitoring levels.

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Number of Violent crimes across the district

Legend: 16-17 V, 17-18 V, 16-17 VWI, 17-18 VWI
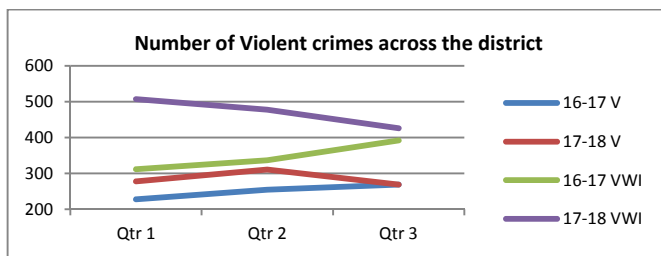
Warwick District has seen increases in the recorded data across all crime types, with the exception of criminal damage. These increases are ones that are being seen across the county, and reflect the new recording arrangements which capture more crime reporting. We monitor Violence (V) and Violence without injury (VWI) statistics. It is important to note that in 2017 VWI category was adjusted to include malicious communications, including on social media.

We remain confident that actual violence levels have not risen.

We had hoped that levels would begin to fall after the baseline year had ended but levels continue to rise as Police work towards a 95% compliance against the new recording standard.

- **Total no. of ASB incidents**
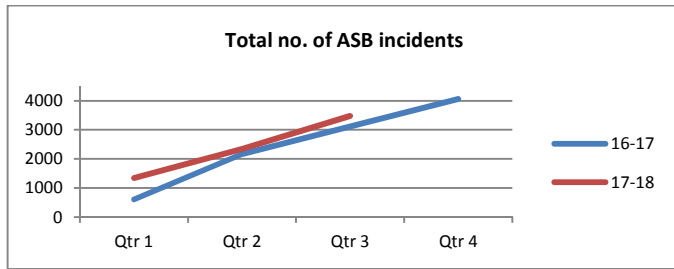
ASB incidents are up 11.6% within the district. However, our measures of success at first intervention and in reducing the risk of harm are both at 97 %, which is well above our target of 80%.

- **Total no. of CCTV observed incidents**
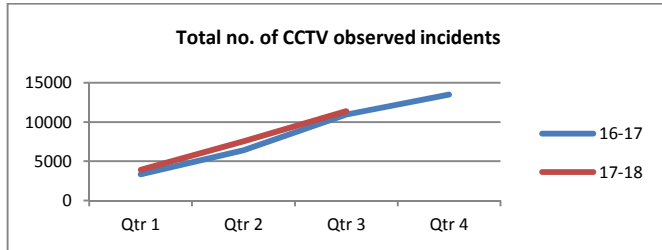
The number of observed incidents by CCTV is increasing in accordance with the performance measure.

A number of these observations have led to individuals getting support for welfare concerns.

- **Total no. of arrests from CCTV observed incidents**
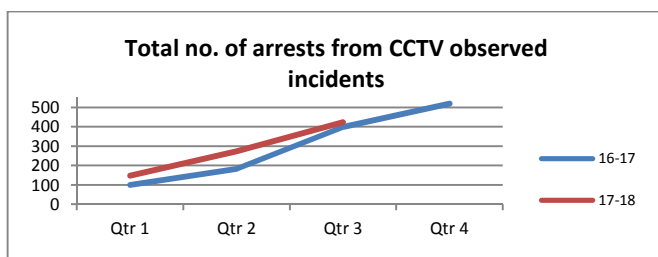
Whilst not under the control of the CCTV service, this measure demonstrates an increase in the level of successful arrests made which were initiated following the observation of an incident by CCTV.

The number of arrests from the quality of evidence being provided by CCTV is increasing and officers were recently complimented by the judge in a drink driver case for the quality of evidence provided.

- **Percentage of Hackney Carriage Private Hire Fleet passing Fleet inspection**
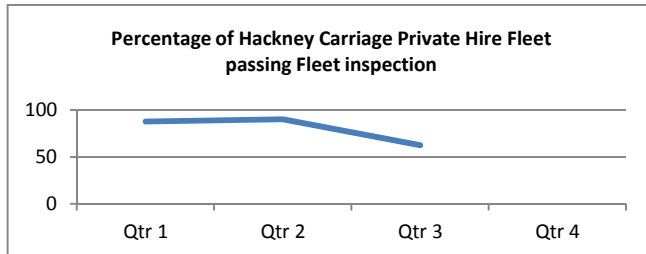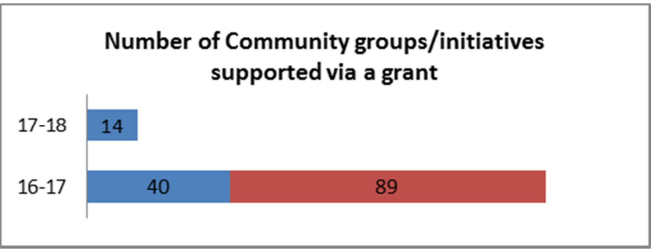
The performance measure for passing fleet inspection was changed in 2017/18, and therefore is not comparable to 2016/17.

However, when the scheme started in Qtr. 3 of 2014/15, only 60% of the fleet passed the fleet inspection. In quarter three of 2017/18 there has been a decrease in vehicles passing a fleet inspection. However, the vehicles were called for inspection as we became aware of their poor levels of compliance.

- **Percentage of premise compliant with licence conditions at compliance visit**
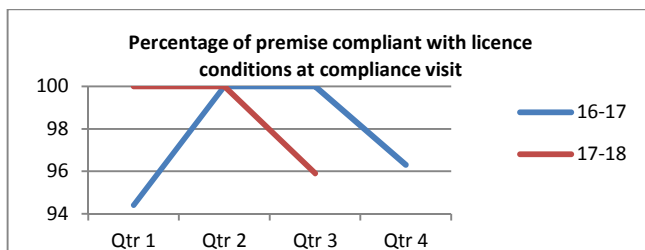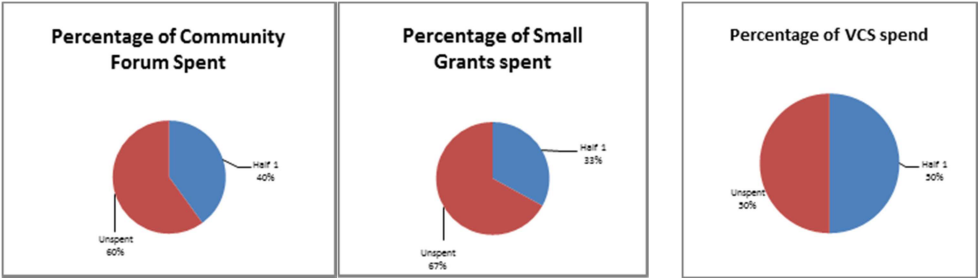
There remains a high level of compliance within the district to licence conditions.

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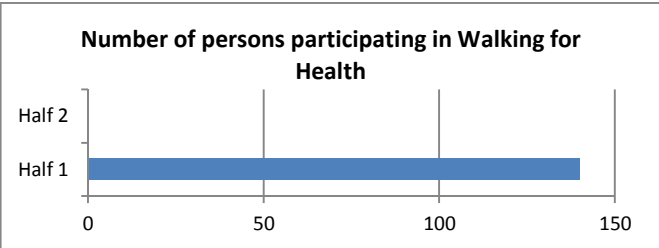
  The performance measure is recorded in half years, in line with community forum arrangements. There is a reduction in the number of community groups supported in the first half of 17/18. We expect to see a greater number supported in the second half of the year in accordance with previous trends.

  The second half of the year figure is unavailable at the time of writing.

-

  These measures are reported in half years. The blue sections show the percentage spent and red unspent.

  The second half of the year's figure is unavailable at the time of writing.

-

  This is a new performance measure for 2017/18. This demonstrates the council's involvement in the programme which promotes physical activity for mental health benefits and physical benefits. The measure reports in half years and therefore the second half of the year figure is unavailable.

- We also have a performance measure which monitors the training of persons as Dementia Friends. However, a free online training package has been launched which has superseded the need for site based training. That said, through the Disability Awareness training programme (which is part of Private Hire Hackney Carriage Drivers licences), 25 applicants have been trained Dementia Friends since 1st April 2017.

2. What actions do you intend to take based on the measures?

- Officers have been conducting an exercise to evaluate the potential change in workloads due to the impact of the growth of the district, and the increasing demand being placed upon the service of commenting on planning applications. This aspect has led to a new approach to planning application handling and a bid for a proportion of the increased planning fees spend in order to increase capacity of the team by 1FTE *(to be reported to March Employment Committees)*
- The service requests response and conclusion time dropped below the target performance level by 4% and 2.5% respectively. The vacancies being carried in the team have been filled in Q4 and therefore a difference should be identifiable in the Q4 figures. This will be further assisted by the business case above.

- To maintain our service delivery, and high levels of food safety assurance, we continue to look for opportunities to use new technology. We have launched 'Total mobile' for use in food safety inspections, which currently allows some paperwork to be conducted digitally on site, and we are continuing to look at enabling service delivery by electronic means, particularly in relation to licensing.
- The Council is making progress towards improving air quality within the district, against the actions which are within the Council's control, and continues to work in partnership with Air Quality Alliance in Warwickshire to deliver those which are not.
- We will be continuing to promote the good work of the CCTV service, and looking at opportunities where we can provide the service for others.
- Following the annual South Warwickshire Community Safety Partnership Strategic Assessment of the crime and disorder figures for the area. A change in approach has been suggested to the priorities identified for the south Warwickshire area.

3. <u>Highlight any significant changes to the risks in your Service Plan and any actions that you intend to take to address the revised risks.</u>

- Workforce planning has been one of the main challenges for the service. The increased workload on the service is having a demonstrable impact, and with the new large scale housing developments, proposed commercial developments and HS2 this will only increase if not addressed. The Service has implemented a new structure which has improved the resilience, succession planning and service delivery. We continue to monitor and assess the growth of the district in order to project demand impacts.
- We are seeking to create a further post within the service to accommodate this growing area of work. It is anticipated that this will be funded through the proposed government increase in planning fees.
- Crime is changing and we still do not fully understand the changes. Recorded crime levels have continued to rise, and there has been a subsequent fall in public confidence, although victim satisfaction has increased. We are working with the police to determine the causes so that we can ensure that the correct measures are put in place to address them. We recognise that that Police have fewer human resources, and this, it could be suggested, correlates with crime statistics.
- The priority areas for the South Warwickshire Community Safety partnership have been assessed and refocus for the year ahead to address the rise those new priority and trigger factors.

Workforce Planning

4. <u>Highlight any significant changes to your Workforce Planning and any actions that you intend to take to address the revised plan.</u>

- The Service is currently carrying two vacancies. One of these is under active recruitment.
- We have implemented mitigation measures to fill the gap as the Service Team Leader post has proved hard to fill.
- We will continue to review procedures and processes to ensure that they are efficient and effective, making the best use of the available staff resources.

- We have been undertaking workforce planning activities as part of the workforce planning steering group to ensure that we have a robust plan in place to meet the future challenges.

Budget

5. Highlight any significant changes to the budget pressures highlighted in the Service Plan and any actions required to address these changes.

- Budget pressures continue to be kept under review. Savings in discretionary budgets have been agreed for the 2017/18 financial year.
- Due to the number of vacancies that have been experienced within the service, within the first half of the year there has been an unanticipated salary savings made.
- The Community Partnership Team has reviewed how the voluntary and community sector budget is spent in order to deliver the required £50,000 savings in 2018-19, whilst continuing to support the community efficiently and effectively.
- There has been an increase in legal activities in which the service is participating this year, including a Fatal Accident which the service has been responsible for investigating, and a number of committee decisions and notices which have been appealed. The appealed committee decisions and notices have not been upheld, and therefore council has been awarded contributions towards our costs.

Planned changes, work streams and projects

6. Highlight any work streams/projects that have been completed at this point in the year

- The Council achieved, for the second time, Purple Flag for Royal Leamington Spa in September 2017, demonstrating the safety and vibrancy of the night time economy in the town centre. The recommendations for further improvements made by the assessors are being reviewed with an aim to deliver them.
- The Council achieved the Workplace Wellbeing Charter in 2016. In order to demonstrate the Council's commitment to staff wellbeing the objectives of the scheme have been included in the Council's People Strategy.
- Officers reviewed the delivery of the health and wellbeing arrangements by the authority, in order to improve how effective the council can be in this area. Officers have been delivering the actions identified.
- Officers have also reviewed the delivery of sustainability arrangements by the authority, in order to improve how effective the council can be in this area. Officers have been delivering the actions identified.
- The Health & Safety Coordinator continued to delivering Institute of Occupational Safety and Health Managing Safely and Working Safety training to managers and staff, to ensure our compliance with health & safety obligations as an employer.
- We have reviewed the Council's approach to sustainability this year, which has included the formation of an officer steering group to help the delivery of the revised approach.
- The Health and Safety Team has investigated a fatal workplace accident. This was a very resource intensive investigation which was managed so that the impact

upon the delivery of the planned Health and Safety and Food Safety programmes was minimised.

- The digital field solution, which HCP has been developing for two years, has been launched, allowing officers to complete more of the back office administration functions in the field. We will be continuing to develop this solution to allow more of the officers work to be completed in the field.
- With the increase in planning applications and planning related activities, officers have been reviewing the way in which they deliver their duties to ensure that it makes best use of officer skills and resources, in addition to operating in an efficient and effective manner. This is an important work programme as there is a further predicted significant workload associated with HS2 and the forthcoming large developments in the district.
- HCP has been undertaking forecasting exercises to ensure that the service is positioned correctly for the future demands, and to take advantage of future opportunities.
- We have completed a review of the service business continuity arrangements.
- The Licensing Team have worked with stakeholders to implement changes to our policies and procedures, as required by the commencement of sections 165 and 167 of the Equality Act 2010 in April of this year.
- The review of VCS spending was completed and the required savings identified.

7. <u>Highlight any significant changes or new work streams/projects expected during the year.</u>

- We tendered for, and appointed, a company to conduct the second stage of the feasibility study into district heating network systems, in two identified areas. This study will seek understand and identify what technology/equipment would be needed to deliver in the identified areas, and provide economic data to allow assessment of the options put forward.
- HCP is committed to enabling customers to access our services through digital mediums, and therefore will be continuing with the programme of digital developments.
- The service has been working across the council to help improve lone working procedures for the whole council.
- The Commissioned Voluntary Sector Contracts continue to be delivered successfully, and are on target to be re-procured for July 2018.
- We are in the process of reviewing the Council's Major Emergency Plan and the associated standard operating procedures. As part of this work programme we will be delivering various training activities to persons both named in the plan, and councillors.
- The Corporate Health and Safety Co-ordinator has been supporting colleagues in Housing to deliver the actions implemented as a result of the Grenfell Tower Incident.

March 2018

Business Portfolio Annual Performance Report

1   Introduction

The Business Portfolio covers a range of services which aim to support and grow the local economy by supporting local businesses, developing policies for economic development, delivering projects and working in partnership with business and other agencies. The work of the Portfolio is supported by staff predominantly based within Development Services. It is one of two portfolios (the other being the Development portfolio) that link directly with Development Services. Specifically, the Portfolio covers the following services:

o   Provision of enterprise centres such as Althorpe Street Enterprise Hub and 26 Hamilton Terrace
o   Economic development and business growth including inward investment, tourism and sector support (e.g. digital games sector)
o   Business support including liaising with chambers of trade, the BID, town centre businesses and developing approaches to improve town centres as places to do business
o   Events management, ensuring a rich range of events is staged across the district and the economic benefits of these are maximised.

2   Service Plan Performance

A   Business Growth and Inward Investment:

The Fit for the Future plan identifies 'Infrastructure, Enterprise and Employment' as a priority. While this covers a number of aspects and aims, the overarching ambition is ensuring the District has an economically vibrant and creative business community. Furthering this ambition is the cornerstone of the work undertaken by Economic Development which, as mentioned above, covers the business growth and inward investment functions.

These functions are used to support a range of different sectors: our vibrant town centres, tourism, manufacturing and technology to name but a few. Support is offered in a multitude of ways dependent upon what the specific needs are of the individual organisation/sector. These include supporting job creation and giving business support, ensuring that land is available to encourage inward investment, leading on regeneration projects, providing events and supporting our commercial sector, in particular the town centres. We have teams that work across all these elements, delivering major projects, inward investment and economic growth. Examples of the work are explained later in this document.

Looking first at the business growth function, considerable work has been undertaken in this area to drive sustainable growth in the District. The Economic Development (ED) team provide individual business growth support to

organisations as and when requested. This type of intervention may also be provided in conjunction with the Business Support and Events team so that they are able to provide the right support for the organisation. ED also works proactively with a range of local businesses to provide the space and impetus for growth. For example, Tech Central* (which focusses on our creative digital industries) hosts a series of events throughout the year. With these, we bring together local businesses with an aim of:

- showcasing innovation (to inspire others)
- introducing those who wouldn't ordinarily be in the same space together (to drive new conversations and collaborations)
- establishing the local area as a notable cluster (on both a regional and national level)

In order to support local industry more generally, the ED team took a key role in driving participation in the Coventry & Warwickshire Business Festival. Through this, the District was able to highlight the level of talent and expertise our companies have and create interesting conversations that are still continuing to help explore new possibilities. As a result of the work of the team in hosting, facilitating and also encouraging third party events, Warwick District had the largest volume of events taking place outside of Coventry.

Equally, through Silicon Spa*, the team collaborate with the local development studios to understand what is holding them back from growing as they have planned to and then working with them to identify the solutions. The strength of the strong partnership that has been established shows through to the depth of understanding both sides have on what is needed to grow the sector and how it can best be achieved.

An example of the success of this approach can be seen in the rapid and significant growth shown by Playground Games, a local games development company. Their success in securing a new project with Microsoft for a game called 'Fable' sees them taking a second, significant premises within Royal Leamington Spa town centre and a doubling of their workforce.

Alongside the growth shown by Playground Games, the team have been delighted to support and welcome the rapid expansion plans of local Electric Vehicle manufacturer, Detroit Electric, in increasing their workforce.

Another key focus within the District is driving the continued success of the retail sector. The team strives to promote this growth through monitoring the health of our High Streets whether that be the vacant units (and working to fill them or keep them in good condition) or the composition of the premises to ensure that vibrant and vital High Streets are maintained. The close working relationship with BID Leamington helps to contribute to this success which culminated in Royal Leamington Spa being named as the second most vital town in the West Midlands and being ranked as 28th in the Digital Influence Index*.

As a consequence of this work with businesses, the Council has received recognition from the FSB in their Small Business Friendly Awards. Through the Better Business for All initiatives which was led by other colleagues within WDC, the Council won awards for "Best Small Business Friendly Procurement Policy" and "Best Small Business Friendly Regulation Policy".

The last year has also seen further development of our employment land to support this growth with some notable new developments, such as the speculative space for distribution uses, (Carbon 207 and Carbon 103), at Middlemarch Business Park. There is also further development taking place at Tournament Fields in Warwick which is coming through now.

Turning now to Inward Investment, collaborative work between our Strategic Economic Development Officer (SEDO) and colleagues at the Growth Hub* and Warwickshire County Council has been ongoing. There have been a number of successes in encouraging organisations to relocate or expand their operation into the District. Notable examples of this include Vitsoe, Oliver Bonas, the Tata European Headquarters and new satellite games development studios from Lockwood and Rebellion.

The SEDO also works to develop the District as a key tourist location with the UK. Working alongside Shakespeare's England (the South Warwickshire Destination Management Organisation), they collectively seek to drive up visitor numbers and, in particular, visitor numbers for overnight trips. Activity within this area over the past year has seen new product development through The "Explorer Pass"* and the "Stay, Play, Explore"* initiatives.

Alongside this, a new website was launched to improve the member experience and improve take-up from new members. In addition to the work with the Destination Management Organisation, the SEDO also takes a lead role in furthering the priorities identified within the Destination Management Plan. This plan is a shared statement of intent on how to improve the offer to our visitors and therefore increase the profile for the local area.

The Coventry and Warwickshire Chamber of Commerce have been contracted to provide a business support service to deliver the European Regional Development Fund (ERDF) Programme. This is a three year programme that started in September 2016 to provide direct and practical support to businesses, focusing on Start-Ups. In addition the Council links with other business support provision such as Creative Warwickshire* and the Business Ready Programme* which are aimed at established businesses that are ready to grow).

During the year, a monthly economic update bulletin has been produced for Council staff and members and has been well received. This provides the latest news from across the district relating to business and economic development. The bulletin seeks to ensure staff and members are kept well informed about what is happening within the District.

B   Enterprise:

The Enterprise section (Enterprise) continues to provide a valuable service supporting Warwick District businesses both those in their early stages of development and those with plans for growth. The various Enterprise projects in Leamington (Althorpe Enterprise Hub, Court Street Arches, 26 Hamilton Terrace and Spencer Yard) offer a range of commercial space, either generic or sector specific and are very rarely vacant. This is considered a vital service to assist in business growth in our towns. Whilst this is successful, there is substantial opportunity and desire to look at expanding this portfolio into Warwick and Kenilworth.

The service is currently self-sustaining and is able to produce a small surplus to reinvest back into business support projects.

In 2017/18 to date, Enterprise has supported 102 businesses, whether directly linked to services or through other engagement or initiatives, such as the Business Support Programme, which provides mentoring and workshops for those with aspirations to start a business.

It is recognised that the team have skills that can be used to widen the opportunities to support businesses and increase income for the Council.   With this in mind preparations have been made to trial and promote an alternative delivery model for the service with new services being introduced during 2018/19. The potential market for providing additional support for firms as they continue to grow from incubation into successful businesses, has been looked at very closely with the objective that we retain them in the District.

Enterprise is also looking at opportunities for increasing the number of business units it manages, not only using our own buildings but also managing space for other businesses that may have part of their premises vacant and are looking at renting out that space. In August 2017 a recommendation to Executive was successful, enabling all Enterprise project budgets to be ring fenced which will enable Enterprise to commence trialling the concept. It is anticipated that once there are two years figures available Enterprise can explore developing a Trading Arm of the Council which will enable it to be more commercial.

C   Events:

Once again, the past year a rich variety of events have taken place across the District. Not only have we been host to some incredible annual events (Warwick Folk Festival, Bowls National Championships and Kenilworth Carnival, to name but a few), but we also had the privilege of being the finish for Stage 3 of 2017 OVO Energy Women's Tour.

On that day we welcomed over 20,000 people to Leamington Spa (the organisers say it was the busiest finish line outside of London in their history). Following similar patterns of other hosts, the economic benefits of hosting a finish line aren't just seen on the day of the event, but also in the months and

years following it. An independent economic impact assessment of the event showed that in Leamington Spa, the net visitor expenditure for that day alone, was over £300,000. Building on this success, we have bid to host stage finishes for both the ladies and men's tours in 2018.

Once again we had successful Christmas events in Warwick, Leamington Spa and Kenilworth. Touch FM once again provided stellar line ups to attract and engage large crowds to all three of the events. We also altered the layout of the Kenilworth, Warwick Road event to highlight and showcase the new lights that had been purchased. Whitnash Town Council organised their switch-on event with "…more attendees than ever before." This goes to show how well supported and valuable these community events are in Warwick District.

Across the whole year, the variety of events has been amazing and has included sporting events (such as 10k runs), community events (fun days and carnivals); arts and cultural events (Warwick Folk Festival and Art in the Park); events to celebrate and support local business (food festivals and the Smith Street Party), and as mentioned above the ever popular and vibrant Christmas Lights switch-on events in the four towns.

A major review of events has taken place during the past year. This has identified a number of key issues in the way we currently support events including costs, consistency and risk management. An action plan from this review was agreed by Executive in February 2018. This sets out proposals for a number of significant improvements to events including:

a) Ending charges for use of WDC parks for events
b) Developing an events manual that the team and events organisers can use to improve consistency and to assist with the smooth running of events
c) Improvement in measuring the impact of events
d) Developing a strategy for events to provide more clarity about which events the Council will directly support.

Last year it was highlighted that all the members of the Events team were new to the role so it was pleasing that a key finding of the events review was that the new team have established a reputation of providing helpful and efficient support and advice for events organisers. This has ensured that range and popularity of events is a strong as ever at the same time as ensuring the safety of our visitors is at the foremost of our event preparation.

D   Projects:

- **Europa Way:**

    Following completion of an initial feasibility study, Council agreed in April 2017 to proceed with the purchase of land at Europa Way to include the development of a new community stadium. Detailed negotiations on this purchase are still underway and an update report was brought before the

Executive in November. It is hoped to conclude the purchase of the land in March 2018.

- **Regeneration at Leamington Railway Station:**

Following many years of work on the part of the Council and our partners, development of this site for 212 new homes, 75% of which will be affordable, commenced in September 2016. Phase one, which will include the land around the station underpass, is scheduled for completion in May 2018. In 2017, a new Stagecoach Bus Depot on land off the Tachbrook Road was opened, allowing the demolition of the current depot at Station Approach and the commencement of the next phase of this development.

Also within the scope of this project is the employment site on the corner of Princes Drive and Old Warwick Road (next to Morrison's). This was purchased by the furniture company Vitsoe for its world headquarters and the building was formally opened in September 2017.

- **Lillington regeneration:**

Following the decision of the Planning Inspector at the Local Plan Examination not to allocate land at Red House Farm, Lillington for housing, and the continuing uncertainty around Government changes in the financing of local authority housing following the enactment of the Housing & Planning Act in early 2016, there has been little progress on this project in the past year. The Council is still, however, maintaining an active dialogue with the local Clinical Commissioning Group about how to support improvements to the delivery of NHS primary care services in Lillington and this will include consideration of how to provide new surgery premises.

- **St Mary's Lands Masterplan:**

During the year the Executive approved the Masterplan for St Mary's Lands and work has already started to implement a number of the items in the Action Plan. More will be actioned in the coming year

- **Kenilworth Public Services centre:**

This project has been on hold pending completion of Neighbourhood Plan by Kenilworth Town Council. This is expected to be completed by autumn 2018.

- **Upper Avon Navigation:**

At this stage the tendering process has just been completed to undertake the social/economic assessment and a high level of environmental impact assessment of the possible scheme. Peter Brett Associates have been appointed to undertake that work.

Once the assessment has been undertaken the report will be presented back to the Executive to enable this Council, Stratford District Council and the Avon Navigation Trust to consider whether there is a case for proceeding further or not. This Council's position at present is a neutral one.

- **2nd Warwick Sea Scouts Headquarters (2WSS):**

  In 2014, the Council granted landlord's permission to undertake works to redevelop the headquarters and other facilities of the 2WSS and to make a grant available to support this. Since that time, 2WSS have revised their development proposals and in July 2017 obtained landlord's consent from the Council for this revised approach. This is likely to see development taking place on their existing boatyard site at St Nicholas's Park in 2018 and subsequent development of a new HQ building adjacent to the St Nicholas's Park Leisure Centre. The Council will continue to maintain a watching brief and provide advice and support as appropriate to 2WSS on this project.

- **Creative Quarter:**

  Following the decision of Executive to find a development partner to work with the Council to deliver a Creative Quarter in the Old Town area of Leamington, an OJEU (Official Journal of the European Union) procurement process to select a development partner has now been concluded. The Council has appointed Complex Development Projects Ltd (CDP) to work in a 10-year partnership to bring forward and deliver proposals to support a Creative Quarter. CDP is now commencing an intensive period of working with stakeholders to develop a masterplan and identify and bring forward projects within this area to support the established cluster of creative industries.

- **Stratford Road Employment Land**

  Following the adoption of the Local Plan, land at Stratford Road in Warwick is part of a wider area now allocated for employment uses. The Council has begun discussions with the other land owners (including Severn Trent Water) about how best to bring the site forward. Discussions are also being held with our LLP partner to explore if the LLP may have a role in delivering this site. It is anticipated that a report will be brought to Executive in due course during 2018/19.

- **Leamington Town Centre Vision & Strategy**

  The "Leamington Town Centre Forum" was established at the Council's instigation in 2016 as a task and finish group to develop a vision & strategy for Leamington town centre. Working with a range of stakeholders across the town centre, during 2017/18 the Council developed the strategy, consulted both with stakeholders and the public,

and produced a "final" vision & strategy document. This is to be considered by Executive on 7th March.

- **Whitley South and Gateway South**

With the adoption of the Local Plan, land at Whitley and Gateway South have now been removed from the Green Belt. At Whitley South, there is outline approval for development and reserved matters approval has now been granted on phase 1 of this site. On Gateway South the applicants have undertaken pre-application meetings with the Council and held a public consultation before Christmas. A planning application on this land is anticipated imminently.

3   Risks

Key risks outlined in the Service Area Plan are as follows:

- **Failure to progress key corporate projects on time or budget, with impacts on budget savings, additional costs and failure to deliver against corporate priorities.**

This is mitigated by the Projects team closely monitoring and managing projects to ensure that they meet the timelines set, and if there are changes or impacts in terms of delay or budgetary issues, there is a robust reporting mechanism and a governance structure in place to respond to these changes.

- **Difficulty in recruiting professional experienced staff generally**

During the past year there has been successful recruitments to a number of key posts including the Business Manager for Policy and Development (Dave Butler), the Strategic Economic Development Officer (Suzee Laxton), Team Leader for Business Support (James de Ville) and a Business Support and Events Officer (Abi McCartney) and a Projects Officer (Guy Collier). However, inevitably there remain risks that key staff will leave and that we will not have all the specialist skills to deliver projects from concept to delivery. However, the Projects team works very closely with Project Sponsors to ensure that the feasibility of projects captures any additional specialist support needed, particularly if this results in buying external advice. This is also the case with Inward Investment, where we work very closely with our partners such as the County Council, LEP, etc.

- **Managing risks associated with events:**

An Event Plan including a risk assessment is carried out for all events and for the more significant events these are considered by the Safety Advisory Group*. Further mitigation in the form of an events manual will be introduced during 2018 as part of the Events Review Action Plan mentioned earlier in this document.

4   Workforce Planning

- **Succession Planning:** Historically, Development Services have had some difficult experiences with the lack of succession planning severely impacting on the service and therefore we are trying to ensure that we have plans in place to train and develop staff to assist in their career development. It is hoped   that we will have staff able to step into more senior roles when they become available. Linked to this, the service has established a Planning Assistant role which overlaps with the work of the Business Portfolio. This role is part of the approach being applied across the whole of Development Services whereby staff are developed and trained within the team
- **Skills, Training and Competency Needs**: Officers are developing a service area training plan following on from staff appraisals, which will provide generic as well as specialist training.

5   Finance

A: Budget: As Development Services supports two portfolios, it is not possible to separate out all the financial implications that are specific to the business portfolio as budgets are managed on a service basis rather than a portfolio basis. Development Services continues to meet its required savings year on year in relation to discretionary budgets, and whilst this is a small amount, it is challenging as these budgets have been reduced so much other costs are being reviewed, such as Christmas lights. This affected Whitnash Town Council in 2017. However, the team will be working with those areas affected to look at opportunities within the town to gain more support from partners and businesses to contribute to this important event.

The Events Review has been completed and this was considered by Executive on 7th February. The financial implications of this are expected to be a reduction in income of around £3,000 per annum. The impact of this will be adjusted in the quarter 1 update to the Medium Term Financial Strategy.

There were two break-ins at the Althorpe Hub recently, following which there has been a review of security measures and this will have financial implications to the service. A number of improved measures are currently being put in place and/or considered. This is being done in conjunction with the tenants to give them the confidence they need to ensure they do not vacate their units and result in loss of rent to the Council. This is being done within existing budgets, although support is also being sought from the corporate "self-insurance" budget.

B   Training: Officers have been involved in additional finance training throughout the year.

C   Procurement: As part of the training stated above, officers are working closely with the Procurement team to ensure that procedures are improved. The surgery sessions that took place last year with Procurement have embedded into the service improved practices and a better understanding of engaging the procurement team at an early stage in the process.

D   Contract management: Through a significant amount of work and scrutiny of the Contracts Register for the service area by Finance and Audit, the data held is now much clearer. The Portfolio Holder and the management team within the service area review the contracts register on a quarterly basis. This has helped in focussing on reviewing contracts in a timelier manner.

E   Audits:

Two Audits have taken place within the Business Portfolio during the past year

- **The Economic Development Audit** was given substantial assurance rating, reflecting the strong management of facilities in the enterprise team and the effective way economic development activities are carried in partnership. This included the improved management of the relationship with Shakespeare's England.
- **The Events Audit** was given a moderate assurance rating. This audit identified good practice in relation to the management of most events, such as the use of events plan and risk management. However, it did identify issues relating to the management of the Warwick Mop license and markets contracts. These issues reflect the high turnover of staff in the Business Support and Events Team during 2016/17 and now the issues have been identified, staff have put in place tighter processes to ensure lessons are learnt and practice is improved.

F   Risk Register: This is regularly reviewed for the service area. This is also a standing item on our team meetings. There are no "red risks" within this portfolio.

6   Work Streams and Projects

Looking ahead to 2018/19, it is anticipated that the service will progress a number of key work areas:

- **2022 Commonwealth Games**: Staff will play a key role in planning the Commonwealth Games with the Portfolio Holder providing the member-lead for the Council. In particular, there will be a focus on planning for the games in a way that ensures the potential economic benefits are exploited and maximised. This will aim to provide a great experience for visitors to Leamington for the Bowls tournament. This will include signposting visitors to the fantastic services and opportunities provided in our towns and working to draw visitors for events in Birmingham to the attractions of Warwick District though effective promotional activities. Staff will play an active role within the project groups that have been established to support the Games.

- **Implementation of the Events Review Action Plan:** As mentioned earlier the Events Review Action Plan was agreed by Executive in February 2018. It includes a number of important initiatives which will be introduced during the year. Other initiatives require detailed analysis and research and this work will be carried out during 2018 with a view to introducing the outcomes for events taking place in 2019.
- **Strengthening approach to business engagement**: The Business Support Review was carried out during 2016. The outcomes of this review will continue to be established during the 2018 with a stronger emphasis on supporting businesses in key geographical areas such as town centres. It will also include the development of town centre action plans to ensure these continue to provide a great environment to support business activity.
- **Explore opportunities to expand the reach of the Enterprise service**: As part of the work to establish alternative models for the delivery of the Enterprise service, work will continue to identify opportunities to expand its geographical reach with a specific focus on opportunities in Kenilworth and Warwick.
- **Trial of alternative delivery models for the Enterprise Service**: In addition to the expansion mentioned in the previous paragraph, during 2018/19 new initiatives will be introduced to expand the range of services and facilities provided through the Enterprise Service with a view to trialling these to fully understand their impact and the opportunities they offer.
- **Deliver progress on a range of major projects**: The major projects listed above will continue to be delivered. In particular 2018 promises to be a year of substantial progress for the Creative Quarter with significant public engagement taking place and practical options taking shape.

Any Changes Required to Service Area Plan

None.

Managing Planned Changes, Major Work-streams and Projects

There are no planned changes to the Service Area Plan for the current year. The 2018/19 Service Area Plan is being prepared in parallel with this update.

Authors:

Cllr Noel Butler - Business Portfolio Holder

Dave Barber - Head of Development Services.

March 2018

Glossary

Business Ready Programme – The Business Ready Programme, hosted at the University of Warwick Science Park, is designed to assist those businesses with the potential for growth, or are now reaching their growth potential.

Creative Warwickshire – Creative Warwickshire is a dedicated business support programme for Warwickshire-based creative and digital businesses, focussing on peer-to-peer mentoring

Digital Influence Index – a measurement of the digital reach each retailer, town or city has.

Growth Hub – The growth and inward investment arm of the LEP

Safety Advisory Group (SAG) – A group of key consultees (e.g. Fire service, police) that meet to review event plans in order to make them safer

Silicon Spa – the name of the games cluster in and around Leamington Spa

Stay, Play, Explore - A tourism initiative offering a pre-packaged short-term break incorporating both accommodation and attractions within South Warwickshire.

Tech Central – Tech Central is a partnership between the District and County Councils and a range of businesses within the tech cluster. The group put on a range of workshops and networking opportunities, as well as promoting the cluster as a great place for tech businesses.

The Explorer Pass – a tourism initiative offering visitors one pass to access multiple attractions.

Overview & Scrutiny Committee

March 2018

Development Services

Policy and Development end of year report

Service Plan Performance

Development Management

This part of the service is continuing to perform at a high level with regard to planning application performance with the number of planning applications determined within the statutory time scale again remaining at over 90% for 2017/18. There also continues to be significant schemes submitted resulting in sustained high levels of fee income, significantly exceeding income for 2016/17 and continuing the pattern of income growth over the last few years.

The proportion of successful appeals against officer and committee decisions has reduced slightly from the previous year. This may be in part because officers are now more proactive in tracking those decisions and learning from them. Officers also prepare regular reports to planning committee to give an opportunity to review the decisions and learn lessons.

The number of enforcement cases on hand throughout the year has reduced from an average of approximately 160 open investigations to an average of 130. This is because officers are proactively working to ensure that cases are handled as speedily and effectively as possible and for example that as part of that, cases where no action is needed are dealt with quickly.

The revised procedure to monitor section 106 agreements and contributions is working well with those procedures being kept under review and fine-tuned particularly in respect of the level of collaborative working that is required with the County Council and other partners. This new approach has enabled a more responsive approach to sending invoices to developers for payments and data relating to payments due and received are now prepared on a quarterly basis.

CIL was implemented in December 2017. At the time of preparing this report, no income has been received from CIL. However it has the potential to deliver in excess of £15m towards community infrastructure in 2018/19.

The householder 'drop in' service which provides free pre-application advice on domestic extensions, etc. and which was introduced 2 years ago continues to be well received and predominantly fully booked on a weekly basis.

The charging regime for the provision of non-householder pre-application has now been adopted permanently after a successful trial and an additional permanent full time Planning Officer is now in post to lead on this area of work. The income received is currently exceeding the cost of providing the service and this is being closely monitored.

The Land Charges Kiosk service continues to operate from the Riverside House reception area which enables personal search providers to access the relevant information themselves without any input from officers. As expected, the demand and take up of this service remains high.

The Government continues to press ahead with proposals to move land charges to become the responsibility of the Land Registry and officers are in ongoing preliminary discussions with the Land Registry to bring this forward as speedily as possible in 2018.

Within Development Management, Officers are continuing to review processes and procedures to ensure that all areas of work are undertaken as effectively and efficiently as possible whilst also ensuring a continuing high level of customer service. In particular the procedure for publicising planning applications has been brought into line with national planning guidance and the Council's website is being updated to ensure that this is clearly explained for customers.

Building Control

Warwick Building Control is now an established joint service with Rugby and Daventry Councils. The workload remains at a fairly constant level, despite strong competition from Approved Inspectors. Income levels continue to improve and are forecast to significantly exceed predicted levels for 2017/18. This reflects the success the service has had in maintaining market share. During the year Warwick Building Control has developed a marketing campaign and staff continue to be proactive in promoting the service. The service continues to receive positive feedback from clients responding to the customer satisfaction questionnaire, with a very high level of satisfaction.

Planning Policy

The Local Plan was adopted in September 2017. This provides an up to date and robust policy framework for planning decisions and also provides the basis for proactive work to deliver development and associated infrastructure. Specifically the Plan provides the framework to deliver around 17,000 dwellings between 2011 and 2029 as well as around 140 hectares of additional employment land. Following adoption of the Local Plan the Council can now demonstrate it has a 6.62 year supply of housing land which may be used in supporting the refusal of applications for housing on sites that are not allocated in the Plan.

Following the adoption of the Local Plan, an updated Local Development Scheme has been prepared setting out the plans to prepare a range of supplementary planning documents. Work is already progressing with new parking standards and an updated Residential Design Guide already agreed for consultation.

The 2017 annual monitoring showed that a record 1098 dwellings were completed during 2016/17. This continues the trends from recent years that has seen a steady increase in the rate of housebuilding across the District in support of the delivery of the Local Plan.

Allied to this, the service has continued to evolve and improve the Infrastructure Delivery Plan (IDP). The Local Plan inspector has indicated that he is satisfied that the IDP provides a clear basis for planning infrastructure to support the proposed development. The service is now moving towards ensuring this is delivered and is putting in place a number of steps to achieve this including a focus on infrastructure that is needed within the next 5 years, undertaking detailed infrastructure planning to enable the Regulation 123 list to be put in place and directly working with infrastructure providers to ensure projects are funded and are delivered in a timely manner.

The delivery of the Local Plan and the IDP is also being supported by the appointment of two Site Delivery Officers and agreement to appoint a third. These officers are focused on working with infrastructure providers, developers and communities to bring forward timely and high quality development to the south of Warwick and Leamington, Kenilworth and south of Coventry respectively. In particularly significant progress has been made towards the preparation of a Development Brief for East of Kenilworth. Associated with this, the service has led a success £9.6m bid to the Housing Infrastructure Fund to support the relocation of Kenilworth school.

Two Neighbourhood Plans have now be "made" (adopted) in the District – Whitnash and Barford. Two further plans (Leek Wootton and Baginton & Bubbenhall) have completed their examinations and will be subject to referenda in the coming months. A number of other neighbourhood plans are progressing including Kenilworth, Leamington and Budbrooke.

Development Services has a permanent part time officer working on HS2, to ensure that the authority is fully engaged with the process and is in a position to deal effectively and appropriately with the related submissions which have now started to arrive . Warwick District was the first designated authority in the country and is also the first authority to start to receive those submissions. We also continue to assist areas that are significantly affected by HS2 by liaising with the public and parish councils and ensuring that they understand the process.

Risks

Risks to the service area are as follows:

- Challenges in delivering the high level of growth proposed in the Local Plan to ensure the housing trajectory is achieved and a 5 year housing land supply is maintained
- Failure to allocate G&T sites resulting in potential for G&T sites being set up in inappropriate locations
- Failure to effectively work with partners to plan for infrastructure delivery including accessing the necessary funding
- Failure of the Building Control service to maintain market share resulting in further loss of business to Approved Inspector's
- Difficulty in recruiting professional experienced staff generally
- Work Volumes: The volume of work generally remains at a high level and whilst all staff continue to work as effectively as possible and are fully supported by managers in doing so, there is a risk of increased levels of health and well-being impacts that managers are monitoring closely.

<u>Workforce Planning</u>

There have been significant difficulties in recruiting experienced professional staff. We are therefore considering ways of developing staff so that we 'grown our own' expertise in these areas. One example of this has been with a member of staff in Development Management, who was appointed in a trainee role, and has developed into a Senior Planning Officer and has recently achieved a professional qualification supported by the Authority. Another example is the recruitment on an annual basis of a gap year student to a Planning Assistant role to assist with specific areas of work where they can gain experience of working within a Planning Team and potentially express interest in returning as a qualified Officer in the future. A third example has been the appointment of a successful apprenticeship role in Building Control. The service is looking to expand this approach by funding professional training for two9 further planners and bringing in further apprenticeship roles.

Succession Planning: Historically, Development Services have had some difficult experiences with the lack of succession planning severely impacting on the service, and therefore we are trying to ensure that we have plans in place by training and developing staff to assist in their career development. By "growing our own" staff within the service, we will have staff able to step into more senior roles when they become available. Warwick Building Control Officers at Assistant level have commenced a training programme through LABC, and the officers at Building Consultant grade are pursuing full membership of an approved body either CABE or RICS this should then put WBC in a suitable position for succession planning as it is known that there is a shortage of qualified surveyors in the industry

Skills, Training and Competency Needs: Officers are developing a service area training plan following on from staff appraisals, which will provide generic training as well as specialist planning and building control training.

Finance

Development Services achieved the 2.5% saving on discretionary budgets in 2015/16 and for 2016/17. It is anticipated that both Development Management and Building Control will achieve their income targets for 2017/18.

Budget: Officers have been involved in additional finance training throughout the year.

Procurement: As part of the training stated above, officers are working closely with the Procurement team to ensure that procedures are improved.

Contract management: The contracts register is up to date and is monitored on a six monthly basis (moving to a quarterly basis for 2017/18.

Audits: An audit of Development Management has been completed within this part of the service during 2017/18. This achieved a substantial rating. A further audit of Land Charges is currentrly being undertaken.

Risk Register: This is regularly reviewed for the service area. This is also a standing item on our team meetings and meetings with our Portfolio Holder.

Work Streams and Projects

Warwick Building Control:

During the year, we have transferred Rugby and Daventry ICT systems onto IDOX which was a major migration process and very time consuming and costly for the joint Building Control service. Daventry's migration is completed . Rugby data has proven to be more involved as data was stored in different formats, all data has now been moved across, although there remains further work to ensure this is easily accessible through IDOX.

The Building Control service is established and recognised by architects and builders who continue to use the service as we are able to remain competitive, cost neutral and reactive. We have a strong relationship with Warwick University and the Developers where we have secured the contract to provide the BC Service for the Sherbourne Residential Blocks, the conference centre which is under construction, Sports Hall Hub, 6no extensions to the Art Block, Radcliffe House, and further pre application discussions on 12 new residential blocks. We have established relationships with NAC and securing repeat business. . Rugby School has over £30 million to spend over the next few years. Work has recently picked up in Daventry area due to the BC service being more robust, and the competition not servicing their clients effectively. We have established good relations with Stratford District Council BC and have pursued projects under

cross boundary working, this has retained the work and avoided the project going to an Approved Inspector. To promote the service we have put on seminars for local clients and launched WBC in June 2017, presented WBC to local business forum. Staff are encouraged to chase new Business and WBC always attend pre application meetings.

Development Management:

Across Development Services there is a need to continually improve the electronic delivery of the services we offer, in particular for development management and building control as they are very customer facing services.

During 2018/19, the Development Management service will continue to "bed-down" the restructure that was implemented earlier this year. Associated with this this, the 20% increase in planning fees has been introduced. This will enable the service to strengthen resources in a number of key areas including enforcement, discharge of conditions and monitoring. All these roles are important in growing the capacity of the service to focus on delivery of high quality and timely development.

Another key work-stream during 2018/19 will be the designation of the Canal Conservation Area. Detailed assessment is well advanced and it is intended to bring forward proposals to designate the Conservation Area in the Autumn of 2018.

A further development during 2018 will involve firmly establishing the CIL collection process. This process has now been implemented as liable applications work through the system, the process will be tested and refined with the support a the recently appointed CIL officer. It is expected that the first CIL receipts will come through during 2018/19.

Policy and Projects:

In terms of the Local Plan, the focus in the year ahead will be on delivery including supporting the comprehensive delivery of major sites, the funding and delivery of infrastructure and progressing Supplementary Planning Documents. Specifically, it is expected that progress will be made on the delivery of sites to the south of Warwick and the preparation of a Development Brief for land East of Kenilworth. Support for the preparation of planning applications for sites to the south of Coventry and adjacent to growth villages will also be provided. In terms of infrastructure, examples of projects which officers will be actively involved with over the next year are: plans to improve to the Europa Way corridor, improvements to the A46/Stoneleigh junction, the relocation of Kenilworth School and the delivery of the Tach Brook Country Park Linked to this we will apply CIL receipts to the updated Regulation 123 list Work to adopt new parking standards, and the Residential Design Guide will continue along with other tasks agreed as part of the Local development Scheme.

Finance

Service Area Plan Performance 2017/18

1. Background

The customers of Finance can be broadly categorised in three ways:-

Corporate/Strategic

Finance is responsible for managing the Council's overall finances. This includes maintaining the Medium Term Financial Strategy, Budget setting and monitoring expenditure/income against Budget.

External customers

These customers include all those responsible for the payment of council tax and business rates, for which there are approximately 63,500 and 5,200 respective properties (as at March 2018). Housing Benefit claimants currently total 5,900 (value £26m pa), with there being 6,450 (value £6m pa) households in receipt of Council Tax Reduction (previously council tax benefit).

Finance also administers the Rural and Urban Capital Initiative Scheme for which for which the budget was agreed at £150,000 for new grants to be awarded in 2017/18.

Internal customers

Much of Finance is a support service, primarily providing services to the Council's officers and councillors. The services here include:-

- Accountancy (including Budgetting and Treasury Management)
- Internal Audit and Risk
- Procurement
- Payments and sundry debtors

2. Performance

Council Tax/Business Rates

The processing time for council tax correspondence has improved in the current year from 28 days in March 2017 to 21 for January 2018 (based on a rolling 12 month basis, to remove the impact of seasonal swings). Whilst there is some annual seasonality in these figures, this represents a significant improvement compared to the peak of 48 days in June 2015. Recent staff turnover has impacted upon the service in recent months. The position for the last three years is shown in the chart overleaf:-

**Age of Oldest Item - Ctax (Rolling 12 month average)**
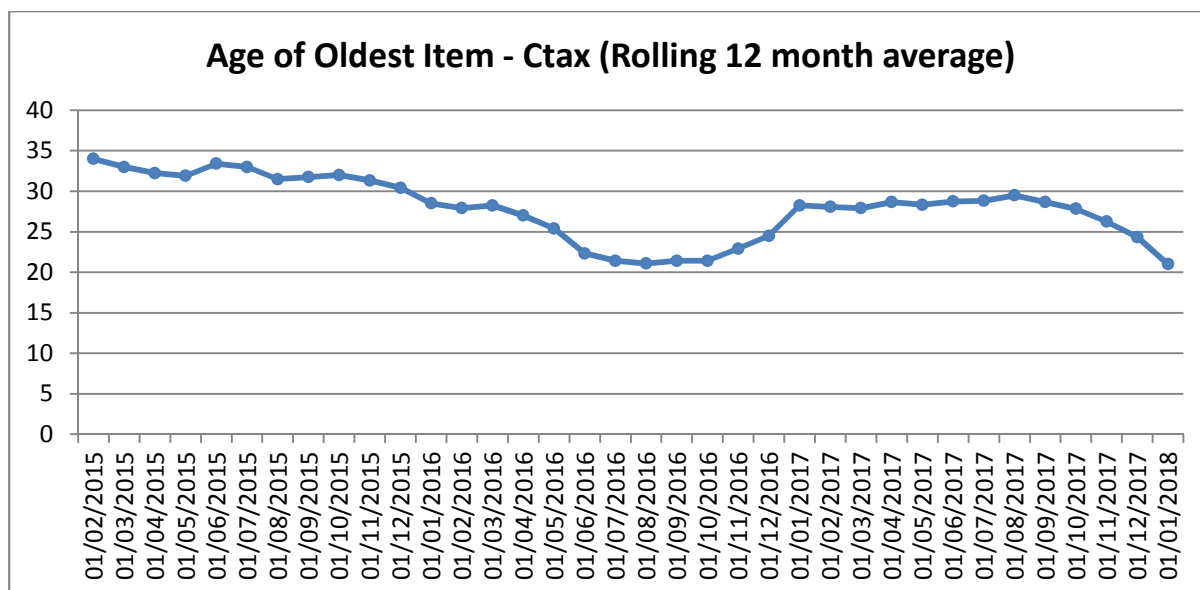
The improvement reflects the dedication of the team and the many initiatives. These include:-

- The change to generic working within Council Tax/Business Rates has helped to reduce processing times. This was piloted ahead of being agreed by Employment Committee in January.
- Staff doing some weekend and out of hours working
- Changing the way we process the work queue to minimise repeat callers
- The Customer Service Team, who provide a more specialised service and provide processing support during quiet times.
- In line with the Digital by Design agenda, a project is underway to provide residents with the ability to "self serve" in respect of their council tax account. Open Channel will enable customers to complete and submit a series of on line forms to inform the Council of a property move which will, subject to data validation, automatically update the account without the need for back office intervention. This project is currently being piloted. However it is not expected that this service will have an instant impact on the workload of the Service, but as the number of properties in the District continues to grow over future years and customers increasing expect to be able to self-serve, Open Channel will increase the processing capacity of the service.

Housing Benefits/Council Tax Reduction

The introduction of "E-Forms" for new housing benefit/council tax reduction claims and notification of changes in circumstances has proved a success. The table below shows the proportion of new claims now being received electronically.

New Benefits Claims
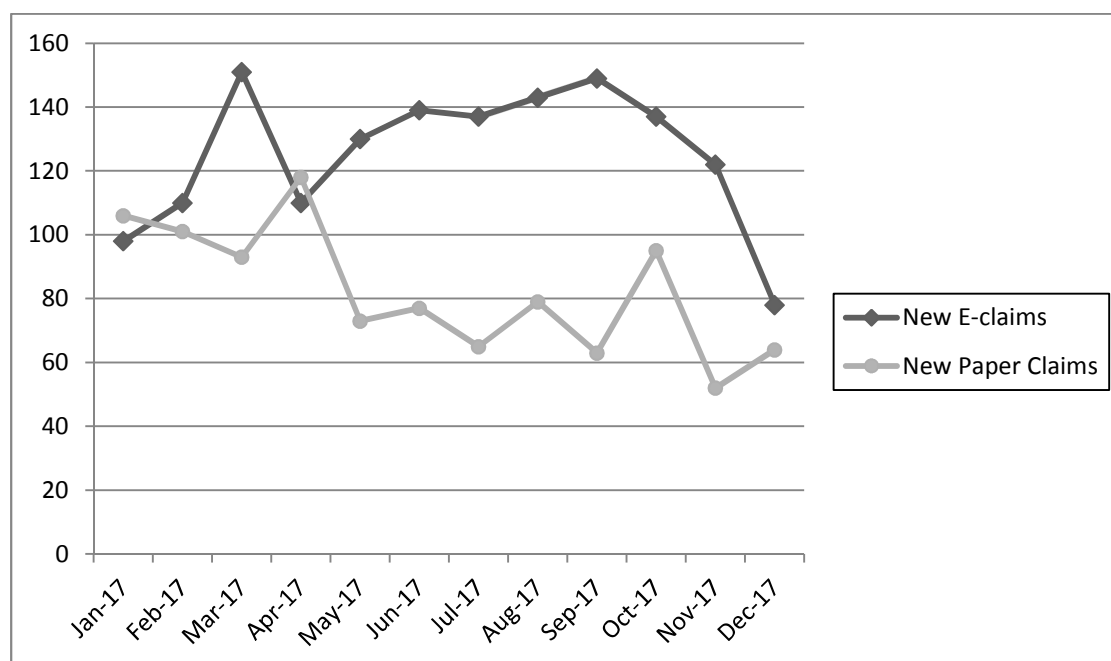
There are many benefits associated with the process, for the customer and the Council:-

- The system tells the claimant what specific documentation is required to support the claim, and how this is to be provided.
- Claims are quicker to submit.
- There is no scanning required of the claim.
- Data entry is greatly reduced.
- With claims being more complete, the requests for further information from claimants are greatly reduced.
- Claims are processed and benefit awarded much faster.

These improvements all amount to improved customer service and efficiencies for the Council. Greater promotion of the E-forms is planned, along with more training to ensure that Reception/One Stop Shop staff actively encourage on-line claims. With WDC responsibility for Front Line staff and One-Stop Shops under the Benefits and Fraud Manager (alongside the Revs/Bens Customer Service Team), it is envisaged the service will be better prepared to support the roll out of Universal Credit, now scheduled locally from October 2018.

The time taken to process benefits claims is actively monitored as shown below. The recent increases in processing time have again resulted from staff turnover. Following a recruitment campaign, several new appointments have been made, with these new members of staff undergoing an intensive training process. In addition, over the last year, the amount of work on current claims has increased as there have been more referrals from DWP under the Real Time Information initiative. These are up to 500 a month.
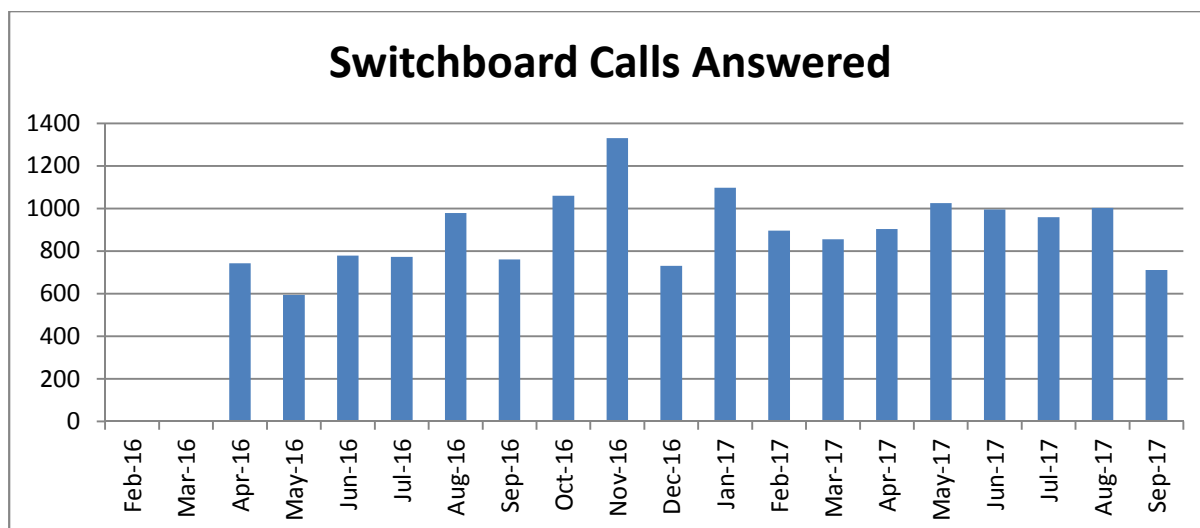
Number of days taken to process benefit/Council Tax reduction claims (Rolling 12 Month Average)
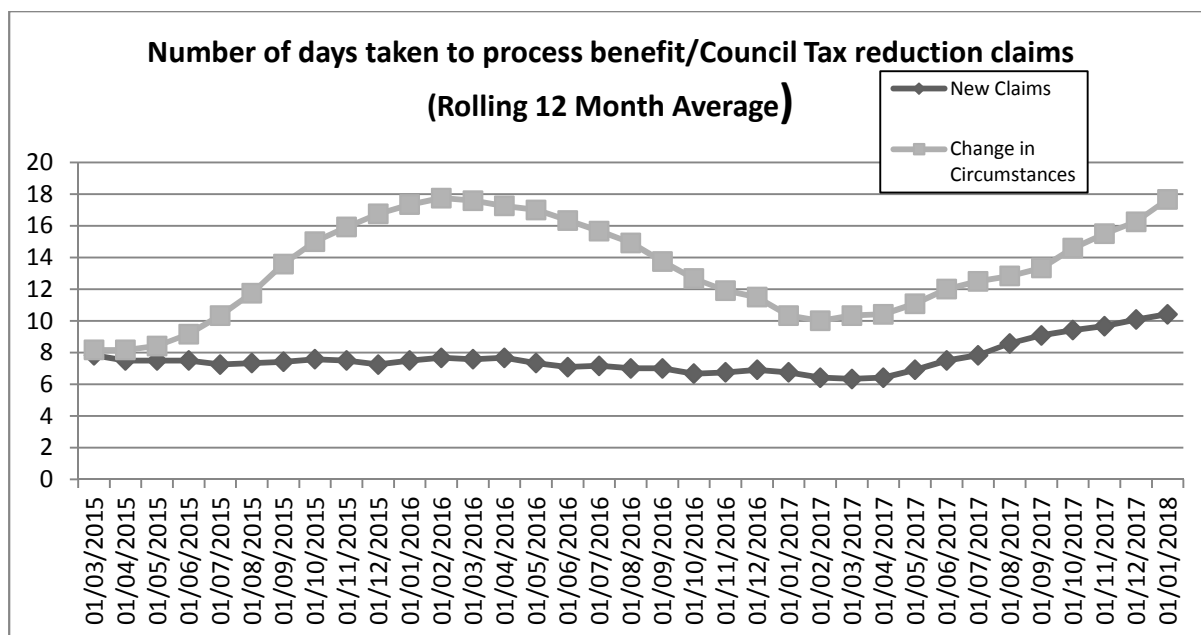
As at the middle of February 2018, the oldest new claim awaiting processing was 8 days, and change in circumstance was 13 days.

Customer Service Team

The Customer Service Team process Benefits and Revenues calls. Whilst all calls should be to direct dial numbers, there are still an increasing number of calls that are received on the switchboard number. The Customer Services Team manage these calls on behalf of the Council. It was originally envisaged that these calls would be very few in number. However, they continue to average 200 per week. As the team were not resourced for these calls, these calls were impacting on the overall performance of the team, so reducing their ability to deal with Revenues and Benefits Calls. A trial is on-going for selected other services areas to help with the switchboard calls. The initial feedback is this is helping to manage the switchboard calls and the service calls.

Total Calls Answered by CST
Council Tax, NNDR, Benefits (excluding Switchboard)

Switchboard Calls Answered

Chart showing Switchboard Calls Answered from Feb-16 to Sep-17:
- Feb-16: 0
- Mar-16: 0
- Apr-16: ~740
- May-16: ~595
- Jun-16: ~780
- Jul-16: ~775
- Aug-16: ~985
- Sep-16: ~760
- Oct-16: ~1060
- Nov-16: ~1330
- Dec-16: ~730
- Jan-17: ~1100
- Feb-17: ~895
- Mar-17: ~855
- Apr-17: ~905
- May-17: ~1025
- Jun-17: ~995
- Jul-17: ~960
- Aug-17: ~1000
- Sep-17: ~710

Accountancy

The 2016/17 Statement of Accounts was signed off by the external auditor in August. This was one month earlier than previously. From 2017/18, the accounts must be signed off by 31 July. The intention was to pilot early closure in 2017 so as to meet that date. Whilst the end of July target was missed, the auditors would have been ready to sign off in early August. Following the review of the 2016/17 closedown, including discussions with the external auditors, a project is now in place for the 217/18 closedown, following a detailed timetable.

The Contract for the Financial Management System has been extended under an Exemption to the Procurement Code of Practice. Whilst not incorporated into the 2017/18 Service Plan, initial scoping work was undertaken in the year. This is now a project commencing from 2018/19.

Internal Audit and Risk

By the end of December 2017 18 reviews had been completed by Internal Audit, against a target completion of 21. These are reported to Finance & Audit Scrutiny Committee as part of the quarterly audit plan progress reporting. The team are confident of being able to complete all the Audit Plan by 31 March 2018.

Following on from the external review of Internal Audit to comply with the Public Sector Internal Audit Standards, the action plan of improvements was reported to Finance & Audit Scrutiny Committee in June 2016. In addition a review of Risk Management across the organisation was undertaken by Zurich Insurance. With regard to the former all actions have been completed, substantially in 2016/17, whilst in the case of the latter two actions remain for 2017/18 which are due to be completed by 31 March 2018.
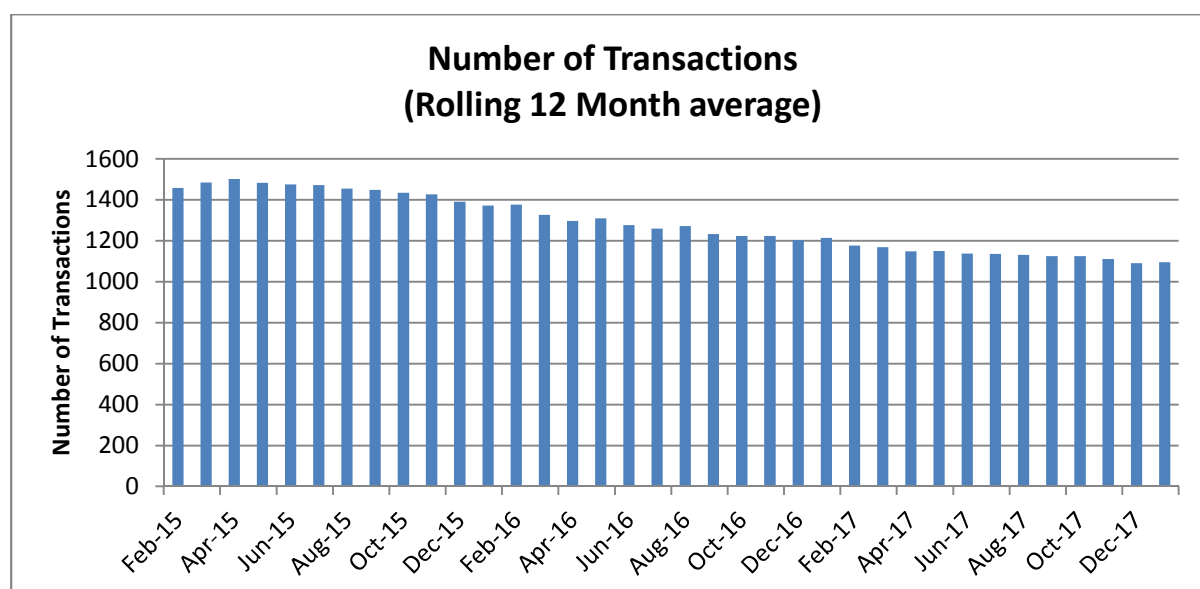
Procurement

The new Procurement Team has continued to strive to embed good procurement practices across the authority whilst providing support to procurement projects. The updated Code of Procurement Practice was agreed by members in April 2017. Many guides and supporting documents have been produced to support officers in procuring goods and services, which are available on the Council's intranet.

With the retirement of the forthcoming retirement of the Procurement Manager, a review has been undertaken of the best way to resource the function so as to maintain the quality of the service and ensure resilience. Following on from this, reports were presented to the Executive and Employment Committee in January 2018 to seek agreement of a trial WDC/WCC Procurement Partnership from April 2018.

The Procurement Team won a national award from the Federation of Small Businesses for having the best "Small Business Friendly" Procurement Policy. The team continue to work with small and local business to seek to support them in tendering for contracts with the Council.

Financial Services Team

The Financial Services Team are responsible for processing the Council's payments and the collection of sundry debts. The numbers of transactions (invoices paid and orders raised) are shown below.

Number of Transactions (Rolling 12 Month average)

The team continue to introduce efficiencies so as to reduce the numbers of transactions to be processed, as can be seen from the chart. The initiatives include:-

- Consolidated billing

- Annual orders
- Use of procurement cards
- Collaborative procurement and contracts

3. Risks

The Finance Risk Register has continued to be reviewed throughout the year, and is due to be presented to Finance & Audit Scrutiny in 2018, alongside the Contract Register and review of Budget, this being the inaugural review of this nature by Finance and Audit Scrutiny Committee. There are no risks that score in the "red". Risks are regularly considered at Finance Management Team meetings, and the register is also reviewed quarterly in conjunction with the Finance Portfolio Holder.

4. Workforce Planning

A staffing review involving changes to the Exchequer and Benefits functions was reported to Employment Committee in January 2018. This sought to provide greater resilience to the teams, especially in view of the increasing number of properties across the district, but also with impending changes such as Universal Credit.

One of the Principal Accountants retired last July, with a further one retiring in May 2018. In the short/medium term this undoubtedly putting a strain on the Accountancy Section, with use being made of temporary resources pending the appointment of permanent replacements.

Some functions within Finance have been subject to substantial staff turnover in recent years, whilst others have continued to have a very stable workforce. In all cases workforce planning is a priority so as to seek to ensure staff are trained and able to progress as opportunities arise. In doing so, we seek to ensure continued quality service provision and enable staff to progress. This includes seeking to develop existing staff and also to appoint apprentices.

5. Budget

The Finance budget for 2017/18 included the Council-wide 1% reduction to discretionary budgets. There was also an assumed £50,000 additional investment interest included from the use of alternative investment vehicles.

In view of the continuing low investment interest returns, the 2016/17 Treasury Management Strategy included Equity Funds as a new investment instrument with the aim of getting an increased return on some of the Council's investment portfolio whilst protecting the Council's investment. Following an appointment, two fund managers were appointed in March 2017, with £3m paid into each fund in April. These investments need to be regarded as long term investments since the returns may be somewhat erratic in the short term. A review of the

performance on these funds is planned to Finance and Audit Scrutiny Committee.

In terms of the overall Council Budget, the Accountancy Team actively works with Budget Managers across the Council to review the current year expenditure and income and that for future years. In addition, the medium term financial strategy is maintained and updated – this driving the Council's overall finances. The Medium Term Financial Strategy (MTFS) is an intrinsic part of the Council's overall planning. Since 2010, the Council has seen reductions of over £7m to it external financial support (primarily Revenue Support Grant), but has been able to maintain services in this period, whilst holding the level of council tax at the same for many years. The MTFS (as reported to Executive in February 2018), and the assumptions behind it, show that further savings of £700k need to be made by 2022/23. Outside of the agreed Budget and MTFS, the Council faces additional costs in maintaining its assets in the future so as to maintain its services into the future; many of these costs still need to be funded. The team constantly monitors the savings required, and the profile behind it, utilising internal and external income. With significant uncertainty over the future of New Homes Bonus, and proposed changes to Business Rate Retention, it is vital that prudent assumptions are maintained, whilst the Council endeavours to build up reserves for any future volatility.

Following on from the 2015/16 surplus, there has continued to be tighter monitoring of significant income budgets such as planning fees, parking and cremations. These budgets can be difficult to forecast, which has led to some overly cautious forecasting in recent years. Whilst the surplus was greatly reduced, monitoring of these budgets is continuing to be refined, with accountants and budget managers working closely together to ensure the correct level of core income is reflected in the Medium Term Financial Strategy.

Finance Service Plan 2017/18

Planned Changes, Major Workstreams and Projects

Change/Project	Milestones
Early Closure of Accounts – for 2016/17 inc de-cluttering, improved electronic WPs, planning for2017/18 closedown.	Audited Statement of Accounts approved by Finance and Audit Scrutiny Committee 30th August 2017. Post Mortem Meeting with External Audit 30th October 2017. 2017/18 closedown timetable and project now in place.
Re-write HRA Business Plan Model	Established that this is not required
Budget Review – increase engagement across all Services	Ongoing each month – improved reporting Comparison to Final Accounts
Revenues Visiting Officer mobilisation	As the focus of the Visiting team has dramatically changed so that the majority of work undertaken is revenues based, particularly given the level of new build in the area, the team now reports to the exchequer Manager. Active consideration is being given to using office based information gathering via known contacts at major sites and information already available through other services within the Council e.g. Planning, Street Naming and Numbering. It is also intended to trail mobile working using the web forms on the website and designing extra ones which when completed out in the field will directly integrate with Civica. Once testing of this initiative has been completed it will be possible to review if and how the project proceeds.
Universal Credit – prepare for June 2018 rollout to new working age housing benefits claimants.	The recent restructure of the Benefits service should make the service more responsive to the changed requirements. One Stop Shops and Reception responsibility now under Benefits and Fraud Manager which should further help support UC roll out.
Auto-matching for Creditor invoices – implement across Council	Soft launch of system in live for Housing invoices, to be live across Council from May 2018.
Council Tax "Self Serve" (Open Channel) module	From February first form being used "in house" for people moving into the District ahead of formal rollout on website. Further forms to follow in 2018/19.
Total (Financial Management System) Upgrade	Upgrade Oct 2017

Change/Project	Milestones
Progress actions from January 2016 Risk Management Review	All actions that were scheduled for 2016/17 have been completed. The two remaining ones, scheduled for 2017/18, are as follows: Consider whether some of the principles applied to contract risk management can be applied equally to partnerships – by March 2018 Review the criteria for evaluating project risks to make it more specific to time, cost and quality of delivery – by March 2018
Progress actions from April 2016 Internal Audit Review	Completed, mostly in 2016/17.
Review of Procurement function.	Reports presented to Executive and Employment Committee January 2018. New Procurement Partnership with WCC to commence April 2018.
Enhance use being made of Intend system for reports etc to assist procurement process.	Currently revisiting Intend system capability to make it fit for purpose with regarding to: low value quoting self-service, contract storage and online mandatory questions and scoring.
Updated Code of Procurement Practice and Procurement Strategy – rollout across organisation.	Updated Code of Procurement Practice- agreed by Council April 2017. Code being reviewed in light of WDC/WCC Procurement Partnership with a view to alignment of documents where appropriate. Procurement Strategy – to be presented to April 2018 Finance and Audit Scrutiny Committee.
Review Contract storage	Electronic copies of documents referenced within Contract Register. Further advice on use of electronic documents sought form WCC Lawyers. and ICT. Potential to utilise Intend for this process in the future as currently under development.
Contract Register – review with ICT format held, how shared and accessed.	This project has now been integrated into the ICT overall project plan, in place of the staff resources previously allocated to this project. Awaiting to be advised of the ICT lead and planned completion date.
Review Support Service provision to make savings from Service in line with Medium Term Financial Strategy.	Savings mostly achieved, as to be reported as part of Base Budget in November. Some savings will not be achievable, primarily in respect of Internal Audit where the original figures were overstated.

Neighbourhood Services

Annual Performance Report

2017/18

Service Area Performance

Neighbourhood Services provides a range of key front line services including waste collection/recycling, street cleansing, parks and open spaces, off street car parking, a Ranger Service, bereavement services, and oversees the operation of the one stop shops which are provided jointly with Warwickshire County Council.

Waste Collection

There are over 4 million waste collections carried out each year, with over 99% of them completed on the scheduled day. In addition to the kerbside collection service, recycling is supported through the provision of bring sites, recycling from flats and schools and individual waste advice visits. The Council's recycling rate is approximately 56%, which is well ahead of the national target of 50% by 2020. Unfortunately collections over the Christmas Period were disrupted this year due to the bad weather, with some green waste and recycling collections cancelled to enable all residual waste collections to be completed.
All services were quickly returned to normal in early January.

Street Cleansing

The standard of street cleansing remains high across the District due to a variety of programmed cleansing regimes, and the work of the Rapid Response Teams removing graffiti, fly tipping etc. The Council is working with an organisation called Clean Up Britain to deliver a high profile campaign to try to reduce littering over the next 12 months, and also working with Rugby Borough Council to use enforcement powers more effectively.

Green Spaces

Green Flag and Green Heritage Awards have been retained for Jephson Gardens, with an additional Green Flag being awarded for Oakley Woods in 2017. The Council also supported Warwick Town Council and Leamington Town Council in achieving the Britain in Bloom Gold Award. The Service Area also plays a key role in providing the high quality bowling greens at Victoria Park where the men's and women's National Bowls competitions are held each year.

<u>Bereavement Services</u>

The Bereavement Services Team has continued to provide a high quality service, and has now moved to operating the Oakley Wood Crematorium six days a week. This gives customers greater flexibility when arranging a funeral, and provides additional income to support the delivery of the service.

<u>One Stop Shops</u>

The One Stop Shops are operated in conjunction with Warwickshire County Council, and have been subject to review over the last 12 months. Due to the fall in demand for face to face services, and the implementation of the Council's Digital Transformation Strategy, it is proposed to change the way WDC services are delivered at Whitnash and Lillington Libraries.

<u>Off-Street Car Parking</u>

The Council operates 3 multi-storey car parks and 24 surface car parks, and also provide a managed service on behalf of the Royal Priors Shopping Centre. The provision of parking enforcement and a range of other site assurance work is undertaken by the Ranger Service.

Risks

The concerns relating to the Council's multi-storey car parks are being addressed with the proposed rebuilding of Covent Garden Car Park in Leamington, and an options appraisal being carried out for Linen Street Car Park in Warwick.

Internal audits of waste collection and street cleansing services were carried out in 2017, both receiving a "substantial" level of assurance.

Funding has been secured to implement a new ICT system for Bereavement Services as the current system is unlikely to be supported effectively in coming years.

Workforce Planning

The redesign of Bereavement Services was completed last year, to provide the necessary resources to operate the crematorium 6 days a week.

The redesign of the remainder of Neighbourhood Service was completed in 2017, with additional posts added to the establishment in order to increase capacity and improve resilience. Unfortunately the last few months have been extremely challenging for the team due to difficulty filling some posts, long term sickness and some staff leaving the Council. Three new Area Officers and a Car Park Manager have now been recruited, and funding secured to appoint an additional Green Space Development Officer.

Budget

Waste Collection

Income from recycling credits is likely to be in line with budget estimates of approximately £450k.

Green Spaces

Expenditure on improving the security of parks, open spaces and car parks this year is approximately £182k

Expenditure on improving playgrounds, parks and open spaces this year is approximately £781k, with further expenditure of £545k planned for 2018/19.

The Pump Room Gardens project has an estimated value of £1.4m, funded by Heritage Lottery Fund, the Council and the Friends of the Pump Rooms.

Car Parking

Car parking income continues to remain strong even with some disruption as a result of bad weather, with anticipated income of just over £3m for this year.

The estimated capital costs to increase car parking capacity in Leamington as part of the displacement strategy are in the region of £674k.

Bereavement Services

Income from Bereavement Services has continued to increase with an anticipated income this year of approximately £1.5m.

Work Streams and Projects

Green Spaces

The areas improved as part of the Council's Green Space Strategy for 2017/18 include:-

Castle Farm (new play equipment)
Abbey Fields (surfacing)
Fieldgate Lane (new play area)
The Holt – (new play equipment)
Shrublands – (tree work and natural play area)
Ebourne Rec – (new play equipment)
Bates memorial – (new play equipment)
Hawkes Meadow (new play area)
Mason Avenue (new play equipment and footpath)
Saltisford Common – (new play equipment and footpath)
Kennedy Square – (new play equipment)
Clarendon Square – (footpath and landscape improvements)

Green Space Projects Planned for 2018/19

      Saltisford Common
      Victoria Park
      Newbold Arms
      Midland Oak
      Othello Avenue
      Ophelia Drive
      Rushmore Street
      Mander Grove
      Glendale Avenue
      Sabin Drive
      Twycross Walk

Work to procure the specialist contractors required to deliver the £1.4m Pump Room Gardens project has been completed, with work due to start in May this year.

Work to improve the security of a number of parks, open spaces and car parks will be completed by the end of March this year.

The project to deliver a new country park is in the early stages, with a specialist consultant being procured to assist with stakeholder engagement, design proposals and phasing of works.

A tender has been awarded to measure and digitise all of the Council's parks and open spaces.

Car Parking

Plans are being progressed to help mitigate any disruption caused by the planned closure of Covent Garden car parks in early 2019. Proposals include increasing parking capacity at Court Street, Princes Drive and Victoria Park, in addition to public parking at Riverside House, and dedicated short stay parking at St. Peter's multi storey car park. In addition a comprehensive communications plan is being developed and ongoing dialogue with a number of key stakeholders.

Work will commence shortly to procure new parking machines to improve the range of payment methods available to customers.

There are proposals being developed to increase car parking capacity at St. Mary's Lands, plans to improve the pedestrian infrastructure and links to the town centre.

Consultation on the draft Car Parking Strategy has now been evaluated, which will allow the final strategy document to be considered later this year.

	Executive **5th April 2018**	**Agenda Item No.** 6
Report Title		**Corporate Property Repair and Planned & Preventative Maintenance Programme 2018/19**
For further information about this report please contact		Daljeet Matharu Interim Assets Manager daljeet.matharu@warwickdc.gov.uk 01926 456048
Service Area		Chief Executive's Office (Assets Team)
Wards of the District directly affected		All
Is the report private and confidential and not for publication by virtue of a paragraph of schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006?		No
Date and meeting when issue was last considered and relevant minute number		Executive, 5th April 2017
Background Papers		Corporate Property Planned Preventative Maintenance Programme 2017/18, Executive 5/4/17; background working papers

Contrary to the policy framework:	No
Contrary to the budgetary framework:	No
Key Decision?	Yes
Included within the Forward Plan? (If yes include reference number)	Yes – ref 926
Equality & Sustainability Impact Assessment Undertaken	N/A

Officer/Councillor Approval		
Officer Approval	**Date**	**Name**
Deputy Chief Executive	12/3/18	Bill Hunt
CMT	13/3/18	
Monitoring Officer	13/3/18	Andrew Jones
Head of Service	12/3/18	Bill Hunt
Section 151 Officer	13/3/18	Mike Snow
Portfolio Holder(s)	16/3/18	Cllr Peter Phillips
Consultation & Community Engagement		
n/a		
Final Decision?		Yes
Suggested next steps (if not final decision please set out below)		

1. **SUMMARY**

1.1   This report proposes that budget provision of £1,668,800 is made available in 2018/19 to continue the Council's investment in its corporate property assets.

1.2   To allow members to ensure that the Council is spending the budget effectively the report provides the rationale for the proposed allocation of works against the budget.

2. **RECOMMENDATIONS**

2.1   That Executive approves the proposed budget allocation of £1,668,800 for the 2018/19 Corporate Property Repair and Planned & Preventative Maintenance (PPM) Programmes, as set out in Table 1 in Section 5 of this report, to fund the list of proposed works set out at Appendices One and Two.

2.2   That Executive notes that the 2018/19 budget includes £553,000 for works previously included within the 2017/18 budget but which have been subject to slippage for the reasons set out in paragraph 3.4.

2.3   That Executive notes that there is no requirement to draw down any funding from the Corporate Asset Reserve for 2018/19 but that the release of up to £1,291,700 from this reserve will be required to support the PPM programme up to 2021/22, as set out in paragraph 5.5.

2.4   That Executive agrees that the Assets Manager, in consultation with the Deputy Chief Executive (BH) and the Procurement Manager, is authorised to procure the works as per the Code of Procurement Practice.

2.5   That Executive delegates authority to the Deputy Chief Executive (BH) and the Head of Finance, in consultation with the Finance Portfolio Holder and the Leader of the Council, to approve any amendments to the proposed programme of works listed at Appendix One or Appendix Two and/or revisions to the amount of budget allocated for specific schemes, provided these can be accommodated within the overall budget of £1,668,800.

3. **REASONS FOR THE RECOMMENDATIONS**

3.1   The overall budget allocation for the Council's Corporate Property Responsive Repair & Cyclical Maintenance Programme and its Planned & Preventative Maintenance (PPM) Programme, informed by stock condition data, enables the Council to proactively maintain all existing corporate assets (i.e. all assets owned by the Council other than its Housing Revenue Account homes, shops, garages and land) in a sound condition unless or until any future decisions are made in respect of individual assets through a future Corporate Asset Strategy, as is currently being worked on.

3.2   The proposed budget allocation for 2018/19 is based on a review of historic responsive and cyclical repair data and a review of the current PPM data by officers within the Assets Team, in consultation with building managers from other service areas which hold or operate specific assets.

3.3   The recurring base budget for Corporate Property Repair and PPM works was set at £1,073,800 for 2018/19 in the February 2018 budget setting report.

Evaluation of the PPM data has identified that this year's programme can be accommodated within the agreed budget, without the need to release funds from the Corporate Asset Reserve.

3.4   The slippage of PPM works from 2017/18 PPM are the result of several factors, including unexpected staffing absences within the Assets Team during the last financial year, which delayed the commissioning and completion of a number of programmed works. The slipped works programme has been reviewed following the appointment of new interim managers within the Building Surveying and Asset Management teams, and any works deemed unnecessary omitted from the slipped works programme.

3.5   The PPM Programme is expected to require significant works to be completed in the subsequent 3 year period up to and including 2021/22 and to support this level of work £1,291,700 will be required from the Corporate Assets Reserve, as per the breakdown provided in Table 2 (Paragraph 5.5). Without the use of the Corporate Assets Reserve, the programme would be unable to be maintained, resulting in the maintenance of the Corporate Stock potentially falling behind schedule.

3.6   Subject to approval of recommendations 2.1 to 2.3 the works will be procured in accordance with the Council's Code of Procurement Practice, with advice and input provided by the Procurement Team as appropriate.

3.7   The cost of the proposed programme is an estimate at this stage based on the stock condition surveys undertaken to date. The allocations for each specific element of the programme, as set out in the appendices, are therefore indicative only. Past experience is that these allocations are liable to change as the works are procured and/or progress on-site. In previous years it has been found that, rather than attempt to address this volatility by building a contingency into the budget, a more effective and flexible means of managing the programme is through the use of the delegated authority, proposed in recommendation 2.5. This allows for the programme to managed within the overall budget allocation for the year and, in addition to allowing changes to the indicative allowances to be managed, provides the flexibility needed to ensure that as service priorities evolve or new opportunities emerge during the course of the financial year the programme can be re-profiled to ensure that the Council achieves the maximum value for money from its investment in its corporate assets.

4.   **POLICY FRAMEWORK**

The Corporate Property Repair and Planned & Preventative Maintenance Programme 2018/19 report forms part of the Budgetary Framework for implementing Fit for the Future. This report is in accordance with the Council's Financial Strategy as last approved by the Executive in February 2017.

4.1   **Fit for the Future (FFF)**

The Council's FFF Strategy is designed to deliver the Vision for the District of making it a Great Place to Live, Work and Visit. To that end amongst other things the FFF Strategy contains several Key projects. This report shows the way forward for implementing a significant part of one of the Council's key projects.

The FFF Strategy has 3 strands – People, Services and Money and each has external and internal elements to it. A key output of the Fit for the Future programme is ensuring that the Council achieves the required savings to enable it to set a balanced General Fund Budget whilst maintaining service provision and the proposals in this report meet that requirement. The table below illustrates the impact of this proposal, if any in relation to the Council's FFF Strategy.

FFF Strands		
People	**Services**	**Money**
External		
Health, Homes, Communities	**Green, Clean, Safe**	**Infrastructure, Enterprise, Employment**
Intended outcomes: Improved health for all Housing needs for all met Impressive cultural and sports activities Cohesive and active communities	Intended outcomes: Area has well looked after public spaces. All communities have access to decent open space. Improved air quality. Low levels of crime and ASB	Intended outcomes: Dynamic and diverse local economy. Increased employment and income levels. Vibrant town centres. Improved performance/productivity of local economy.
Impacts of Proposal		
Ensures corporate properties are suitable for users, meeting their needs.	Budgets set to ensure open spaces are maintained to a high standard and the buildings used by the public are safe.	Corporate properties are maintained to ensure that they can be used in ways that support the District is a place where people will want to live, work and visit.
Internal		
Effective Staff	**Maintain or Improve Services**	**Firm Financial Footing over the Longer Term**
Intended outcomes: All staff are properly trained All staff have the appropriate tools. All staff are engaged, empowered and supported The right people are in the right job with the right skills and right behaviours.	Intended outcomes: Focusing on our customers' needs Continuously improve our processes Increase the digital provision of services	Intended outcomes: Better return/use of our assets. Full Cost accounting Continued cost management. Maximise income earning opportunities. Seek best value for money.
Impacts of Proposal		
These General Fund budgets provide the necessary resources to achieve these outcomes	Enables needs to be met, and support improvement of services relating to Council Corporate Properties.	Ensures property assets remain suitable to meet service provision and the overall strategy of the Council.

4.2 **Supporting Strategies**

Each strand of the FFF Strategy has several supporting strategies. The proposed allocations directly support the maintenance and improvement of the Council's corporate assets that form part of the cultural offer available to residents and visitors in support of the Council's Vision of Warwick District being a great place to live, work and visit.

4.3 **Changes to Existing Policies**

The budgets proposed are in accordance with existing policies. The report does not propose any changes to the policies regarding the plan and strategy of the Council.

5. BUDGETARY FRAMEWORK

5.1 The Corporate Property Repair and Planned & Preventative Maintenance Programme budget requirement for 2018/19 is estimated as a maximum of £1,668,800, as set out in Table 1 below. This incorporates works required for the Planned & Preventative Maintenance (PPM) programme, the Responsive Repairs and Cyclical Maintenance budget requirement and also the slipped works from 2017/18.

Table 1

Work	Budget £	Expenditure programme £	Variance £
PPM	417,800	395,000	(22,800)
Responsive and Cyclical Maintenance	656,000	656,000	0
2018/19 Maintenance Total	**1,073,800**	**1,051,000**	**(22,800)**
Slipped Works form 2017/18	595,000	595,000	0)
TOTAL (inc. Slipped Works)	**1,668,800**	**1,646,000**	**(22,800)**

5.2 Details of the estimated expenditure for the 2018/19 PPM Programme are set out at **Appendix One**.

5.3 Works slipped from 2017/18 were originally allocated budget as per the March 2017 Corporate Property PPM report, agreed by Executive, and are detailed in **Appendix Two**. This budget has been carried forward to 2018/19.

5.4 The Responsive and Cyclical Maintenance budget allocation of £656,000 covers general building repairs, including mechanical and electrical repairs to the operational and non-operational corporate assets. This budget has been increased from £543,700 in 2017/18 following a review of cyclical contracts and responsive repair expenditure.

5.5 The forecasted PPM budget requirement for the 3 years after 2018/19 is set out in Table 2 below.

Table 2

Work	2019/20 £	2020/21 £	2021/22 £
PPM Budget	417,800	417,800	417,800
PPM anticipated expenditure	1,022,000	780,000	743,000
Corporate Asset Reserve Requirement	**604,200**	**362,200**	**325,200**

5.6 Table 2 outlines the amounts that would need to be released from the Corporate Asset Reserve to support the programme. The Corporate Asset Reserve is currently forecast to total £1,377,200 and could, therefore, accommodate the anticipated expenditure of £1,291,600 shown in the table.

5.7 However, the Corporate Asset Reserve will effectively be depleted beyond 2021/22 unless it is replenished in the meantime. Options to address this issue will be examined as part of the Corporate Asset Management Strategy report scheduled to be presented to Executive in the summer.

5.8 The programmes and budgets will be monitored on a monthly basis as part of the Council's budget management process. The budget will be overseen by the Assets Team within the Chief Executive's department. The monitoring process will ensure that planned works are still required, and are scheduled to be completed on time and to budget.

6. RISKS

6.1 The programme is itself a primary means of risk mitigation for the Council. The proposed allocations are recommended to ensure that the Council's corporate assets remain fit for purpose and meet all health and safety and other legislative requirements. The proposals are intended to limit the Council's exposure to contingent major repair costs, third party claims, and enforcement action from governing bodies (e.g. the Health & Safety Executive) while ensuring service continuity.

6.2 The risk of not adopting the proposed budget allocation is that the corporate assets will fall into disrepair and will no longer be fit for purpose increasing the Council's exposure to the categories of risk outlined in paragraph 6.1 above.

7. ALTERNATIVE OPTION(S) CONSIDERED

7.1 The Corporate Property Repair and Planned Maintenance Programmes could be reduced to a level that only supports necessary responsive repair works. However, it is considered that this approach would risk reducing the performance of the assets with the lack of a managed approach preventing underlying degradation of the building fabric to be proactively addressed. This would store up longer-term, potentially more costly maintenance liabilities that would have to be addressed in future budget setting.

7.2 Members could choose to recommend that only work covered by the recurring base budget should be undertaken, and to not take the additional money from the Corporate Asset Reserve to cover the full 2017/18 programme. However, officers consider that it would be prudent to fully fund the 2017/18 programme as this will ensure that the Council is undertaking preventative maintenance efficiently and that is will reduce the risk of diminished building operational performance by making use of available budget within the Corporate Asset Reserve.

Appendix One

Proposed Corporate Property & Planned Preventative Maintenance (PPM) Programme works 2018/19

Open Spaces	£148,000
Abbey Fields	£24,000
Myton Fields	£32,000
Wych Elm Drive	£21,000
Minor Works* at: Canalside, Clarendon Square, Coventry Road, Edmonscote Field, Gulliman's Way, Jephson Gardens, Kenilworth Common, Leamington Cemetery, Riverside walk, Newbold Comyn, Priory Park, Rushmore Street, Saltisford Common, St. Nicholas Park, The Dell, Twycross Walk, Victoria Park, York Walk	£71,000
Corporate Operational properties	£167,000
Edmondscote Athletic Track and Pavilion	£45,000
Newbold Comyn Sports Pavilion	£33,000
Minor works* at: Town Hall, Royal Pump Rooms, Jephson Lodge East, Harbury Lane Sports Pavilion, Newbold Comyn Sports Pavilion, Market Place toilets	£89,000
Car Parks	£80,000
West Rock	£61,000
Minor works* at: Abbey End, Abbey fields, Square West, Adelaide Bridge, Bath Place, Bedford Street, Chandos Street, Packington Place, Rosefield Street, Castel lane, Myton Fields, New Street, Priory Street, St. Mary's Lands 1-4, St. Nicholas Park, The Butts, West Gate	£19,000
PPM 2018/19 Works Total	**£395,000**

*Minor works are works costing less than £20,000 at an individual site

NB – all totals rounded to nearest 1,000

Appendix Two

Proposed Corporate Property Planned & Preventative Maintenance (PPM) Programme 2017/18 works to be slipped to 2018/19

Car Parks	£9,000
Minor works* at: Abbey End, Abbey Fields, Adelaide Bridge, Bedford Street, Castle Lane, Myton Fields, St. Mary's Lands 1 & 3, St. Nicholas Park	£9,000

Corporate Non-Operational properties	£86,000
Abbey Fields Barn	£60,000
Minor works* at: 44-46 Regent Street, Market Place, Market Street, Brunswick Street	£26,000

Open Spaces	£79,000
Cubbington Waterworks Park	£62,000
Minor Works* at: Abbey Fields, St. Mary's Lands	£17,000

Corporate Operational properties	£421,000
Jubilee House	£30,000
Jephson Gardens Restaurant & Temperate House	£30,000
Royal Pump Rooms	£83,000
Royal Spa Centre	£87,000
Town Hall	£85,000
Victoria Park Tennis Pavilion	£53,000
Minor Works* at: Leamington Cemetery, Kenilworth Cemetery, Oakley Wood Crematorium, Cemetery Lodges	£53,000

PPM 2018/19 Slipped Works Total	£595,000

*Minor works are works costing less than £20,000 at an individual site

NB – all totals rounded to nearest 1,000

	Executive Committee 5th April 2018	Agenda Item No.
WARWICK DISTRICT COUNCIL		**7**

Title	Community Infrastructure Levy (CIL) Regulation 123 List for 2018/19
For further information about this report please contact	Dave Barber – Head pf Development Services 01926 456065 Dave.barber@warwickdc.gov.uk
Wards of the District directly affected	All
Is the report private and confidential and not for publication by virtue of a paragraph of schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006?	No
Date and meeting when issue was last considered and relevant minute number	15th November 2017 Minute no. 83
Background Papers	Draft Reg 123 List adopted 15th November 2017

Contrary to the policy framework:	No
Contrary to the budgetary framework:	No
Yes	No
Included within the Forward Plan? (If yes include reference)	Yes – Ref 921
Equality Impact Assessment Undertaken	No
Not applicable	

Officer/Councillor Approval		
Officer Approval	**Date**	**Name**
Chief Executive/Deputy Chief Executive	14/3/18	Chris Elliott/Bill Hunt
Head of Service	02/3/18	Dave Barber
CMT	14/3/18	Bill Hunt
Section 151 Officer	14/3/18	Mike Snow
Monitoring Officer	14/3/18	Andrew Jones
Finance	14/3/18	Jenny Clayton
Portfolio Holder(s)	15/3/18	Cllr Alan Rhead
Consultation & Community Engagement		
The Infrastructure Delivery Plan (IDP) was subject to consultation as part of the Local Plan process. The CIL Regulation 123 is based on the IDP. In developing the proposals in the Reg 123 list, there has been significant consultation with Infrastructure Providers including Warwickshire County Council, SWFT, the Clinical Commissioning Group, the Police, and other services within WDC.		
Final Decision?	Yes	
Suggested next steps (if not final decision please set out below)		

1. **Summary**

1.1   The report sets out the proposed CIL Regulation 123 list for 2018/19 as the basis for focusing the distribution of CIL receipts collected during the year.

2. **Recommendation**

2.1   That Executive approves the CIL Regulation 123 List set out in Appendix 1

2.2   That the table set out at paragraph 3.8 below is used as the basis for distributing CIL receipts collected during 2018/19.

3. **Reasons for the Recommendations**

3.1   In preparing the proposals for the Reg. 123 List, officers have consulted with Infrastructure Providers including Warwickshire County Council, NHS South Warwickshire Foundation Trust, the Clinical Commissioning Group, the Police, and other services within WDC. These providers have submitted proposals for consideration for inclusion in the Reg. 123 list for 2018/19. A full description of the submitted proposals is set out in Appendix 2. Having assessed these proposals, taking particular account of likely CIL receipts for the year and alternative sources of funding, the recommended CIL Reg. 123 list is set out in Appendix 1.

3.2   In August 2017, in conjunction with the Development Portfolio Holder, the following criteria were put forward as the basis for assessing proposals for the Reg. 123 list:
   o Identified benefits of project
       § Relationship to development proposed within the Local Plan
       § Extent to which project addresses current and projected issues
       § Anticipated impact on infrastructure capacity once project completed
   o Identification of the project within the IDP
   o Overall cost of project
   o Required level of funding from CIL (taking account of other sources of funding and the degree to which these are committed)
   o State of progress (is the scheme clearly planned and deliverable within the timescale envisaged?)
   These criteria have been circulated to infrastructure providers to help shape their proposals and have been used to assess the proposals as set out in the table below.

3.3   These criteria were identified to provide a way of fairly assessing infrastructure proposals from different organisations. In doing, officers have been conscious that, although Warwick District Council is the CIL charging authority and has the ultimate say on where CIL money is spent, the purpose of CIL is to collect money to spend on infrastructure that the community needs. In this context, the relationship between the Reg. 123 List and the Infrastructure Delivery Plan is important. The IDP is underpinned by an evidence base which was prepared alongside the Local Plan. Schemes in the IDP have therefore been identified as being priorities to address the impact of growth. It is therefore reasonable to use the IDP as the starting point for the Reg. 123 list as we can be confident that the benefits of these schemes have been evidenced and tested alongside the Local Plan preparation and examination.

3.4   It should also be noted that the CIL regulations prevent Section 106 contributions being sought for any items that are included within the Reg.123 List. It is therefore important to consider which infrastructure projects are directly related to specific developments (and are therefore best funded through Section 106 contributions) and which relate either a large number of developments or do not relate well to any specific development, in which case CIL may be more appropriate.

3.5   A summary of the assessment of each proposal is set out below:

Infrastructure Project Title	Total CIL requested 2018-2023	CIL requested 2018/19	Assessment	Include in reg 123? y/n
Improvements to Destination Parks – St Nicholas, Warwick and Abbey Fields, Kenilworth	£4.00m	Nil	Aligns with IDP and given nature and location infrastructure may be difficult to achieve through S106 funding.	Yes
Tach Brook Country Park Visitor and Interpretation Centre	£500k	£100k	Total project cost is around £2.1m. Much of these is already funded through Section 106 agreements. The specific proposals are not included in IDP, although adds value to Country Park proposals. The may be potential to explore alternative delivery models and/or other sources of funding	No
Improvements to Neighbourhood Parks and Local Green Spaces	£800k	£50k	In general these are local impacts only. Although the project(s) may be appropriate for CIL funding, it is suggested that they are a lower priority than other proposals	No
Warwickshire Fire & Rescue Service - Equipment Costs to Enable Service Provision	£28.5k	£5k	This is a revenue cost. Although the impact of development on this service is understood, it is not considered appropriate for inclusion within CIL reg. 123 list	No
Bath Street Improvement Scheme	£3.9m	£70k	This is an area of significant congestion which requires improvements. It is defined as a key project within the IDP and due to the pattern of development across the District, there are unlikely to be significant S106 contributions available. It aligns well with the Creative Quarter proposals in terms of both location and timing. No other sources of funding have been identified.	Yes
Emscote Road Multi Modal Corridor Improvements	£1.66m	£200k	Contribution towards a wider package of improvements along main link between Warwick and Leamington. This is an area of significant congestion which requires improvements. It is defined as a key project within the IDP and due to the pattern of development across the District, there are unlikely to be significant S106 contributions available. In addition to CIL, around £890k may be available from other sources of funding (such as Section 278)	Yes

Infrastructure Project Title	Total CIL requested 2018-2023	CIL requested 2018/19	Assessment	Include in reg 123? y/n
Warwick Town Centre Improvement works – traffic flow changes, junction enhancements and improved pedestrian and cycle connectivity	£1.98m	Nil	Contribution towards a wider package of improvements in the Town Centre. It is defined as a key project within the IDP and due to the pattern of development across the District, there are unlikely to be significant S106 contributions available. Total project costs are approx. £4.1m. It is expected that specific projects within wider scheme may be funded from S106 to fund around £2.1m	Yes
Public Health - miscellaneous wider health and wellbeing infrastructure (including green gyms, community defibrillator, benches, cycle parking, measured miles, electric vehicle charging points)			Not included in IDP and proposals not sufficiently specific for inclusion at this stage. Could be funded or provided either part of planning application schemes. Improvement to parks or by discussing with T&PCs regarding their share of CIL	No
Kenilworth Leisure (Phase 2): Castle Farm Recreation Centre	£4.4m	£250k	Included in IDP and is part of WDC's commitment to improve leisure infrastructure in Kenilworth. Whilst S106 contributions could be justified, pooling restrictions suggest this may not provide sufficient funding	Yes
Kenilworth Leisure (Phase 2) Abbey Fields Leisure facilities	£4.4m	£250k	Included in IDP and is part of WDC's commitment to improve leisure infrastructure in Kenilworth. Whilst S106 contributions could be justified, pooling restrictions suggest this may not provide sufficient funding	Yes
Medical facilities - North Leamington Spa (Cubbington/Lillington)	£6m (TBC)	Nil	Included in IDP as a key project. Given the pattern of development there are unlikely to be significant opportunities to identify S106 contributions.	Yes
Medical facilities - Leamington Spa Town Centre	£6m (TBC)	Nil	Could be part of CIL in future but uncertain whether this is desirable or feasible and requires further development	No
Wayfinding	£140k	£70k	Whilst not included specifically in IDP, this project supports proposals to improve accessibility in Town Centres for cyclists and pedestrians	Yes

3.6 The schemes in the table above identified as fitting the Reg. 123 criteria total £26.44m for the period 2018 to 2023. This exceeds the predicted CIL income (see paras 5.2 and 5.3 below) of £17.7m to £20m. For 2018 alone the schemes total £840,000. This can be accommodated within the predicted CIL income (see paras 5.2 and 5.3 below) of £1.65m to £1.87m, with any balance rolled forward to support funding in 2019/20. To manage the risk that development may not come forward in line with the Housing Trajectory, it is proposed that

the total cost of schemes over 5 years to be included within the Reg.123 risks should not exceed £17.7m. It is therefore necessary to further prioritise these schemes to ensure CIL provides sufficient funds to deliver.

3.7 Prioritised proposals: The table below shows only those infrastructure projects that have been assessed as being proposed for inclusion in the 2018/19 CIL Reg 123 List (see projects identified as "yes" in the table above). As a number of the proposed projects are in early feasibility and design stages or may have access to other sources of funding, it is proposed that the level of CIL allocated to these can be reduced. To align the potential costs with projected receipts, it is proposed that the Reg 123 List is comprised of the Infrastructure projects set out in the table below and that over the 5 year period 2018 to 2023, the CIL receipts contribute accordingly:

Infrastructure Project	Requested	Proposed 18-23	Comment
Destination Parks	£4.0	£3.0m	Project still being scoped. This provides potential to prioritise works to align with CIL receipts, therefore full request may not be required.
Bath Street Improvement Scheme	£3.9m	£3.9m	
Emscote Road Multi Modal Corridor Improvements	£1.6m	£1.6m	
Warwick Town Centre Improvement works	£2.0m	£2.0m	
Kenilworth Leisure (Phase 2): Castle Farm Recreation Centre	£4.4m	£4.2m	Project still being scoped. Reduction by £200k can be addressed either through design or alternative sources of funding.
Kenilworth Leisure (Phase 2) Abbey Fields Leisure facilities	£4.4m	Nil	Not included in Reg 123 List but there is potential for Section 106 contributions to support this project
Medical facilities - N Leamington (Cubbington/Lillington)	£6.0m	£2.8m	The requested amount reflects the potential total cost of a new health facility. However as there are likely to be alternative sources of funding, it is unlikely that the whole amount will need to be funded from CIL. It may also be that the scheme, once designed, will be less expensive.
Wayfinding	£0.14m	£0.14m	
Total		**£17.64m**	

3.8 Some of the Infrastructure Projects within the proposed Reg 123 list do not require specific funding during 2018/19. It is therefore proposed that CIL receipts during 2018/19 be applied as follows:

Infrastructure Project	Proposed 18/19	Percentage
Destination Parks	Nil	-
Bath Street Improvement Scheme	£70k	8.3%
Emscote Road Multi Modal Corridor Improvements	£200k	23.8%
Warwick Town Centre Improvement works	Nil	-
Kenilworth Leisure (Phase 2): Castle Farm Recreation Centre	£500k	59.5%
Medical facilities - N Leamington (Cubbington/Lillington)	Nil	-
Wayfinding in Leamington, Kenilworth and Warwick	£70k	8.3%
Total	**£840k**	

3.9 Any surplus in CIL receipts for 2018/19 over and above £840,000 will be carried forward to 2019/20 and applied proportionately to the Reg 123 list priorities for 2019/20. There are three schemes in the Reg 123 list (destination parks; Warwick Town Centre Improvements; and N Leamington Medical facilities) which do not specifically require funding in 2018/19. These are included for transparency as each of them will require significant CIL funding in future years and any surplus in CIL receipts in 2018/19 may be applied to these schemes. It is therefore appropriate to include these from the start to ensure Section 106 agreements do not require future amendments.

4. **Policy Framework**

4.1 **Fit for the Future (FFF)**

The Council's FFF Strategy is designed to deliver the Vision for the District of making it a Great Place to Live, Work and Visit. To that end amongst other things the FFF Strategy contains several Key projects.

The FFF Strategy has 3 strands – People, Services and Money and each has an external and internal element to it. The table below illustrates the impact of this proposal if any in relation to the Council's FFF Strategy.

FFF Strands		
People	**Services**	**Money**
External		
Health, Homes, Communities	**Green, Clean, Safe**	**Infrastructure, Enterprise, Employment**
Intended outcomes: Improved health for all Housing needs for all met Impressive cultural and sports activities Cohesive and active communities	Intended outcomes: Area has well looked after public spaces All communities have access to decent open space Improved air quality Low levels of crime and ASB	Intended outcomes: Dynamic and diverse local economy Vibrant town centres Improved performance/ productivity of local economy Increased employment and income levels
Impacts of Proposal		
Will help co-ordinate the timely provision of infrastructure such as schools, community spaces, medical facilities that are essential to enable the growth required in the Local Plan	Will help co-ordinate the timely provision of infrastructure such as new parks, play areas and open spaces that are essential to enable the growth required in the Local Plan	Will help co-ordinate the timely provision of infrastructure such as roads that are essential to enable the growth required in the Local Plan
Internal		
Effective Staff	**Maintain or Improve Services**	**Firm Financial Footing over the Longer Term**
Intended outcomes: All staff are properly trained All staff have the	Intended outcomes: Focusing on our customers' needs Continuously improve	Intended outcomes: Better return/use of our assets Full Cost accounting

appropriate tools All staff are engaged, empowered and supported The right people are in the right job with the right skills and right behaviours	our processes Increase the digital provision of services	Continued cost management Maximise income earning opportunities Seek best value for money
Impacts of Proposal		
None	None	None

4.2 Supporting Strategies

The CIL Regulation 123 list aligns with the Infrastructure Delivery Plan which formed a key part of the Local Plan evidence base. The CIL scheme ensures the delivery of appropriate infrastructure to enable the growth required through the plan period. It therefore directly supports the Local Plan.

5. Budgetary Framework

5.1 There are no direct budgetary implications associated with the recommendations. Funding to appoint a CIL Officer to coordinate the work to collect CIL monies is already in place and the recruitment process has taken place.

5.2 If the Local Plan Housing Trajectory is achieved for 2018/19, CIL is predicted to deliver approximately £2,200,000 during 2018/19 and a total of approximately £23,600,000 between 2018 and 2023. It should be noted however, that CIL is payable within 60 days of developments starting on site. CIL receipts are therefore heavily dependent which developments start during any given year. Therefore the actual amount of CIL received is not easy predict accurately.

5.3 It should also be noted that a proportion of CIL receipts (15% or 25% - see para 8.5 below) must be distributed to Town and Parish Councils. This proportion does not need to be spent on items within the Reg 123 list. Therefore the amount of money available for projects within the Reg 123 list is predicted to be in the range of £1,650,000 to £1,870,000 for 2018/19 and £17,700,000 to £20,000,000 for the 5 year period to 2023.

6. Risks

6.1 The predicted CIL income is derived from the Local Plan Housing Trajectory. There is a risk that housing will not come forward at the rate suggested in the trajectory. Were this to be the case the actually amount of CIL received during 2018/19 may be lower than predicted. The same applies to the predicted receipts over the five year period to 2023. In this event, the CIL Reg. 123 List will be adjusted during 2018/19 including potentially re-prioritising some infrastructure projects. Further adjustments will then also be made in March/April 2019 when proposals are brought forward for the 2019/20 CIL Reg. 123 list.

7. Alternative Option(s) considered

7.1 Appendix 2, sets out the full range of proposals that have been put forward by infrastructure providers for inclusion in the 2018/19 Reg. 123 list. From this it

can be seen that a number of proposals have been excluded from the Reg. 123 list. From this full range of proposals, members could choose different priorities for inclusion. However, this is not recommended for the reasons set out Appendix 2 for the exclusion of proposals.

8.   **Background**

   General information about CIL

8.1   The Community Infrastructure Levy (CIL) was introduced under the Planning Act 2008 and is a tariff system that enables local authorities to make a charge on new development to fund infrastructure needed to support development. The CIL Regulations came into effect in April 2010 and minor amendments were made to the Regulations in April 2011. Further Regulations were published during 2012.

8.2   CIL is a charge on new development; it is charged per square metre on net additional floor-space of development. CIL is not charged on social housing and developments used for charitable purposes. The amount payable will be set at the time planning permission is granted and payment will be linked to the commencement of development. Larger amounts will be payable in instalments over fixed time periods.

8.3   CIL is intended to complement rather than replace other funding streams and is intended to promote development rather than hinder it. Its main advantages are that:
   - It is modest representing around 2-5% of total development costs and is not charged on types of development that cannot sustain it.
   - It is a fixed, non-negotiable charge and is therefore transparent and predictable.
   - It is less time-consuming and complicated than Section 106 planning obligations, with less need for protracted negotiations with applicants and the drawing up of legal agreements (although these will still be required to secure affordable housing and addressing site specific mitigation).

8.4   Unlike funding from Section 106 agreements, CIL funds can be spent on a wide range of infrastructure to support development without the need for a direct geographical or functional relationship with the development. Section 106 agreements will still be used, but in a more focused way to directly provide both 'off-site' infrastructure, (through financial contributions), and 'on site' improvements through site specific obligations.

8.5   Warwick District Council is responsible for collecting CIL monies due. A proportion of the money collected is distributed to Town and Parish Councils in which developments fall. For Town and Parish Councils with an adopted Neighbourhood Plan this proportion is 25%, for Councils without an adopted Neighbourhood Plan this is 15%. This proportion must be spent to support the impacts of developments on local communities.

8.6   To adopt a CIL Charging Schedule, we will need to demonstrate that there is a funding gap which exceeds the likely receipts from other sources. This is set out in a live and evolving document called a Reg. 123 List.

Warwick District Council

Community Infrastructure Levy

Regulation 123 List 2018/19

Infrastructure Project	Project Description
Improvements to Destination Parks – St Nicholas, Warwick and Abbey Fields, Kenilworth	Proposed improvements to the two key Destination Parks which have a key strategic role in the provision of open space in the District. The proposals for St Nicholas are based upon the previous HLF bid and improvements to Myton Fields, whilst those for Abbey Fields, seek to build upon the existing heritage as a Scheduled Ancient Monument.
Bath Street Improvement Scheme	The Bath Street Improvement Scheme also known as the Bath Street Gyratory Scheme is a transport infrastructure proposal that delivers a host of much-needed highway and transport improvements in the Bath Street area of Leamington Spa. The proposed infrastructure is fundamental to alleviating the Bath Street area's known air quality issue, (which is an Air Quality Management Area (AQMA)); it provides better accessibility to Leamington Spa's railway station and Leamington South, for all modes of transport, and gives vitality to an area of Leamington that is otherwise declining.
Emscote Road Multi Modal Corridor Improvements	Multi modal improvements, including improved cycle infrastructure, improvements to Portobello Bridge, carriageway improvements and junction improvements to the following: St Johns/Coventry Road, Emscote Rd / Greville Road, Rugby Road/Warwick New Road & Princes Drive/ Warwick New Road.
Warwick Town Centre Improvement works	The improvement works for Warwick town centre include revised traffic flows through the town centre, junction enhancements and improved pedestrian and cycle connectivity.
Kenilworth Leisure (Phase 2): Castle Farm Recreation Centre	The Council is committed to improving leisure facilities in Kenilworth including the facilities at Castle Farm. Following approval by Executive in Feb 2018, professional services will be appointed to work with the Council to consider options for this site (and Abbey Fields). A further report will go back to Executive in summer 2018, followed by public consultation on initial options. From this point, the project will follow the RIBA framework to develop a scheme which is appropriate and viable

	for Castle Farm.
Medical facilities - N Leamington (Cubbington/Lillington)	New GP Surgery or new Hub (incorporating primary medical care and community services) in the Cubbington/Lillington area
Wayfinding in Leamington, Kenilworth and Warwick	Review and replacement of pedestrian / cycle signage and way marking in Leamington, Warwick and Kenilworth town centres

Agreed: 5th April 2018

REG 123 Proposals

Title of Project	Organisation	Description of Project	In IDP? (y/n)	Benefits	Completion Date	Timetable/Key Dates	CIL 2018/19	CIL 2018 to 2023	Total Project Cost 2018/23
Improvements to Destination Parks – St Nicholas, Warwick and Abbey Fields, Kenilworth	WDC	Proposed improvements to the two key Destination Parks which have a key strategic role in the provision of open space in the District. The proposals for St Nicholas are based upon the previous HLF bid and improvements to Myton Fields, whilst those for Abbey Fields, seek to build upon the existing heritage as a Scheduled Ancient Monument.	Y G16	Improvements to the two parks will improve the attractiveness of the area for local residents and visitors but also address the ongoing maintenance and management issues, such as car parking and access. They attract visitors beyond their immediate environs and these improvements will ensure that this continues without harming the inherent qualities of each park.	2021/2022	a) Preparation and Design: 2019/20 b) Start on site: 2020/21 c) Completion on site: 2021/22	Nil	£4,000,000	£4,000,000
Tach Brook Country Park Visitor and Interpretation Centre	WDC	To provide a visitor and interpretation centre to complement the development of the Tach Brook Country Park, incorporating toilets and café facilities.	Y G11	The Country Park will address an identified need for additional accessible natural green space to the south of Leamington and Warwick, a need heightened by the extent of new residential development in this part of the District. It will provide a new and accessible park and associated facilities, linking in the new development through a network of paths but also providing the opportunity to provide a green link through to both Warwick and Whitnash and beyond. The park will be of a sufficient size as to be attractive to people beyond the immediate area, hence the need for the visitor centre to complement the green open space. This is in addition to the function of providing a strong and functional green buffer between the new development and Bishops Tachbrook.	2020/2021	a) Preparation and Design: Tender for a Design Team issued March 2018; appointing May 2018. Procurement of a construction contractor in Quarter 1 2019/20. b) Start on site: Quarter 2 2019/20 c) Completion on site: Quarter 2 2020/21	£100,000	£500,000	£2,100,000
Improvements to Neighbourhood Parks and Local Green Spaces	WDC	Proposed improvements to 13 Neighbourhood Parks and Green Spaces in the District to bring them up to "Good" quality as set out in the nationally-recognised Green Flag Award self-assessment. The programme is the final part of the Green Space Strategy for Warwick District 2012-2026 which established the framework for the improvement of the District's parks and green spaces.	Y G17	The 13 sites are located across the District as identified through the Parks Audit and will have the result of bringing the remaining sites up to "Good" standard in line with the others either completed or planned.	2022/2023	a) Preparation and Design: b) Start on site: c) Completion on site: 2019/20 – 5 sites; 2020/21 – 6 sites; 2021/22 – 1 site; 2022/23 – 1 site	£50,000	£800,000	£900,000
Warwickshire Fire & Rescue Service - Equipment Costs to Enable Service Provision	WCC	Urban growth and new development schemes place additional demands on WFRS infrastructure. Current Fire Station locations in the Warwick District will remain suitable for emergency response; however, any developments in the locality will continue to stretch our resources. There would be a consequential requirement for additional staff to maintain our current service provision, in particular with regards to prevention activities, operational risk reduction and data gathering. This infrastructure project, which is appropriate to enable WFRS to maintain its current levels of service delivery, relates to the provision of necessary equipment for new staff, along with any	N	Once the project is completed and embedded within the service delivery programme, the following additional benefits are anticipated: • Ability to maintain the current service provision in the area with regards to hydrant inspection • Community safety and wellbeing is sustained within the locality • Firefighter safety is not compromised • There will not be a diminished service resulting in reduced safety in other localities • Fire Prevention activities, such as Safe and Well visits, can be maintained at current levels to vulnerable members of the community • Removes unacceptable pressure on existing staff to meet the current required level of inspections across the whole		a) Preparation and Design: April 2018 b) Completion: April 2019	£5,000	£28,500	£28,500

Title of Project	Organisation	Description of Project	In IDP? (y/n)	Benefits	Completion Date	Timetable/Key Dates	CIL 2018/19	CIL 2018 to 2023	Total Project Cost 2018/23
		set up costs incurred.		county					
Bath Street Improvement Scheme	WCC	The Bath Street Improvement Scheme also known as the Bath Street Gyratory Scheme is a transport infrastructure proposal that delivers a host of much-needed highway and transport improvements in the Bath Street area of Leamington Spa. The proposed infrastructure is fundamental to alleviating the Bath Street area's known air quality issue, (which is an Air Quality Management Area (AQMA)); it provides better accessibility to Leamington Spa's railway station and Leamington South, for all modes of transport, and gives vitality to an area of Leamington that is otherwise declining. Infrastructure that is provided in the Bath Street Improvement Scheme is as follows: • A new one-way two lane gyratory system utilising Bath Street, High Street, Lower Avenue and Spencer Street; • New kerb alignments to improve capacity for all road-users; • A new segregated shared use path parallel to Lower Avenue that connects to the Station Approach development and the rear of Leamington Spa railway station; • A potential bus gate and bus waiting area on the corner of High Street and Lower Avenue to improve bus user experience; • Shared-use facilities on the north side of High Street, which include upgrading the existing pedestrian crossing to a Toucan facility; • Bus stop improvements such as wider platforms and parking bays; • Better signage to and from the railway station and the town centre; and • A potential shared use bridge across the River Leam that will form part of a new cycle and pedestrian link between Lower Avenue/Spencer Street and the Pumps Room Gardens.	Y T5	By reconfiguring the road-space in the area, the scheme is able to provide an overall better experience for all road users through improvements to public transport infrastructure thanks to new a bus interchange, better cycle and walking infrastructure, and a more efficient road system that provides less queuing time for traffic, which in turn presents journey time savings for motorists. With the scheme implemented, the area is set to see an improvement in air quality to a level that is acceptable and in line with national standards. Improvements in air quality will provide assist in improved public health for those that live and work in this area and those that travel through it (the latter being a significant amount of people). The scheme will also provide an overall rejuvenation of the Bath Street area in which new business can grow and the where the local economy can flourish. These ties in with aspirations of the Coventry and Warwickshire Local Enterprise's Strategic Economic Plan, which seeks to develop Leamington Spa into a creative/digital sector. An economic analysis of the Bath Street Improvement scheme as described in the 'Description of Infrastructure' section of this form is given below. The analysis provides a benefit cost ratio (BCR) and net present value (NPV) for future years. 2020, 2025 and 2031 achieves a BCR of 11.95 with a NPV of £28.73m; whilst 2020, and 2025 only, achieves a BCR of 7.85 with a NPV of £17.96m The longer the scheme is in place, the greater the economic benefit. Gross Value Added (GVA) is calculated at £159k With the Bath Street Improvement Scheme implemented reductions in traffic volumes are achieved, which in turn lessens congestion and this directly improves air quality. The graphs below demonstrate this reduction in traffic volume and congestion compared to the do nothing scenario, which is to leave the Bath Street area as it is. The do nothing scenario is given as ref and do something scenario as DS.	2020/2021	a) Preparation and Design: March 2019 – December 2019 b) Start on site: May 2020 c) Completion on site: September 2020	£70,000	£3,895,000	£3.895,000
Emscote Road Corridor Improvements	WCC	Multi modal improvements, including improved cycle infrastructure, improvements to Portobello Bridge, carriageway improvements and junction improvements to the following: St Johns/Coventry	Y T4	The project will; • Address existing congestion issues by improving the capacity of the corridor	2021/2022	a) Preparation and Design: 2018-19 b) Start on site: 2019 c) Completion on site: 2021/22	£200,000	£1,660,000	£2,549,902

Title of Project	Organisation	Description of Project	In IDP? (y/n)	Benefits	Completion Date	Timetable/Key Dates	CIL 2018/19	CIL 2018 to 2023	Total Project Cost 2018/23
		Road, Emscote Rd / Greville Road, Rugby Road/Warwick New Road & Princes Drive/ Warwick New Road.		• Address existing severance issues through provision of additional crossing points • Encourage modal shift through provision of improved cycle infrastructure, enabling the capacity improvements required to allow further growth • Improve safety for cyclists along the corridor • Increase the potential for bus priority measures at key pinch points • Complement the Warwick Town Centre Improvements • Reduce car-based trips into and out of the Air Quality Management Area • Contribute to the WDC commitment to reduce CO_2 emissions • Improve access to Warwickshire College • Improve network capacity around Victoria Park, which is a venue for the Commonwealth Games in 2022					
Warwick Town Centre Improvement works – traffic flow changes, junction enhancements and improved pedestrian and cycle connectivity	WCC	The improvement works for Warwick town centre include revised traffic flows through the town centre, junction enhancements and improved pedestrian and cycle connectivity. The specific proposals include: - one-way proposals for High Street/Jury Street (eastbound) along with widening of pavements and a cycle contraflow along part of the length of the route; - one-way proposals for The Butts (northbound) along with widening of pavements; - traffic restrictions along Castle Lane in order to protect local residents from rat-running once the one-way eastbound on High Street / Jury Street is in place; - junction alterations at Eastgate / Westgate / St Johns to reduce the footprint of the junctions , improve connectivity for pedestrians and cyclists and facilitating traffic flows. The above works will complement the recent introduction of a 20mph zone in Warwick town centre and associated physical infrastructure works along Priory Road.	Y T15a	If schemes are not put in place for the town centre, there will be an unacceptable level of congestion and delay on the highway network due to the housing growth. The one-way proposals and associated junction alterations will improve traffic flow in the town centre by reducing vehicle conflict. This will bring about a reduction in average journey times and delay for motorists. There will be improved connectivity links for pedestrians and cyclists throughout the town enabling easier access to key services and employment. The proposals will also allow for modal shift which in turn will reduce the overall impact of the Local Plan Growth on the Highway Network. This scheme aims to actively manage the growth in the district by looking to make maximum use of public transport, walking and cycling which will help contribute to making developments more sustainable. The scheme will also allow for an improvement to safety for pedestrians and cyclists through widening of footways to create inclusive and accessible places. Wider objectives will include: - air quality improvements (through improved traffic flow and encourage the take-up of active travel modes); - an enhanced historic setting for key town centre gateways and streets; - Town Centre Business – By providing better connectivity links to the town centre for cyclists and pedestrians the opportunities for footfall increases.	2022/2023	a) Preparation and Design: within 2 years b) Start on site: 2-5 years c) Completion on site: 5 years	Nil	£1,982,000	£4,126,000
Public Health Asks	WCC	Wider health and wellbeing infrastructure including green gyms, community defibrillator,	N	The project will help to ensure a cohesive and active community and encourage residents to be physically active and utilise outside			N/A	N/A	N/A

Title of Project	Organisation	Description of Project	In IDP? (y/n)	Benefits	Completion Date	Timetable/Key Dates	CIL 2018/19	CIL 2018 to 2023	Total Project Cost 2018/23
		benches, cycle parking, measured miles, electric vehicle charging points		space more. This will ultimately improve health and wellbeing outcomes.					
Castle Farm Recreation Centre	WDC	Phase II of the Leisure Development Programme is in the early stages of development. Subject to approval by Executive in Feb 2018, professional services will be appointed to work with the Council to consider options for this site (and Abbey Fields). A further report will go back to Executive in summer 2018, followed by public consultation on initial options. From this point, the project will follow the RIBA framework to develop a scheme which is appropriate and viable for Castle Farm.	Y ISF1	Modernised facilities that will future proof provision for the next 20/30 years. The current facilities were built in 1983 and whilst there has been some refurbishment in the intervening 35 years, the provision has fallen behind the expectations of modern communities in some specific areas. Changing provision is dated, there is a demand for more water space to accommodate a wide range of users, and the outdoor pool area is need of significant investment if it is to be retained. Implementing these improvements will result in the facilities meeting the current standards expected by Sport England and comply with the recommendations driven by the recent Sport England Facility Planning Model exercise (Oct 2017) Increased capacity of facilities for the growing population of Kenilworth. The sports hall is already operating at or very close to capacity at certain times of the week/year. The additional housing in the area will bring with it new potential customers, thus placing more pressure on the current provision. IN addition to the growth from the new housing, the agreement has already been made that the leisure centre will expand to accommodate cricket nets for Kenilworth Wardens. Any new design needs to be based on the equivalent of 6 badminton courts. There is an opportunity to improve the energy efficiency of the building and the activities within it. Much of the existing plant is nearing the end of its life and could be replaced with more efficient and sustainable plant. Any new build should be delivered using new materials to improve the efficiency and sustainability of the facilities. Depending on the decision taken regarding the best location for the Scouts ie at Castle Farm or at a new site elsewhere in the town, the outcome must be expanded and improved facilities for Kenilworth Scouts & Guides as they are already operating at capacity and new houses means more new recruits for this valuable "youth organisation" that makes a significant contribution to the area. An indirect outcome of improving the facilities will be improved income generation to the Council as a result of renegotiation of the Leisure contract to reflect the improved facility mix	2020/2021	a) Preparation and Design: 2018 b) Start on site: 2019 c) Completion on site: 2020	£250,000	£4,400,000	£4,400,000
Abbey Fields Leisure facilities	WDC	Phase II of the Leisure Development Programme is in the early stages of development. Subject to approval by Executive in Feb 2018, professional services will be appointed to work with the Council to consider options for this site (and Castle Farm). A further report will go back to Executive in summer 2018, followed by public consultation on	Y ISF1	Modernised facilities that will future proof provision for the next 20/30 years. The current facilities were built in 1983 and whilst there has been some refurbishment in the intervening 35 years, the provision has fallen behind the expectations of modern communities in some specific areas. Changing provision is dated, there is a demand for more water space to accommodate a wide range of users, and the outdoor pool area is need of significant	2020/2021	a) Preparation and Design: 2018 b) Start on site: 2019 c) Completion on site: early 2020	£250,000	£4,400,000	£4,400,000

Title of Project	Organisation	Description of Project	In IDP? (y/n)	Benefits	Completion Date	Timetable/Key Dates	CIL 2018/19	CIL 2018 to 2023	Total Project Cost 2018/23
		initial options. From this point, the project will follow the RIBA framework to develop a scheme which is appropriate and viable for Abbey Fields Swimming Pool.		investment if it is to be retained. Implementing these improvements will result in the facilities meeting the current standards expected by Sport England and comply with the recommendations driven by the recent Sport England Facility Planning Model exercise (Oct 2017) Increased capacity of facilities for the growing population of Kenilworth. The pool is already operating at or very close to capacity at certain times of the week/year. The additional housing in the area will bring with it new potential customers, thus placing more pressure on the current provision. There is an opportunity to improve the energy efficiency of the building and the activities within it. Much of the existing plant is nearing the end of its life and could be replaced with more efficient and sustainable plant. Any new build should be delivered using new materials to improve the efficiency and sustainability of the facilities. There may be associated opportunities to expand the activities provided from the extended venue for customers and visitors to the park. This would encourage more people to the park and indirectly encourage more active lifestyles for the local community. An indirect outcome of improving the facilities will be improved income generation to the Council as a result of renegotiation of the Leisure contract to reflect the improved facility mix					
North Leamington Spa (Cubbington/Lillington)	CCG	New GP Surgery or new Hub (incorporating primary medical care and community services)	Y H8	Existing primary care facilities in Lillington are at capacity and the surgery is actively seeking new premises. This is made more pressing by increases in population in Cubbington following housing allocations in the Local Plan. The CCG is also in discussions with SWFT and Public Health Warwickshire about new ways of delivery health care in this area, and a new hub would facilitate this. This initiative would support efforts by the Warwick District Council and health providers to support communities in this area. Within Crown ward in particular, there are a number of indicators of poor health and a new public health hub would assist in tackling these.	Target 2020/21		Nil	£6,000,000	£6,000,000
Leamington Spa Town Centre	CCG	New GP Surgery in Leamington Spa Town Centre.	Y H9	Leamington town centre has seen a considerable increase in population in recent years and this has put strain on existing GP practices in the town centre. The CCG is considering opportunities to relocate and co-locate two existing town centre GP practices in a central location which can best meet the needs of the growing population. Both of these practices is at or near capacity, and one is operating from a converted house which makes providing flexible responseeealthcare difficult.	Target 2022/23		N/A	N/A	N/A

Title of Project	Organisation	Description of Project	In IDP? (y/n)	Benefits	Completion Date	Timetable/Key Dates	CIL 2018/19	CIL 2018 to 2023	Total Project Cost 2018/23
District towns wayfinding	WDC / WCC	Review and replacement of pedestrian / cycle signage and way marking in Leamington, Warwick and Kenilworth town centres	No but links with T15a (see above)	There are recognised issues with the existing network of fingerposts and other signage for pedestrians and cyclists in our town centres. In respect of Leamington town centre:- • The present network of fingerposts is sometimes confusing, particularly when directing people to and from Leamington station. • The current signs are old and cannot be effectively repaired. • There has been new development, particularly around Leamington station, creating new footpath links which are now not properly waymarked. The Leamington town centre vision & strategy, developed by the Leamington Town Centre Forum (of which WDC and WCC are members) identified improving signage for pedestrians and cyclists as a key priority for the town centre. In Kenilworth town centre there is no signposting to the new railway station. Also, more could be done to provide wayfinding information between key visitor points including the town centre and Castle. In Warwick, there is a need to review waymarking to ensure that existing and new attractions and visitor destinations are properly marked. This proposal would remedy the problems identified above and significantly enhance walking and cycling in the town centres. In Leamington, some of these improvements would be delivered as part of wider public realm improvements as part of the Bath Street Improvement Scheme (see above) however this scheme is wider than that proposed above and would, potentially cover the whole of the town centre. The Leamington proposals would also complement Leamington's Creative Quarter initiative and the support improvements in advance of the 2022 Commonwealth Games.	2020/21	TBA	£70,000	£70,000	£140,000

Notes:

1. Police have confirmed that they do not want any projects on the Reg. 123 Schedule List. They will continue to negotiate S106 Contributions from development where appropriate.
2. Awaiting SWFT proposals.

Abbreviations

WDC   Warwick District Council
WCC   Warwickshire County Council
CCG   NHS South Warwickshire Clinical Commissioning Group
SWFT   NHS South Warwickshire Foundation Trust

	Executive Report 5th April 2018	**Agenda Item No.** **8**

Title	Regeneration of the Leper Hospital Site, Saltisford, Birmingham Road, Warwick (St Michael's Chapel and Master's House)
For further information about this report please contact	Andrew Jones, Deputy Chief Executive Andrew.jones@warwickdc.gov.uk
Wards of the District directly affected	Saltisford
Is the report private and confidential and not for publication by virtue of a paragraph of schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006?	No
Date and meeting when issue was last considered and relevant minute number	Executive 12th February 2014 minute 153.
Background Papers	Executive 18th, April 2012

Contrary to the policy framework:		No
Contrary to the budgetary framework:		No
Key Decision?		Yes
Included within the Forward Plan? (If yes include reference number)		Yes 925
Equality & Sustainability Impact Assessment Undertaken		No
N/A		

Officer/ Councillor Approval	**Date**	**Name**
Deputy Chief Executive	27th February 2018	Andrew Jones
Head of Service	9th March 2018	Lisa Barker
CMT	13th March 2018	Chris Elliott Bill Hunt Andrew Jones
Section 151 Officer	13th March 2018	Mike Snow
Monitoring Officer	13th March 2018	Andrew Jones (author)
Portfolio Holder(s)	19th March 2018	Councillors Phillips, Rhead and Butler

Consultation & Community Engagement
N/A

Final Decision?	Yes
Suggested next steps (if not final decision please set out below).	

1.   **SUMMARY**

1.1   This report recommends that Executive supports the conclusions of a viability appraisal undertaken in respect of the Leper Hospital, Saltisford, Warwick and agrees to commit Section 106 affordable housing funding to help deliver a supported housing scheme.

2.   **RECOMMENDATIONS**

2.1   Executive notes the historical context of the site known locally as the Leper Hospital and officially as St Michael's Chapel and Master's House, and its recent history.

2.2   Executive notes the work undertaken by this Council to find a sustainable solution for regeneration of the site.

2.3   Executive notes the outcome of the viability appraisal commissioned by West Midlands Historic Buildings Trust (WMHBT); the partners who have worked collectively on the appraisal; and supports the conclusion of the appraisal to develop a supported housing scheme delivered by St Basil's.

2.4   Subject to agreeing recommendation 2.3, Executive agrees to make available up to £530,000 from affordable housing commuted sums received by this Council in respect of housing developments in Warwick thereby helping to deliver a supported housing scheme and provide opportunities for learning about an important historic asset, but before releasing the funding delegates authority to the Council's Monitoring Officer and Head of Finance to confirm the scheme's viability and if confirmed the schedule for release of funds.

3.   **REASONS FOR RECOMMENDATIONS**

3.1   Recommendation 2.1

3.1.1 The Leper Hospital site contains the remains of St Michael's Church (108 & 108 Saltisford (Listed building entry 1035366)) and a 15th Century two-story timber framed building known as a Master's House (4, 5 and 6 St Michael's Court, Saltisford, Warwick (Listed building entry 1364850)). The buildings are Grade II* listed and are situated on a Scheduled Monument (List entry 1011035). The site is also a Designated Heritage Asset (no. 17004). It is one of only three known examples of leper hospitals in the county. An archaeological evaluation was undertaken in 2004 which among other things revealed stone wall foundations, a pebble yard surface, postholes and pits in the area between the chapel and the Master's House. Members can view the archaeological evaluation via this link here.

3.1.2 In February 2007 planning permission in respect of application W04/2128 was granted for conversion of the former chapel and Master's House to offices along with construction of an office building to the rear of the site and associated car parking to all buildings. Scheduled Monument Consent was granted in 2009. Despite these planning consents and the owner having undertaken remedial repair works to the Chapel the site remains undeveloped, with the Master's House under a tarpaulin to protect it from the elements. The buildings therefore remain on the Heritage at Risk Register with the Master's House condition described as being "very bad"; the most serious of categories.

3.1.3 As recently as 2001 the land formed part of a larger parcel of land owned by Warwick District Council (WDC). The Council had produced a development brief which resulted in regeneration of the area with all the land redeveloped except for the Leper Hospital. This land was purchased by a private company and the ownership remains with the company as at today's date.

3.1.4 This Council has sought a solution for the site over many years. The site contains designated heritage assets of the highest significance yet its current state can reasonably be described as an embarrassment to the town and it has caused great concern to local Councillors and residents.

3.1.5 In 2012, this Council's Executive approved a Warwick Heritage Improvement Programme of projects and feasibility studies to see redundant buildings in Warwick brought back in to use. This programme has been successful with the *old Gasworks* and *Printworks* being redeveloped for affordable housing. The outstanding project is the Leper Hospital site.

3.2 Recommendation 2.2

3.2.1 Following the 2012 Executive approval, officers commissioned EC Harris to undertake a feasibility study. The objective of the study was to develop a sustainable solution for the site around three principles: Community benefit; conservation and heritage; and financial optimisation. The feasibility work involved discussion with a range of key stakeholders to capture relevant information and views on possible development opportunities. Having considered all the options for the site, the study concluded that the optimum solution was for the Council to work with a developer/provider to deliver new build residential units for use by a specialist provider of care e.g. for people with dementia, acquired brain injury or needing mental health support. The existing listed buildings were to be incorporated as communal / office space to be used as part of the housing scheme. Members can view the outline feasibility study via this link here.

3.2.2 In May 2013, this Council, working together with Warwickshire County Council (WCC) Strategic Commissioning - Care and Choice Accommodation team jointly hosted a soft market testing session for interested developers and housing providers so they could learn more about the site's potential. Whilst the session produced a reasonable degree of interest in the opportunity, feedback also highlighted developers' requirements for further clarity on, inter alia, the repairs costs to the listed buildings. Members can view the supporting information for the session via this link here.

3.2.3 Following ongoing informal discussions with potential developers, a further feasibility study was commissioned by WDC and WCC and undertaken by Arden Estate Partnerships LIFT, a public private partnership between Community Health Partnerships (a wholly owned subsidiary of the Department of Health) and gbconsortium2 led (made up of gbpartnerships and Equitix). The partnership's expertise is in developing, designing and providing high quality health and social care buildings.

3.2.4 Part of this study required a comprehensive understanding of the repair costs of the Master's House. Therefore an application to Historic England's (HE) Historic Buildings, Monuments and Designated Landscape Fund had been made for this work and a total of £47,000 was made available to this Council to commission

architectural services. The commission was awarded to PCPT Architects Ltd a specialist conservation architect practise.

3.2.5 PCPT's work was of remarkable rigour analysing and understanding the Master's House brick by brick, timber by timber. It has enabled a complete specification of the schedule of works to be produced.

3.2.6 The recommendations of the Arden feasibility study have not been progressed but Members can view the feasibility study via this link here. However, what the work has achieved is a comprehensive understanding of the Master's House costs and the sparking of interest of St Basil's (Link here) a housing charity which helps young people "who are homeless or at risk of homelessness with advice, prevention, accommodation, engagement and support services enabling them to regain the stability they need to rebuild their lives." It was this interest that led officers to consider that there may well be a solution for the regeneration of the site.

3.3   Recommendation 2.3

3.3.1 Armed with the studies and appraisals, officers approached WDC's housing joint venture partner, Waterloo Housing Group (WHG), to understand whether it had any appetite for developing the site. Whilst WHG does not manage supported housing schemes it does partner St Basil's on various initiatives. WHG therefore made an indicative bid to the Homes and Communities Agency (now Homes England (HEng)) for supported housing grant which was successful. There now appeared to be an end user who was interested in using the site and potentially an important tranche of capital funding might be available.

3.3.2 Officers therefore brought together a multi-stakeholder project team to undertake a viability appraisal based on the St Basil's interest. A key partner brought on board at this point was West Midlands Historic Buildings Trust (WMHBT). This organisation is important in giving funding bodies the appropriate level of reassurance that should the site be developed then the necessary respect and understanding is given. The viability appraisal was funded by this Council, HE and The Architectural Heritage Fund (AHF).

3.3.3 At about the same time another housing provider, Homelife, which specialises in dementia care, approached officers to express an interest in the site. This meant that there were two providers expressing an interest whose core business was aligned with the conclusions of the previous feasibility studies.

3.3.4 Members can view the full viability appraisal via this link here. In summary it concludes that subject to the appropriate capital funding coming forward there is a viable business case for the delivery of a supported housing care scheme. The scheme would be manged by St Basil's and would encompass the whole site (an essential planning requirement). The scheme's client group is young adults with complex needs. These needs are addressed by way of a *psychologically informed environments* programme of support.

3.3.5 The purpose of the appraisal was as follows:

"*This Viability Appraisal has been commissioned to investigate the options to secure a future for St Michael's Chapel & Masters House buildings together with the Leper Hospital Scheduled Ancient Monument. This Viability Appraisal has been commissioned as a foundation for decisions and possible grant*

applications. This study will ascertain the current condition of the buildings, investigate options for its future use, recommend a preferred option and provide a financial appraisal of the project's viability."

3.3.6   The study was commissioned by WMHBT and led by DTS Solutions who in turn commissioned a full range of professional services: Conservation Architects; Business Planner; Structural Engineer; Quantity Surveyor; Archaeologist; Services Consultant; and Valuation Surveyor. This team's work built on the site investigations that had already taken place namely condition survey and repair details of the Master's House and archaeological evaluation, and the options appraisal and feasibility study described earlier.

3.3.7   The appraisal examined three options:

Option 1: Develop the entire site for social care supported housing by St Basil's.

Option 2: Split the site with HomeLife social care use to the rear and Scheduled Ancient Monument to be residential or commercial use.

Option 3: Option 1 or 2 but with the addition of a new build frontage on the historic footprint of the almshouses.

3.3.8   Each of these options was then examined against the objectives of the appraisal in terms of heritage and the environment; health and wellbeing, and community; and economic benefits. The project board unanimously supported option 3, the Waterloo/St Basil's model with new build frontage. Subject to further discussions with WDC's Planning officers, this scheme would bring forward up to 16 units of residential accommodation. Importantly, the scheme had the in-principle backing of Historic England who was represented on the project board.

3.3.9   The appraisal estimates the capital cost of the scheme at c£1.55m. It is considered that funding of can be realised outside of WDC as follows:

Waterloo Housing Group = c£465k
Homes England = c£150k
Historic England = c£141k
Warwickshire County Council = c£250k
Trusts and Foundations = c£75k
WMHBT = c£70k

Total = c£1.15m

3.3.10 At this point the sums detailed above are indicative and it is clear from project board members that there may be the opportunity to increase the funding for example via HEng's supported housing grants or WCC's extra care housing programme but the aforementioned figures provide Members with a realistic picture of what funding could be realised.

3.3.11 The appraisal currently makes no allowance for the purchase of the land from the landowner. Negotiations are ongoing but all partners recognise that the aggregate of their grant contributions will ultimately need to take account of the negotiated amount.

3.3.12 Assuming that the necessary capital could be raised, the revenue costs of running the housing support scheme would be underwritten by WCC. Where young persons with complex needs currently present themselves to WCC, due to lack of in-County accommodation, it has to commission out-of-area accommodation at very expensive rates. The indicative costs presented by St Basil's for its proposed scheme are considerably less expensive and therefore very attractive to WCC. Officers will work with WCC to ensure that this Council's input into nomination rights is taken into account.

3.3.13 Members' attention is specifically drawn to the funding available from HEng for affordable housing. The indicative grant WHG has bid for comes from the Affordable Housing programme 2016-2021. This programme makes specific reference to supported accommodation whereas the previous programme had no allocation for such housing. It is therefore important to try and secure this opportunity whilst it exists.

3.4   Recommendation 2.4

3.4.1   The appraisal at 3.3 leaves a potential capital funding gap of c£500k. WDC has Section 106 planning obligation income (commuted sums for affordable housing) of £1.25m that is not currently earmarked for any particular scheme (s). More specifically, £528,000 of this amount was generated by developments in Warwick - Chase Meadow; Northgate Street; Lord Leycester Hotel - and so it can be argued that if Members wish to support this scheme, the affordable housing that was not provided in Warwick in respect of the aforementioned developments is now being addressed.

3.4.2   Based on 16 units of accommodation being provided this would be a subsidy per unit of £33,000. It is difficult to determine whether this would be value for money for this Council as historically it has found it difficult to utilise its commuted sums, however, Members will want to consider this contribution in the round and not just the housing related benefits that are being brought by the scheme particularly the potential to promote the heritage aspect of the site. Sensitively positioned interpretation boards and other "history-trail" signposting could be installed. It is also worth noting that the commuted sums are not large enough to bring a scheme forward. However, they do enable gap-funding to be provided so that otherwise unviable schemes can be delivered.

3.4.3   Should Members agree with the recommendations in this report, this Council's Monitoring Officer and Head of Finance will liaise with WCC's Treasurer to ensure they are comfortable with the sustainability of the scheme and if that is the case determine the appropriate schedule for release of the funding.

4.   **POLICY FRAMEWORK**

4.1   **Fit for the Future (FFF)**

The Council's FFF Strategy is designed to deliver the Vision for the District of making it a Great Place to Live, Work and Visit. Amongst other things, the FFF Strategy contains Key projects.

The FFF Strategy has 3 strands – People, Services and Money and each has an external and internal element to it. The table below illustrates the impact of this proposal if any in relation to the Council's FFF Strategy.

FFF Strands		
People	**Services**	**Money**
External		
Health, Homes, Communities	**Green, Clean, Safe**	**Infrastructure, Enterprise, Employment**
Intended outcomes: Improved health for all Housing needs for all met Impressive cultural and sports activities Cohesive and active communities	Intended outcomes: Area has well looked after public spaces All communities have access to decent open space Improved air quality Low levels of crime and ASB	Intended outcomes: Dynamic and diverse local economy Vibrant town centres Improved performance/ productivity of local economy Increased employment and income levels
Impacts of Proposal		
Providing supported housing for those with complex needs. Important heritage assets brought back into use.	A Designated Heritage Asset brought into use enabling a dilapidated and untidy site to be regenerated.	Providing new employment in a much needed area of social care provision.
Internal		
Effective Staff	**Maintain or Improve Services**	**Firm Financial Footing over the Longer Term**
Intended outcomes: All staff are properly trained All staff have the appropriate tools All staff are engaged, empowered and supported The right people are in the right job with the right skills and right behaviours	Intended outcomes: Focusing on our customers' needs Continuously improve our processes Increase the digital provision of services	Intended outcomes: Better return/use of our assets Full Cost accounting Continued cost management Maximise income earning opportunities Seek best value for money
Impacts of Proposal		
Not applicable.	Providing supported housing to the most vulnerable in our local communities.	Using its commuted sums to ensure a supported housing scheme is viable.

4.2 **Supporting Strategies**

4.2.1 One of the core planning principles outlined in the National Planning Policy Framework (NPPF) is to: "Conserve heritage assets in a manner appropriate to their significance, so that they can be enjoyed for their contribution to the quality of life of this and future generations;"

4.2.2 Paragraph 126 (Section 12) of the NPPF also states that, in recognising that heritage assets are irreplaceable resources, local planning authorities (lpa's) should set out a positive conservation strategy to ensure the continued maintenance and enjoyment of heritage assets, and those at risk from decay,

neglect and other threats. The guidance goes on to say that the lpa should consider "the desirability of sustaining and enhancing the significance of heritage assets and putting them to viable uses consistent with their conservation".

4.2.3   There is obviously a careful balance to be made when planning applications are considered for such sites and buildings. On the one hand, it is always desirable to return a listed building to its original use; for a building on the 'at risk' register, it is important to be able to get the building repaired, renovated and back into a viable use to ensure it survives and continues to contribute to the historic environment and to our understanding and appreciation of it. Careful consideration will need to be given to any 'enabling' works through the planning application stages. Para 128 of the NPPF states "that in determining applications, lpa's should require an applicant to describe the significance of any heritage assets affected, including contribution made by their setting" – and to address this point applications for planning permission / listed building consent / scheduled monument consent will be supported by a Heritage Statement: https://www.warwickdc.gov.uk/info/20377/conservation/1125/heritage_statements

4.2.4   In considering a suitable and viable use, many options have been looked at over the years. The result so far has meant that nothing has yet been achieved on the site and the buildings continue to deteriorate. These buildings are Grade II*. This classification means that they are particularly important buildings of more than special interest; Only5.8% of listed buildings nationally are Grade II*. There is now a clear and positive option open to fulfil a long held desire to not only restore the buildings, but also to regenerate the site for a sympathetic use, so achieving one of the NPPF's core planning principles and benefitting the local community.

4.2.5   The Warwick District Local Plan 2011-2029 states at paragraph 5.162, that "where listed buildings are considered to be at risk the Council will seek to pursue their restoration and where appropriate bring them back into viable use".

4.2.6   Policy HE1 seeks to protect the historic environment by ensuring that any development leads to less than substantial harm to the significance of the designated heritage asset, weighing harm against public benefit. In this particular case, the asset is expected to not only be brought back into use, but also to contribute positively to the historic environment for the public benefit and to retain and restore buildings of heritage value.

4.2.7   In addition, there is a continued statutory duty upon the authority through the Planning (Listed Buildings and Conservation Areas) Act, 1990 to have special regard to the desirability of preserving any listed building and its setting.

5.   **BUDGETARY FRAMEWORK**

5.1   Within the Council's Housing Investment Programme resources, there is a balance of £1.11m of Section 106 contributions in respect of affordable housing (commuted sums) which it currently has not earmarked to any specific housing scheme. Of the £1.11m, £528k has been generated by developments within the Warwick Town boundaries. Utilising up to £530k of the commuted sums would still leave in excess of £500k for other schemes and this is before taking into account the balances in respect of Any Purpose Capital Receipts; One-for-

One replacement capital receipts; and the HRA Capital Investment Reserve. The loss of interest on utilising the commuted sum is marginal although this should not be a consideration when deciding whether to use this funding.

5.1.1

Site Address	Developer/ Applicant	Commuted sum	Comments	Spent	Balance remaining
SW Warwick Local Centre aka Narrow Hill Meadow	Taylor Wimpey for WDC	£316,820	6 instalments (plus inflation) after every 4 completions but full balance by 31/12/15 £388,928 RECEIVED on 5/8/15	0	**£388,928.00**
2-22 Northgate Street	Peter Brett Associates	£99,100	Approved by Planning Committee 26/11/13 Payable before occupation of first unit. Paid in full 15-7-16	0	**£99,100**
Lord Leycester Hotel, 17-19 Jury Street, Warwick, CV34 4EJ		Commuted sum of £40,000 to be spent in **WARWICK DISTRICT**	30.8.2016 Paid in full	0	**£40,000**

5.2   Should the proposed scheme progress to delivery then it will fall under the umbrella of the Council's joint venture (JV) arrangement with WHG. This JV enables New Homes Bonus (NHB) funding generated by the scheme to be recycled into future JV schemes. When full scheme details are known, Members will be advised of the NHB implications although based on 16 units of accommodation it would not be a significant sum.

5.4   There are no ongoing revenue implications for WDC as a consequence of this report.

6.   **RISKS**

6.1   The risks to WDC are minimal as it would only be releasing its element of the funding if planning approval is granted, scheduled monument consent is received, the other funding bodies have provided contractual commitments for the capital funding and WCC has contractually agreed to underwrite the revenue funding for the scheme. There is a chance of reputational harm should the scheme not deliver the housing support envisaged but a greater risk to the Council's reputation is that the site continues to remain in disrepair.

7.   **ALTERNATIVE OPTION(S) CONSIDERED**

7.1   The Council has commissioned two feasibility studies and a viability appraisal so it is officers' view that all the options have been explored in detail and therefore the one proposed to Members is the only one with any realistic possibility of success.

8.   **BACKGROUND**

8.1   Heritage Significance

8.1.1   The leper house was a segregated settlement set up for those suffering from leprosy and other related diseases. The first definite foundations for medieval hospitals were by Anglo-Norman bishops and queens in the 11th century. Leper houses form a distinct type among medieval hospitals being settlements that provided a sufferer with permanent isolation from society. Their function was segregation rather than medical care. The first foundations were in the 11th century although most houses were founded in the 12th and 13th centuries. Between the 14th to 16th centuries only 17 houses were founded, perhaps reflecting the gradual disappearance of leprosy. Probably about half of the

medieval hospitals were suppressed by 1539 as part of the Dissolution of the monasteries. The smaller institutions survived until 1547, when Edward VI dissolved all chantries. St Michael's is one of three known examples of leper hospitals in the county. The site has a long history of use documented from the 12th century onwards and includes 15th century standing buildings associated with the hospital. As such, it offers an important survival of a multi-phase medieval site unaffected by modern development. The existence of this extra-mural hospital also provides a significant insight into the relationship between urban communities and special institutions as well as attitudes towards disease in the medieval period.

8.1.2 This monument includes the below ground remains of a leper hospital, chapel, and cemetery, located outside the medieval settlement of Warwick. The present focus of the hospital complex is formed by the upstanding chapel, a single cell stone building of 15th century date, and a late 15th or early 16th century timber-framed building, known as the Master's House, situated to the north of the chapel. Although partially rebuilt, the buildings are contemporary with the later medieval development of the site. The standing buildings are considered to overlie the remains of earlier medieval hospital buildings which extend across the whole of the site. These include an earlier chapel, the infirmary and the cemetery which coexisted on the site. Hospital records show that the church of St. Michael was founded by Roger, Earl of Warwick in 1135. The first actual reference to the leper hospital is in 1275, but by 1540 it was said to be `much in ruin'. By 1545 it was leased to a layman, Richard Fisher, who distributed alms to the poor and gave lodging to four poor men. The last priest recorded as warden took office in 1557. The chapel and Master's house were converted to cottages in the 17th-18th centuries.

8.1.3 Today the site is in private ownership. The chapel and the Master's House are both listed Grade II* and are excluded from the scheduling, although the ground beneath both of them, which is believed to contain evidence of structures relating to the earlier development of the hospital, is included.

8.1.4 *Speed's* map of 1610 including St Michael's Chapel & Master's House

8.1.5 Site images

St Michael's Leper Hospital, Warwick. Anne Miller 1979

	Executive Committee **5th April 2018**	**Agenda Item No.** **9**
Title	Delivery of the St Mary's Lands Masterplan for 2018/19 and beyond, Warwick	
For further information about this report please contact	Chris Elliott 01926 456003 chris.elliott@warwickdc.gov.uk	
Wards of the District directly affected	Aylesford and Saltisford, Warwick	
Is the report private and confidential and not for publication by virtue of a paragraph of schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006?	No	
Date and meeting when issue was last considered and relevant minute number	Executive Meeting 29th November 2017 min 88 Executive Meeting 1st November 2017 min 71 Executive Meeting 31st August 2017 min 48 Council Meeting 9th August 2017 min 25 Executive meeting 28th June 2017 min 17 Executive meeting 8 March 2017 min 108 Executive meeting 30th November 2016 min 65 Executive meeting 06th April 2016, min 132 Executive meeting 3rd September 2015, min 34 Full Council 19th November 2014, min 50 Executive meeting 1st October 2014, min 56 Executive meeting 16th April 2014, min 189 Executive meeting 11th September 2013, min 55 Executive meeting 19th June 2013, min 13 Executive meeting 12th December 2012, min 107	
Background Papers	Previous reports as above; Agreed FFF Strategy 2017; Local Plan Publication version and Main Modifications 2017; Adopted Masterplan August 2017.	

Contrary to the policy framework:	No
Contrary to the budgetary framework:	No
Key Decision?	Yes
Included within the Forward Plan? (If yes include reference number)	Yes
Equality Impact Assessment Undertaken	No
This will be relevant at the level of each individual project's implementation.	

Officer/Councillor Approval		
Officer Approval	**Date**	**Name**
Chief Executive	19/03/18	Chris Elliott
Head of Service	19/03/18	Dave Barber, Rob Hoof, Rose Winship, Marianne Rolfe
CMT	19/03/18	Chris Elliott, Andrew Jones, Bill Hunt
Section 151 Officer	19/03/18	Mike Snow
Monitoring Officer	19/03/18	Andrew Jones
Finance	19/03/18	Mike Snow
Portfolio Holder(s)	19/03/18	Cllr Noel Butler; Cllr Moira Ann Grainger
Consultation & Community Engagement		
The proposals in the Masterplan have been supported by public consultation.		
Final Decision?		Yes
Suggested next steps (if not final decision please set out below)		

1.   **Summary**

      This report seeks to:
      - update progress on the delivery of the agreed Masterplan for St Mary's Lands, Warwick thus far;
      - seek agreement to the next steps for delivery; and,
      - seek agreement for the appropriate funding to complete this key project for the town of Warwick and the District.

2.   **Recommendation**

2.1   That progress on delivery of the Masterplan to date is noted and that the next steps as set out in Appendix 1 are agreed. Particular decisions are set out in the following recommendations.

2.2   The proposal for the footpath/cycleway from Hampton Road to Bread and Meat Close via the canter track and alterations to the car park at Bread and Meat Close are agreed and that planning permission and any other necessary consents are sought to progress the scheme to implementation with WDC's contribution being £335,000 over 2 years.

2.3   That the proposal to trial a Park and Stride initiative (as set out in Appendix 3) once the above works are in place, be agreed and that funding of £5,000 is made available to publicise and market the initiative.

2.4   That the names of the car parks presently known as Area 2, 3 and 4 be changed to Hampton Road; Bread and Meat Close and Saltisford respectively and that the change be brought into place the next time the Council's car park Regulations are published.

2.5   That £42,000 is made available from the car park maintenance and repair reserve to fund the cost of works to put in place contingency works should Linen Street need to be closed. Implementation of these works and use of the funds to be delegated to the Head of Neighbourhood in consultation with the Neighbourhood Services portfolio holder.

2.6   That the Executive support the proposals for signage and for the surfacing treatment of the inner perimeter track subject to the Jockey Club confirming its contribution with WDC's contribution being £42,000 in 21018/19.

2.7   That the previous decision to consider changing the name of the area is rescinded but that an appropriate strap line is developed in discussion with the St Mary's Lands Working Party.

2.8   That the Executive agree to fund further technical assessment work and pre-application discussions on the hotel proposal as part of the development of the brief for the site at a cost to WDC of £22,000 over 2 years.

2.9   That Hill Close Gardens Trust be advised that the Council will help its Heritage Lottery Funding application by examining ways in which either the capital works along Bread and Meat Close can contribute in kind and/or that the Council will entertain a RUCIS grant application.

2.10 That the Executive agrees to loan £25,000 to the Corps of Drums on terms to be agreed but which in principle are based on a commensurate increase in rent over the lifetime of its existing lease; and upon the receipt of a satisfactory

Business Plan. Agreement of the terms and the Business Plan to be delegated to the Chief Executive, Heads of Finance and Health and Community Protection in consultation with the respective portfolio holders and the Business Portfolio Holder. The administration of the use of the Council's contribution is as per the usual administration of a RUCIS grant.

2.11   That the Executive agrees a contribution of £70,000 to funding the cost the installation of a MUGA at RCW provided £10,000 is provided by RCW. The Council will seek to re coup this funding from off-site S106 agreement payments (£35,000) and a loan payment (£35,000); subject to:
a) Satisfactory terms being agreed for the loan;
b) Agreement to a satisfactory business plan;
c) Completion of a satisfactory community access agreement; and,
d) The administration of the use of the Council's contribution be as per the usual administration of a RUCIS grant.

Agreement to a), b) and c) above to be delegated to Agreement of the terms and the Business Plan to be delegated to the Chief Executive, Heads of Finance and Culture in consultation with the respective portfolio holders and the Business Portfolio Holder.

2.12   That the Executive agrees to an exemption from the Code of Procurement Practice under paragraph 6.4.3 to appoint Plincke for a further 2 years from June 2018 at a cost of £66,000 over 2 years to be funded from the Community Project Reserve.

2.13   That funding of £5,000 from the Community Project Reserve is made available to produce newsletters and similar publications to inform residents of the work proposed and undertaken.

2.14   That the proposals set out in the recommendations above, subject to them being agreed, be funded from an existing underspend of £50,000 and from the Community Projects Reserve over 3 years, subject to the other named parties providing their stated contributions, as set out and profiled in Table 1 attached to this report.

3.   **Reasons for the Recommendation**

       Recommendation 2.1

3.1   The Executive agreed a 3-year development programme in late 2016 to be funded and implemented on a year by year basis. The first year was in fact only a part year programme. The second year was agreed in March 2017. It is time to consider the programme for Year 3 and beyond as the Executive had agreed at its meeting on 1st November to consider the proposals for 2018/19 as part of the budget proposals for 2018/19.

3.2   The work of the Working Party has led to the adoption of a Master Plan in 2017 which sets out all the projects that will enable the vision for the area to be achieved. In this past year the most significant elements that have been completed include the new entrance to the Racecourse; the upgrading of footpaths around the Stables; and the completion of the roof works and internal repairs to the community room of Racing Club Warwick (RCW). This builds on the earlier work to improve the footballing facilities of RCW; and, improvements

to the Corps of Drums building. Improvements to the toilets of the Golf Course are in course and will be open to the public to use. Other minor improvements have occurred to fencing lines to both open areas to the public and to protect nature conservation interests.

3.3   Alongside these improvement works other issues have been taken forward – for example consultation of the proposals along Bread and Meat Close for car parking; and, for the footpath/cycleway. Work has also continued in respect of the possible hotel and to seek investment in the Golf Centre. **Appendix 1** sets out all the Master Plan proposals and their status and the next steps where that is appropriate over the next 3 years.

Recommendation 2.2

3.4   A considerable amount of discussion and work has taken place around the proposals to create a footpath/cycleway from Hampton Road to the metalled track that runs north from Linen Street. This is the missing part of the National Cycleway Route 41 in Warwick town. It would also be part of the Safer Routes to School from the Woodloes estate to Aylesford School as illustrated on **Plan 1** attached; and, it will be a much better pedestrian route for people parking in the car park off Hampton Road and off Bread and Meat Close to walk to the town centre.   Discussions about precise routing, surface material use, and lighting have been protracted as has been agreeing contributions from other parties. The proposal now shown in full on the attached plans at **Appendix 2a** also allows for an increase in parking along Bread and Meat Close and on Hampton Road car parks, but it is not proposed that those on Hampton Road be funded at present.

3.5   Warwickshire County Council and Sustrans are both supportive of the proposals and letters of support are attached as **Appendix 2b**. There have been 2 rounds of consultation with residents in Bread and Meat Close who had objected to the scheme even after the Traffic Safety Audit was undertaken and the scheme revised. The residual concern for residents is that car headlights may shine into their windows. The scheme proposes to mitigate this by appropriate hedge planting to shield their windows from such potential effects. The residents have suggested an alternative which was to have the parking parallel to the road, but this would result in almost no new parking spaces, after those to be removed to create the cycleway are counted for, but just as much expense.

3.6   The scheme has also been altered to consider a comment made by the Friends of St Mary's Lands about the route of the footpath/cycleway so that it stays near the racecourse railings until the bottom of Linen Street. This made sense from a safety perspective and so has been incorporated. The Friends had objected to the route of the cycleway along the canter track, but the expressed reason was only that it wasn't the route shown in the consultation on the masterplan. The starting and finishing points remain the same but instead of going through the middle of the forecourt of the Racecourse Grandstand which

is heavily parked and thus on detailed inspection as felt to be less safe especially if it was also to be part of a Safer Route to School.

3.7 The proposal as now developed breaks down into the following components, setting out contributions and time periods:
- From the existing Pelican crossing on Hampton Road to the existing canter track – funded wholly by WCC. Year 1
- From the point above along the canter track to the entrance of the racecourse – funded 50/50 by the Jockey Club and WDC. Year 1
- Lighting along the above route plus CCTV – funded wholly by WDC. Year 1
- From the racecourse entrance to the bottom of Linen Street, including alteration to the car park and CCTV - funded wholly by WDC. Year 1
- Lighting from the bottom of Linen Street to the entrance near Sainsbury's– funded wholly by WDC. Year 2

Recommendations 2.3

3.8 It is also suggested that once these works are in place that WDC promote a Park and Stride initiative to test whether people would be prepared to park at Hampton Road but walk to the town centre (approximately 10 minutes). The initiative is explained at **Appendix 3**. This would require some promotional funding of £5k but if successful it could help to generate £55k p.a. additional income and would prove or otherwise, the concept of all day parkers being prepared to park a little further away from the town centre. Success of the initiative will be measured by changes in income and ticket sales. It is anticipated that the scheme would be operable or the financial year 2019/20.

Recommendation 2.4

3.9 Alongside this it is suggested that the names of the car parks be changed. Since they were constructed they have been known as Area 2, 3 and 4 respectively which means little to anyone. It is suggested that the names change from/to as follows: Area 2 to Hampton Road; Area 3 to Bread and Meat Close; and, Area 4 to Saltisford. Area 1 is the parking area by the stables which was little used and is being transferred into the Jockey Club's lease. If agreed, then the name changes would come into operation at the next publication of the car park regulations.

Recommendation 2.5

3.10 All the above will also contribute to the contingency plan if/when Linen Street car park must be closed. The proposal is attached as **Appendix 4**. However, other elements of a contingency plan needs £42k to cover the cost and nothing so far has been provided budget wise. It is suggested that this sum is now provided from the existing car park repair and maintenance reserve which has circa £400,000 currently available within it.

Recommendation 2.6

3.11 Improving public access and signage is a key objective for St Mary's Lands. A signage and location plan has been prepared, see **Appendix 5**. However, the Jockey Club has approached the Council to bring the inner perimeter track up to a decent standard for vehicular use (its intended use is on race days for ambulances and service traffic). This would have a black tarmacadam surface which by itself is unlikely to be acceptable planning wise. However, that could be mitigated if it the surface was treated with a different topping material rolled into the tarmac. The Jockey Club is seeking a contribution from the Council on the basis that the track could then be used by the public for walking, cycling, jogging and for people in wheelchairs or motorised scooters. It could also be waymarked for a measured mile walk (or in this case almost 2 miles). This ties in well with the signage plan and the masterplan objective of improving access for the public. The Jockey Club's estimate for the works is £138k for a tarmacadam surface and it is suggested that WDC contribute for the surface dressing etc. on top.

Recommendation 2.7

3.12 Related to the whole concept of signage is the issue of the name of the area. The decision to hold a competition for the name has aroused a lot of controversy even though it is widely acknowledged that it is called different things by many people. The issue has been raised twice at the Working Party and although not a firm conclusion it suggests that the Council should leave the name alone but seek to define it with a strap line. It is proposed that this be discussed further and agreed with the Working Party.

Recommendation 2.8

3.13 The extended commission on the proposed hotel has been carried through to stage 1. The report on demand and financial viability has been updated. Work is continuing preparing the Development Brief for the site, but some further technical assessment work is needed and funding for it is needed. A separate report on the possible hotel will be bought forward later.

Recommendation 2.9

3.14 Hill Close Gardens (HCG) is intending to submit a Heritage Lottery Fund grant application to improve its visitor facilities worth in the region of £100k plus. It is suggested that either or both of the following are pursued – that part of the works to the Bread and Meat Close area are used as match funding and/or that HCG be guided to submit a RUCIS grant application at the appropriate time.

Recommendation 2.10

3.15 The Corps of Drums (CoD) have undertaken substantial improvements to their facilities. The money previously granted by WDC has been used to good effect and has drawn in other monies. However, there is a final set of works to be done worth £25k for which they have not been able to raise funds. A Business Plan is attached at **Appendix 6** The CoD would be agreeable to the sum being

provided by a loan from the Council to be set against an appropriate rent increase over the lifetime of its lease (it has 20 years remaining) on terms to be agreed and approval is proposed to be delegated to the Chief Executive, Heads of Finance and of Health and Community Protection in consultation with the respective portfolio holders and the Business Portfolio Holder.

Recommendation 2.11

3.16 Racing Club Warwick (RCW) has made considerable improvements on and off the field since 2015. The masterplan for St Mary's Lands envisages that a MUGA is put in place. The estimated cost of this is £80k of which RCW can contribute £10k. RCW is preparing a business plan to demonstrate how a grant for the remaining sum would have a further positive impact on the local community.

3.17 Having examined other options it is unlikely that the proposal would come forward unless the Council offers financial support. It is therefore proposed that the Council offers a mixture of underwriting 50% of the £70,000 of the funding of the proposal and recoups it from S106 Agreements proposing off site provision for outdoor playing facilities and the other £35,000 by way of alone on terms to be agreed. The draft Business Plan for the proposal is attached at **Appendix 7** but will require some further discussion. The Council should also seek for the MUGA to be subject to a Community Access Agreement so that the local community can access the facility. It is proposed that these detailed matters are delegated to the Chief Executive, Heads of Finance and Culture in consultation with the respective portfolio holders and the Business Portfolio Holder.

Recommendation 2.12

3.18 All the above represents a considerable amount of work to oversee. The current arrangements for project management rest with Plincke but their commission runs out in June this year. Exemptions to the Code of Procurement Practice were agreed by Executive in April 2016 for project management up to £25,000 and June 2017 at £34,000. WDC does not have the in-house resources to oversee this work. Although the F and A Committee suggested, the last time it came up for discussion, that the work should be put out to tender, both the Officers and Members directly involved consider that the degree of knowledge and experience would be very difficult for any other company to replace and so it is suggested that an exemption from the Code of Procurement Practice be sought to give Plincke a new commission but much more focused on project implementation. This would cost over a 2-year period £66k – the same rate as has been deployed over the past year. The cumulative cost of the work from Plincke on project management for St Marys Land would be £125,000 which is below the relevant EU Threshold of £181,000.

Recommendation 2.13

3.19 Finally, there is a lot of public interest in St Mary's Lands and the proposals for it so it is important that the Council and the other organisations on the Working Party keep engaging with the local community and keep them informed. It is suggested that a St Mary's Lands newsletter is prepared to be circulated to residents and to the town via a variety of means of communication including the Council's proposed new Facebook page and including a wrap around in a local newspaper. A provision of £5k should be allowed.

3.20 There remain a few other elements of the Master Plan that will still require funding and implementation after the elements outlined above are completed. However, not all of them will fall to the Council. Those that are likely to include the following:

- Play area adjacent to RCW (work on its planning and design will be undertaken over the coming year)
- Improvements to the 2 Playing Fields inside the racecourse;
- Improvements to the Northern Enclosure, including seeking access under/over the railway line.

3.20 Of the other elements, improvements to the Golf Course are still being investigated by way of seeking external investment. The improvements to the caravan area and to the parking area adjacent to the Stables will fall to the Jockey Club to pursue.

3.21 The estimated costs of the various elements are set out in **Appendix 1** and then are summarised in **Table 1** (the project number is the same in both for ease of cross reference). The costs are spread out over 3 financial years. Taken together with external contributions this programme represents an investment in the St Mary's Lands of over £1m.

3.22 In addition, the Executive considered a report in late November 2017 in respect of the hours of flying for model aircraft. A risk assessment and a noise assessment have been undertaken. The ecological work has been commissioned but is not yet not completed. The report back will not happen until that work is complete.

4. Policy Framework

4.1 Fit for the Future (FFF)

4.1.1 The Council's FFF Strategy is designed to deliver the Vision for the District of making it a Great Place to Live, Work and Visit. To that end amongst other things the FFF Strategy contains several Key projects. St Mary's Lands is one of those Key projects. This report shows the way forward for implementing the next stage of one of the Council's Key projects.

4.1.2 The FFF Strategy has 3 strands – People, Services and Money and each has an external and internal element to it. The table below illustrates the impact of this proposal if any in relation to the Council's FFF Strategy.

FFF Strands		
People	**Services**	**Money**
External		
Health, Homes, Communities	**Green, Clean, Safe**	**Infrastructure, Enterprise, Employment**
Intended outcomes: Improved health for all Housing needs for all met Impressive cultural and sports activities Cohesive and active communities	Intended outcomes: Area has well looked after public spaces All communities have access to decent open space Improved air quality Low levels of crime and ASB	Intended outcomes: Dynamic and diverse local economy Vibrant town centres Improved performance/ productivity of local economy Increased employment and income levels

Impacts of Proposal		
The overall proposals will contribute toward improved health outcomes; impressive sport and cultural facilities and to a more cohesive and active community by way of improving the area and its facilities.	*The overall proposals will improve an important open space and ensure that the adjoining local communities have access to decent open space.*	*These overall proposals will have a very beneficial effect on the local economy in terms of attracting visitors to the town and by creating new jobs and so have positive impacts on the intended outcomes above.*
Internal		
Effective Staff	**Maintain or Improve Services**	**Firm Financial Footing over the Longer Term**
Intended outcomes: All staff are properly trained All staff have the appropriate tools All staff are engaged, empowered and supported The right people are in the right job with the right skills and right behaviours	Intended outcomes: Focusing on our customers' needs Continuously improve our processes Increase the digital provision of services	Intended outcomes: Better return/use of our assets Full Cost accounting Continued cost management Maximise income earning opportunities Seek best value for money
Impacts of Proposal		
Not applicable	The proposal will improve the public experience of the Council's services in respect of open space, car parking and sporting provision	The proposal will help to maximise the social and economic use of an existing asset and get a better return as the proposal has the potential to improve revenues as well as create a revenue generating opportunity for the Council.

4.2 Supporting Strategies

Each strand of the FFF Strategy has several supporting strategies and the relevant ones for this proposal are explained below.

Local Plan

4.2.1 The Council has an agreed a strategy statement "The future and sustainable prosperity for Warwick District" which amongst other things seeks to:

- Support the growth of the local economy; and
- Maintain and promote thriving town centres.

4.2.2 The Council has determined that a spatial masterplan should be developed for St Mary's Lands via public consultation as it recognised that it is an essential community amenity that needs to receive the necessary investment to enable its attractions and operations to prosper.

4.2.3 The Local Plan - Publication Draft has a specific proposed policy for St Mary's Lands as follows:

"3.142 The Council will therefore work with the operators of the Racecourse to bring forward a Masterplan for the area which;

- *ensures the ongoing vitality and viability of the Racecourse;*

- *protects and enhances the significance of the Listed Building and Conservation Area and their setting;*

- *retains the land for public recreation;*

- *protects and enhances biodiversity within the Racecourse as well as links to the open countryside and other areas; and*

- *restricts uses to those associated with visitor accommodation, recreation, leisure and horse racing"*

This requirement picks up the non-Local Plan overall strategy for St Mary's Lands adopted in 1998 and the regeneration master plan agreed in 2004 which have both been reviewed as part of this work.

4.2.4 The Local Plan has recently been found sound by the Inspector who undertook the Examination in Public. The Local Plan, with modifications, was adopted by the Council on 20th September 2017. The Local Plan Main Modifications recommended by the Inspector include some changes to Policy CT7 in line with the consultation undertaken by the Council in 2016. The focus of the modifications is to clarify that the policy applies to the whole of St Mary's Lands, including the racecourse and to clarify the role of the Masterplan. The Masterplan proposals do not conflict with Policy CT7 as modified.

St Mary's Lands Masterplan

4.2.5 The Masterplan was adopted by the Council is August 2017. It is based on 4 overriding themes of:

- Protecting St Mary's Lands for People and Nature

- Improving Access and Enjoyment for All

- Supporting the Local Economy

- Investing in the Future

4.2.6 The proposals set out in this report accord with the Masterplan themes above.

5. **Budgetary Framework**

5.1 The total cost to WDC of all the proposals over 3 years is £817,000 attracting external investment of £371,000 in addition. Table 1 illustrates the spend profile by project and year and lists the expected external contributions.

5.2 It is proposed that if the proposals are supported this is funded from the Community Project Reserve. The Community Projects Reserve currently has £1.447m available this year notwithstanding other calls upon it. It is proposed that only this year's allocation of £440,000 (after the reduction discussed in

paragraph 5.3 below) would be taken from this year's Community Project Reserve. The recommendations within this report are seeking for members to agree the future work in the Masterplan which will be carried out up to 2020/21. Within the forthcoming years, it is envisaged that the Council will be in the position of being able to allocate some future New Homes Bonus to the Community Projects Reserve, although it is not possible to forecast these allocations with any certainty. Consequently, whilst it should be for members to agree as part of the Annual Budget Report each February the precise funding for the actions from the Masterplan for 2019/20 and 2020/21 so eof the projects are to be funded over 2 years so an element of pe allocation of 2019/20 Comuniyt Project Reserve will be needed. The relevant ones are highlighted in Table 1.

5.3   There is currently an underspend of about £50,000 from the current allocation to St Mary's Lands arising from difficulties in obtaining consent to all the works to the public area around the new entrance to the racecourse. Some of these works will not now be possible to progress – i.e. works to the highway, but others are incorporated into the works along Bread and Meat Close, so it is proposed to roll forward this £50,000 toward the cost of the scheme set out at Recommendation 2.2. This would reduce the amount of additional funding needed in 2018/19.

5.4   These proposals will attract investment from other agencies of almost £400,000 making the overall package of proposals worth over £1 million from a community perspective.

5.5   If successful the Park and Stride proposal will generate an additional income of £55k per annum. It is anticipated that the £25k funding for the CoD will be refunded as will the £70k for RCW over time.

5.6   The car park repair and maintenance reserve has circa £400,000 available from which to fund the £42,000 for the Linen Street parking contingency plan.

6.   Risks

6.1   Now that the Masterplan has been adopted and delivery is underway the risks in this project revolve around traditional ones of being on budget and on time and are managed by regularly reviewing each project line. **Appendix 1** highlights some of the individual risks for each element of the overall programme.

6.2   The new projects have the additional risks of needing appropriate statutory consents which may generate opposition from other quarters as well as the more usual one of estimating costs appropriately. The former is mitigated in part by the Working Party being an opportunity to air and resolve differences but also by continuing to consult with various groups on issues. The second by making sure the estimates are grounded in proper project scope and definition.

7.   Alternative Option(s) considered

7.1   The only other option the Council has is not to note progress which would seem perverse. Similarly, not to agree for the elements of the masterplan to proceed would be a reputational risk for the Council given the efforts that have been made to engage local groups.

7.2 There could be options of which elements of the programme should be done when but as set out the programme is reasonably logical and takes account of the limitations that the racing season might place on when some elements can be implemented.

Proposed Expenditure Profile for St Mary's Lands

Project No. & Description	18-19 £	19-20 £	20-21 £	WDC Total £	Other Total £	Total £	Recommendation Reference	Appendix 1 Reference
1 Completion of Masterplan	0	0	0	0	0	0		
2 Maintenance & Mgt. Plan	10,000	10,000	0	20,000	20,000	40,000	Rec 2.1 and appendix 1	Ref 2
3 Cycle Way Connection	200,000	135,000	0	335,000	53,000	388,000	Rec 2.2 and appendix 1	Ref 3
4 Extension to Bread & Meat Close car park	40,000	50,000	0	90,000	0	90,000	Rec 2.1 and appendix 1	Ref 4
5 Main Entrance Improvements	50,000	0	0	50,000	0	50,000	Rec 2.1 and appendix 1	Ref 5
6 Improvements to Hill Close Gardens Frontage	0	5,000	0	5,000	100,000	105,000	Rec 2.1 and appendix 1	Ref 6
7 Footpath and Signage Improvements	42,000	0	0	42,000	138,000	180,000	Rec 2.6 and appendix 1	Ref 7
8 Benches and Bins	0	12,000	0	12,000	0	12,000	Rec 2.1 and appendix 1	Ref 8
9 Flood Attenuation Measures	0	0	35,000	35,000	0	35,000	Rec 2.1 and appendix 1	Ref 9
10 Reservoir Enhancement	0	0	5,000	5,000	5,000	10,000	Rec 2.1 and appendix 1	Ref10
11 Jubilee Wood Improvements	0	0	5,000	5,000	5,000	10,000	Rec 2.1 and appendix 1	Ref 11
12 Increase Caravan Club Capacity	0	0	0	0	0	0		Ref 12
13 Re Surfacing of Gravel Parking Bays	0	0	0	0	0	0		Ref 13
14 MUGA at RCW	70,000	0	0	70,000	10,000	80,000	Rec 2.11	Ref 14
15 RCW Clubhouse Refurbishments	0	0	0	0	0	0		
16 Play Area Adjacent to RCW	0	0	60,000	60,000	25,000	85,000	Rec 2.1 and appendix 1	Ref 16
17 Corps of Drums Building Refurbishment	25,000	0	0	25,000	0	25,000	Rec 2.10	Rec 17
18 Golf Driving Range Improvements	0	0	0	0	tba	0		
19 Golf Centre Club House Improvements	0	0	0	0	tba	0		
20 Access to Public Toilets	0	0		0	tba	0		
21 Improve Drainage to Playing Fields	0	0	15,000	15,000	15,000	30,000		
22 Potential Hotel Location	10,000	12,000	0	22,000	0	22,000	Rec 2.1 and appendix 1	Ref 22
Sub Total	447,000	224,000	120,000	791,000	371,000	1,162,000		
Procurement of Plincke	33,000	33,000	0			66,000	Rec 2.12	
Park & Stride Promotion	5,000					5,000	Rec 2.3	
Information	5,000					5,000	Rec 2.13	
Brought Forward for 17/18	-50,000					-50,000		
Total						**1,188,000**		
Total	**440,000**	**257,000**	**120,000**	**817,000**	**371,000**	**1,188,000**		
Linen St Contingency Works	42,000						Rec 2.5 Car Parks R&M Reserve	

Appendix 1: St. Mary's Land – Delivery Plan as at March 2018

The table below summaries the key activities identified through the consultation process and agreed with the Working Party in Sept 2016.

Total WDC funding approved: £
Total funding committed to date from WDC: £
Total required to complete the project: £
Additional funding sought: £

Ref.	Project	Development Required	Key Stakeholders and Consultation	Approvals and Consents	Risks	Programme
1.0	**Completion of the Masterplan**	**Completed work** • Masterplan issued and adopted				Complete
2.0	**Update the Management & Maintenance Plan (MMP)** Including opportunities to increase site biodiversity.	**Completed work** • Meeting with WDC to agree the process and timetable for updating the MMP **Required work** • Initial site meeting of key stakeholders • Update ecological surveys • Draft revisions • Discuss with WDC and key stakeholders • Issue final document with review and monitoring protocols	• Warwick District Council • FoSML • Jockey Club • Golf Centre • Model Aircraft Flyers • Wildlife and amenity groups incl. Warwickshire Wildlife Trust	• Non-statutory approval by the Working Party / "management group" • Formal adoption by Warwick District Council.	• Lack of resources within WDC to commit to the process Funding • Inability to resolve conflicts over the use of the green space, esp. increasing biodiversity alongside public access and events.	Funding to complete the MMP, secured: Plincke to draft with WDC and volunteer input. Further consultancy advice and small scale environmental projects that might arise: £20K WDC 50% and small grant sources 50%. £20,000 £10,000 2018 – 19 £10,000 2019 – 20 External contributions £20,000 over 2 years.
3.0	**Cycle Way Connections (Sustrans National Cycle Route no 41):** Hampton Road to Bread and Meat Close	**Completed work** • Coordination of precise route and means of demarcation • Design development and costing of lighting, signage, and surfacing **Required work** • Commissioning of implementation • Management of works on the ground	• Jockey Club • Warwickshire County Council • Sustrans • Warwick District Council	• Formal consent from Jockey Club to permissive use once the plans are agreed • Sustrans License and designation process • Potentially planning consent.	• No formal agreement is reached with the Jockey Club • Costs of surfacing and lighting exceeds budget	Estimated total costs for lights solution with CCTV £388,000 WCC £20,000 Jockey Club £33,000 WDC £335,000 2018 – 19 £200,000 2019 – 20 £135,000
04	**Extension to Bread and Meat Close Car Park**	**Completed work** • Develop outline design proposals • Undertake a traffic safety audit • Consultation on the proposals with residents of Bread & Meat Close & stakeholders **Required work** • Finalise proposals • Meet with residents • Planning application • Tender and construction	• Warwick District Council • Residents of Bread & Meat Close • Jockey Club • Hill Close Gardens • Golf Centre • Warwickshire County Council • Sustrans	• Planning consent is required • Traffic Safety Audit has been completed	• Planning application process may result in a refusal • Local residents' objections to the scheme	Funding: WDC £90,000 2018 – 19 £40,000 2019 – 20 £50,000

Ref.	Project	Development Required	Key Stakeholders and Consultation	Approvals and Consents	Risks	Programme
05	**Main entrance improvements** Including uniform entrance signage, public realm improvements and replacement of unsightly buildings.	**Completed work** • Replace turnstile buildings • Public ream enhancement • New tree planting **Required works** • Public realm and signage enhancement works WDC land	• Jockey Club • Warwick District Council (Conservation & planning) • Residents of Bread & Meat Close • Warwickshire County Council (Highways)	• Planning and Conservation Area consent secured.		WDC £50,000 2018 – 19 £50,000
06	**Improvements to Hill Close Gardens frontage**	**Completed works** • Meeting on site to agree design approach • Draw up outline proposals: vegetation clearance, management • Consultation between WDC and HCG on proposals • Initial vegetation clearance **Required work** • entrance paving improvements	• Hill Close Gardens • Warwick District Council	• 211 Notice for tree removals granted.		WDC, £5,000, potential HLF funding £100,000+. 2019 – 20 £5,000
07	**Footpath and Signage Improvements** Phase 1: Hampton Road / Gog Brook Phase 2: Wider site area	**Completed works** • Gog Brook foot path link • Realigned fencing, Saltisford end **Required works** • Undertake an assessment of other access and secondary signage improvements as part of the MMP review • Review opportunity for more comprehensive improvements linked to the re-surfacing of the inner-track.	• Warwick District Council • FoSML • Jockey Club • Golf Centre • Existing site users	• May require signage and/or Planning / Conservation Area Consent • Forestry Commission approval for any works in Jubilee Woods	• Extent of phase 2 desirable works far exceeds budgets available • Conflict of access 'rights' between various users	Signage and interpretation £22,000 Footpath improvements (combined with inner service track re-surfacing) Total £180,000 of which Jockey Club contribution £138,000. WDC contribution £42,000 2018 – 19 £42,000
08	**Benches and Bins**	**Completed work** • FoSML consultation project to mark-up preferred locations • Undertake a review of site furniture as part of the MMP update **Required work** • Tender and installation	• FoSML • Warwick District Council	None envisaged	• New FoSML committee objecting to previously agreed locations	WDC £12,000. 2019 – 20 £12,000
09	**Hampton Road Attenuation Pond / Flood Mitigation Measures**	**Required work** • Ecological assessment of the pool • Undertake an assessment of condition of all flood mitigation measures and prepare recommendations for on-going management • Silt tests for contamination • Establish need for de-silting work • Commission the works and implementation.	• Warwick District Council • Warwickshire County Council • Environment Agency	Dependent on the outcomes of the silt testing whether an Environment Agency license is required.	• Hydrocarbon from adjacent road or fertilizers from surrounding field catchment leading to sufficient contamination to be considered harmful to human health to spread silt locally • That the ecological value restricts the ability to de-silt the pond	Estimated costs £35,000, WDC is the authority responsible for maintaining flood scheme. 2019 – 20 £35,000

Ref.	Project	Development Required	Key Stakeholders and Consultation	Approvals and Consents	Risks	
10	**Reservoir Enhancement, Jubilee Wood**	**Required work** • Develop options as part of the MMP review • Agree preferred option with key stakeholders	• Jockey Club • Warwick District Council • Warwick & District Angling Association • Warwickshire Wildlife Trust • FoSML	Potential Environment Agency for fish stocks and health checks. Potentially Forestry Commission consent for any works affecting the woodland.	• Health & Safety assessment required in opening up the area to public access	A variety of grant sources exist for funding pond improvement works including Countryside Stewardship. WDC match funding £5,000. 2020 – 21 £5,000
11	**Jubilee Wood Improvements**	**Required work** • Develop as part of the MMP review • Consider opportunities for improved footpath / cycle way access to station	• Warwick District Council • FoSML • Warwickshire Wildlife Trust • Forestry Commission	Forestry Commission consent for any works proposed.	• Ecological sensitivity • Public safety of footpath / cycle path in this location	Potential small grant aid schemes WDC £5,000 2020 – 21 £5,000
12	**Increase Caravan Club Capacity**	**Completed work** • Evaluate the existing site capacity to establish the potential increase available **Required work** • Review the possibility of a motorhome / overspill caravan park on non-race days adjacent to the stables (former car park area 1)	• Jockey Club • Caravan Club • Warwick District Council	Planning consent may be required for the changes to the existing site and overspill use of the stables parking	• Planning to be confirmed	No WDC contribution required.
13	**Re-surfacing of Gravel Long Stay Parking Bays**	**Required work** • Update design layouts • Consult on flood risk / attenuation • Investigate park and ride options • Integration with the Town Centre Parking Strategy • Pricing the work • Tender and construction	• Warwick District Council • Jockey Club • RCW	Possible planning permission required Environment Agency permission for surface water attenuation and discharge may be required.	• Ability to secure funding if the hotel does not progress • Storm water attenuation may increase costs	WDC linked to wider town centre parking strategy
14	**MUGA at Racing Club Warwick (RCW)**	**Required work** • Confirmation of funding • Tendering and construction	• RCW	• Planning permission and Environment Agency Flood Risk Assessment.	• Funding and planning	Overall cost £80,000 2018/19 WDC £70,000 RCW contribution £10,000
15	**RCW Club House refurbishment**	**Required work** • Various minor works required to keep in operation and to enhance community space within the building.	• RCW • Warwick District Council	• Potentially planning permission depending on the option selected.	• Impact upon membership and income in the short – medium term	Loan arrangement agreed. Subsequent improvements would be via a RUCIS Grant application.
16	**Play Area adjacent to RCW**	**Required work** • Develop design brief • Seek tenders from playground contractors • Appoint and install • Review toilet access with RCW	• Warwick District Council play team • FoSML • Local residents • RCW	TBC	• Insufficient funding	Warwick District Council financial year £60,000 Other funding sources £25,000 2020 – 21 £60,000

Ref.	Project	Development Required	Key Stakeholders and Consultation	Approvals and Consents	Risks	Ref.
17	**Corp of Drums Building Refurbishment**	**Completed work** • Main buildings work phase **Required work** • Final building improvements	• Corp of Drums • Warwick District Council	• Building Control	• Failure to attract grant funding	Loan arrangement of £25k proposed.
18	**Golf Driving Range Improvements, including car parking**	**Required work** • Develop a sustainable business strategy • Undertake feasibility appraisal for modification of existing structure or complete replacement • Develop preferred solution • Planning permission • Detailed design and tendering • Construction	• Warwick Golf Centre • Warwick District Council • Working Party Members	• Planning Permission • Conservation Area Consent	• Capital funding • Planning & Ecology • Business continuity and revenue targets being met	Warwick Golf Centre Potential to link to a wider project scope to attract external funding.
19	**Golf Centre Club House Replacement**	**Required work** • Develop a sustainable business strategy • Undertake feasibility appraisal for modification of existing structure or complete replacement • Develop preferred solution • Planning permission • Detailed design and tendering Construction	• Warwick Golf Centre • Warwick District Council • Working Party Members • Warwick Society	• Planning Permission • Conservation Area Consent	• Capital funding • Planning • Business continuity and revenue targets being met	Warwick Golf Centre Potential to link to a wider project scope to attract external funding.
20	**Access to Public Toilets**	**Required work** • Minor building works to the Golf Centre to form disabled toilet and access • Signage • Discussions with RCW over toilet access from proposed new play area	• Warwick District Council • Warwick Golf Centre • RCW	TBC	• Failure to find a solution will not meet consultation outcomes	Golf Centre to undertake works to toilets. RCW to do works to toilets as part of clubhouse alterations.
21	**Improve Drainage to Playing Fields**	**Required work** • Complete feasibility report into options for pitch drainage • Agree attenuation and discharge with the Environment Agency • Cost the options and seek potential funding • Tender and implement	• Warwick District Council • RCW • Environment Agency	• Potentially Environment Agency depending on means of land drainage	• Potential disruption to the racecourse to connect to a means of draining the pitches • Limited options available due to high water table • Environment Agency objection	Match funding from WDC of £15,000 towards the estimated £30,000 costs. 2020 – 21 £15,000
22	**Potential Hotel Location**	**Completed work** • Commission a hotel room availability and need / capacity survey • Commission a technical viability on the proposed site • Outline design and massing studies **Required work** • Undertake planning and highways discussions • Undertake a flood risk assessment • Review outcomes with Working Party • Pre-planning application	• WDC • Jockey Club • Working Party • WCC / WTC • Warwick Town Council • Environment Agency • Hampton Road residents • Chamber of Trade • Tourism & Visitor development • Warwick Society	• Planning Permission and visual impact assessment • Flood Risk assessment • Conservation Area Consent • Jockey Club consent.	• Public objection and planning • Potential high costs in early feasibility work that may prove abortive • Dependency upon the Jockey Club	Flood risk assessment £10,000 and pre-application costs £12,000 2018 – 19 £10,000. 2019 – 20 £12,000

Item 6.0a

Proposed Cycle Route: Linen Street to Racecourse Entrance (Hampton Street/ Friars Street Junction)

PROPOSED RACECOURSE ENTRANCE MATERIALS

(WORKS TO BE COMPLETED UNDER SEPARATE CONTRACTS)

1. RACECOURSE ENTRANCE WORKS
2. EXTENT OF ROAD TO BE RE-SURFACED TO BE CONFIRMED FOLLOWING INSTALLATION OF NEW KERB TO RACECOURSE ENTRANCE.
3. RACECOURSE ENTRANCE - EXISTING GATE REALIGNED TO FORM SECURE LINE.
4. NEW FIBRE-SAND SURFACE EXTENDING CANTERDOWN TRACK, PROVIDING PERMISSIVE SHARED CYCLE/ FOOTPATH FROM RACECOURSE ENTRANCE TO EXISTING ACCESS TO SOUTH WEST OF PARADE RING.
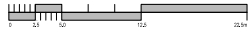
PROPOSED BREAD & MEAT CAR PARK IMPROVEMENT WORKS

5. ENTRANCE SIGNAGE WALL - ST. MARY'S LANDS AND WARWICK RACECOURSE SIGNAGE. DETAIL TBA.
6. ADDITIONAL NEW TREE PLANTING AS COMPENSATION TO TREES LOST IN DEVELOPING RACECOURSE ENTRANCE.
7. 3.0M WIDE ASPHALT SHARED CYCLE/ FOOTPATH. DETAIL DESIGN, INCLUDING MARKINGS, TO BE COMPLETED/ AGREED WITH SUSTRANS.
8. EXISTING HARDSTANDING RETAINED (RACE DAY CAMERA VANS)
9. EXISTING TRAFFIC ISLAND TO BE REMOVED.
10. CAR PARK AREA 3 EXTENDED: 22 NEW PARKING BAYS (11 'NEW' PROVISION; 11 OFFSET SPACES LOST DUE TO PROVISION OF PROPOSED SHARED CYCLE/ FOOTPATH).
11. 1.2M HEIGHT HEDGING AS SCREENING TO CAR PARK EXTENSION.
12. COBBLE SURFACING TO DETER UNAUTHORISED PARKING TO REALIGNED BAYS.
13. 10 PARALLEL BAYS REMOVED; NEW PERPENDICULAR WHITE LINING TO REPLICATE EXISTING PROVISION TO NORTH OF ROAD, ALLOWING SHARED CYCLE/ FOOTPATH TO RUN CONTINUOUSLY TO NORTH OF CAR PARK
14. REALIGNED SERVICE ROAD/ FOOTPATH CONNECTION TO RACECOURSE PERIMETER
15. 3.0M WIDE ASPHALT SHARED CYCLE/ FOOTPATH EXTENDED TO END OF LINEN STREET; EXISTING GATE REMOVED TO PROVIDE WIDER ACCESS FOR CYCLISTS. 3 NEW BOLLARDS TO BE INSTALLED TO PREVENT UNAUTHORISED VEHICULAR TRAFFIC. DETAIL DESIGN, INCLUDING MARKINGS, TO BE COMPLETED/ AGREED WITH SUSTRANS.

plincke.

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NORTH

**BREAD & MEAT CAR PARK (AREA 3)
EXTENSION & SHARED CYCLE ROUTE**

Item 6.0b

Proposed Cycle Route: Racecourse Entrance To Hampton Road (following route of existing canterdown track)

WORKS TO BE COMPLETED UNDER SEPARATE CONTRACTS

1. RACECOURSE ENTRANCE WORKS .
2. IMPROVEMENTS AND EXTENSION TO BREAD & MEAT PARKING AREA UNDER CONSIDERATION.
3. 3.0M WIDE ASPHALT SHARED CYCLE/ FOOTPATH. DETAIL DESIGN, INCLUDING MARKINGS, TO BE COMPLETED/ AGREED WITH SUSTRANS.
4. EXISTING HARDSTANDING RETAINED (RACE DAY CAMERA VANS)
5. POTENTIAL LOCATION FOR NEW HOTEL
6. LONG STAY CAR PARK TO BE RESURFACED

PROPOSED PERMISSIVE CYCLE ROUTE WORKS

7. ROUTE OF FIBRE-SAND SURFACE ALONG EXISTING CANTERDOWN TRACK, PROVIDING PERMISSIVE SHARED CYCLE/ FOOTPATH CONNECTING RACECOURSE ENTRANCE (ONWARDS TO LINEN STREET AND SALTISFORD) TO EXISTING DEMARCATED CYCLE ROUTE ON HAMPTON ROAD. DETAIL DESIGN INCLUDING LIGHTING TO BE AGREED WITH SUSTRANS.

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NORTH

PERMISSIVE CYCLE ROUTE
RACECOURSE ENTRANCE TO HAMPTON ROAD

0   5   10   25   45m
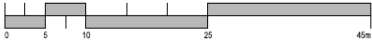
Item 7.0

Masterplan updated;
- cycle route added
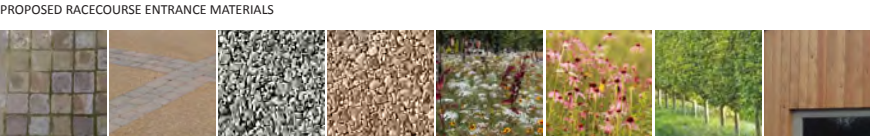- resurfaced emergency route illustrated (Item 18)

plincke.

ST MARY'S LANDS MASTERPLAN

Item 8.0a

Bread & Meat Parking Area: Standard Bays (increase of 11 parking spaces)

HAMPTON STREET

CROMPTON STREET

FRIARS STREET

BREAD & MEAT CLOSE

PROPOSED RACECOURSE ENTRANCE MATERIALS

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NORTH

**BREAD & MEAT CAR PARK (AREA 3)
EXTENSION & SHARED CYCLE ROUTE**

Item 8.0b

Bread & Meat Parking Area: Parallel Bays (increase of 1 parking space)

PROPOSED RACECOURSE ENTRANCE MATERIALS

(WORKS TO BE COMPLETED UNDER SEPARATE CONTRACTS)

1. RACECOURSE ENTRANCE WORKS
2. EXTENT OF ROAD TO BE RE-SURFACED TO BE CONFIRMED FOLLOWING INSTALLATION OF NEW KERB TO RACECOURSE ENTRANCE.
3. RACECOURSE ENTRANCE - EXISTING GATE REALIGNED TO FORM SECURE LINE.
4. NEW FIBRE-SAND SURFACE EXTENDING CANTERDOWN TRACK, PROVIDING PERMISSIVE SHARED CYCLE/ FOOTPATH FROM RACECOURSE ENTRANCE TO EXISTING ACCESS TO SOUTH WEST OF PARADE RING.

PROPOSED BREAD & MEAT CAR PARK IMPROVEMENT WORKS

5. ENTRANCE SIGNAGE WALL - ST. MARY'S LANDS AND WARWICK RACECOURSE SIGNAGE. DETAIL TBA.
6. ADDITIONAL NEW TREE PLANTING AS COMPENSATION TO TREES LOST IN DEVELOPING RACECOURSE ENTRANCE.
7. 3.0M WIDE ASPHALT SHARED CYCLE/ FOOTPATH, WIDENING TO 3.5M ADJACENT TO PARALLEL PARKING BAYS. DETAIL DESIGN, INCLUDING MARKINGS, TO BE COMPLETED/ AGREED WITH SUSTRANS.
8. EXISTING HARDSTANDING RETAINED (RACE DAY CAMERA VANS)
9. EXISTING TRAFFIC ISLAND TO BE REMOVED.
10. CAR PARK AREA 3 EXTENDED: 12 NEW PARKING BAYS (1 'NEW' PROVISION; 11 OFFSET SPACES LOST DUE TO PROVISION OF PROPOSED SHARED CYCLE/ FOOTPATH).
11. 1.2M HEIGHT HEDGING AS SCREENING TO CAR PARK EXTENSION.
12. COBBLE SURFACING TO DETER UNAUTHORISED PARKING TO REALIGNED BAYS.
13. 10 PARALLEL BAYS REMOVED; NEW PERPENDICULAR WHITE LINING TO REPLICATE EXISTING PROVISION TO NORTH OF ROAD, ALLOWING SHARED CYCLE/ FOOTPATH TO RUN CONTINUOUSLY TO NORTH OF CAR PARK
14. REALIGNED SERVICE ROAD/ FOOTPATH CONNECTION TO RACECOURSE PERIMETER
15. 3.0M WIDE ASPHALT SHARED CYCLE/ FOOTPATH EXTENDED TO END OF LINEN STREET; EXISTING GATE REMOVED TO PROVIDE WIDER ACCESS FOR CYCLISTS. 3 NEW BOLLARDS TO BE INSTALLED TO PREVENT UNAUTHORISED VEHICULAR TRAFFIC. DETAIL DESIGN, INCLUDING MARKINGS, TO BE COMPLETED/

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**BREAD & MEAT CAR PARK (AREA 3)
EXTENSION & SHARED CYCLE ROUTE**
Alternative Layout - Parallel Parking
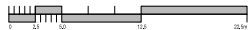
Chris Elliott
Chief Executive
Warwick District Council
Riverside House
Leamington Spa
CV32 5HZ

Warwickshire County Council
Councillor Jeff Clarke
PO Box 9, Shire Hall
Warwick
CV34 4RR
jeffclarke@warwickshire.gov.uk
www.warwickshire.gov.uk

21st March 2018

Dear Chris,
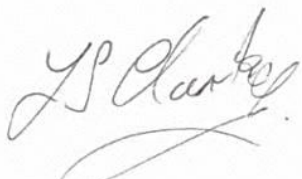
I am writing to confirm Warwickshire County Council's support for the proposed new cycle route through the race course area of St Mary's Land.

This proposal would help to complete the existing cycle route between Woodloes and Aylesford School, which is also designated part of the National Cycle Network in Warwick.

The proposed route would provide an attractive traffic-free choice for people to travel to Aylesford School, the town centre and other local destinations. This will contribute towards the County Council's aim to develop comprehensive cycle networks in Warwick and Leamington, in order to encourage more cycling for local journeys.

Warwickshire County Council is therefore pleased to work with Warwick District Council to deliver this new section of a key cycle route within Warwick.

Yours sincerely,

Councillor Jeff Clarke
Cabinet Portfolio Holder for Transport and Environment

Chris Elliott
Chief Executive
Warwickshire County Council
Riverside House
Warwick
CV32 5HZ

23nd March 2018

National Cycle Network route 41 – St Mary's Land, Warwick

Dear Mr Elliott,

I am writing to confirm our support for the proposed cycle route over Warwick Racecourse and St Mary's Land, which will complete a missing link in National Cycle Network route 41.

It would provide a safe traffic-free route for people to travel to the town centre and importantly complete a traffic-free route for journeys to Alyesford School. The new route would form part of a wider link between Aylesford High School in South West Warwick and Woodloes Park. The alternate on road alignment has several constrained pinch points with limited scope for simple resolution.

The new link will also promote and support healthy lifestyles and access to the area, linking well with other cycle routes and will encourage non-motorised travel into Warwick and key destinations such as the railway station and town centre.

Therefore, we look forward to working with Warwick District Council, Warwickshire County Council and Warwick Racecourse to deliver this project.

Yours sincerely,

Martin Philpott

Head of Engineering, England- Midlands and East
Sustrans

Legend

- Traffic-free path
- Proposed traffic-free path
- Cycle lane on-road
- National Cycle Network Route (on-road section)
- 41 52 National Cycle Network route number
- Canal towpath
- Advisory cycle route (Traffic volumes may vary according to time of day)
- Bridleway (cycling permitted)
- 20 mph zone
- Footpath (no cycling)
- Main road
- Railway with station
- Canal towpath access

- Sch School
- Col College
- H Hospital
- Supermarket
- Library
- Tourist information
- Museum
- P Cycle parking
- Toucan crossing
- Pelican crossing
- Leisure centre
- Bike shop
- One way

Map labels

To Kenilworth (2 miles) & Leek Wootton (½ mile)

Woodloes Park

Packmores

Play Area

Industrial Estate

Cliff Hill

The Cape

Warwick

Warwick Castle

Warwick Parkway

Hampton Magna

Warwick Racecourse

Recreation Ground

To Hatton (1 mile)

Wedgnock Industrial Estate

Industrial Estate

Works

Play Area

Priory Park

St Nicholas Park

St Nicholas Leisure

River Avon

Grand Union Canal

Brand Union Canal

Saltisford Common

Council Offices

BIRMINGHAM ROAD

WARWICK BY-PASS

COVENTRY ROAD

BANBURY ROAD

HIGH STREET

NORTHGATE

PRIORY ROAD

BIRMINGHAM ROAD

A46

A425

A429

A4189

52

41

Briefing Note: Park and Stride Pilot Initiative
From: Paul Garrison (Project Manager – Car Parks)

Overview

It is proposed that consideration be given to piloting a parking/health and wellbeing initiative in Warwick in 2018 with the objective of encouraging public use of underutilised car parks in Warwick.

It is suggested that existing car parks attached to St. Mary's Lands at Bread and Meat Close and Hampton Road are rebranded as 'Park and Stride' car parks where users can derive financial incentives and health benefits for parking in locations outside of the immediate town centre.

If successful, the initiative has the potential to redirect a proportion of the existing demand for parking from the centre of Warwick to the alternative car park locations which could have several operational and strategic benefits including;

- Supporting the St. Mary's Land Masterplan by increasing use and awareness of the site and associated facilities i.e. racecourse, golf centre, gardens, open space.
- Supporting the Linen Street displacement plan by raising public awareness of the two car parks both of which are identified as alternative parking locations in the event of Linen Street closing for redevelopment.
- Supporting Warwick District Council's health and wellbeing objectives by promoting green travel options and encouraging walking.
- Potentially increasing car parking revenue in Warwick through increased ticket sales as the respective car parks.

Currently preferential parking rates are offered at both car parks for which the pilot initiative is proposed. As a consequence it is suggested that no changes to fees and charges will be required to support this initiative. The financial incentives are as follows;

St. Mary's Lands 3 (Bread and Meat Close) – free public parking for the first two hours with parking chargeable after two hours.

St. Mary's Lands 2 (Hampton Road) - £1 for all day parking.

Additionally, no further planning permission is required to implement this initiative.

It is suggested that the pilot initiative could be launched in spring 2018 and reviewed in autumn 2018 to determine its success and give consideration to a more permanent implementation of the initiative in Warwick and the wider District.

Capital Costs

Essential

New signage will be required to promote the scheme on site. It is suggested this can be done by overlaying a vinyl sticker over existing signage. A concept design for the signage is attached in the appendix.

Additional costs will be incurred through publicity and promotion which could include advertising in the local press and design for online promotional material.

<u>Desirable</u>

A recent independent quality assessment of our car parks highlighted potential improvements for the car parks. None of the following are to be considered essential requirements.

<u>CCTV</u>

There is no CCTV camera in the St. Mary's Lands 3 car park, though there is some CCTV coverage from the CCTV camera at the Bread and Meat Close junction. Additional CCTV coverage could be considered for this car park.

<u>Highways Signage</u>

Additional traffic signage for St. Mary's Lands 3 could be considered to direct users to this car park.

<u>Bay Marking</u>

No pedestrian lanes are in place in either car parks and to improve pedestrian management this could be considered. Additionally the bay marking in St. Mary's Lands 3 is faded and would benefit from being refreshed.

<u>Lighting</u>

Lighting in both car parks is considered to be poor and consideration could be given to upgrading the lighting to enhance the user experience and to help reduce any fear of crime concerns.

<u>Potential</u>

At the end of the pilot scheme there may be additional costs to replace the Park and Stride signage if the initiative is deemed to have been unsuccessful.

<u>Revenue Implications</u>

<u>Increase revenue at SML 3</u>

It should be assumed that minimal additional revenue would be generated through this initiative as any new users are likely to use the site because of the free parking incentive.

Longer-term, and making some assumptions about the nature of parking based on other short-stay car parks in Warwick, the potential additional income for this car park would be **c. £25k pa**. (based on an average occupancy of 75%). The financial benefits are only likely to be realised however once alternative 3-4 hour stay options become limited i.e. when Linen Street closes. Currently annual income for SML 3 is c. £10k pa.

<u>Increase revenue at SML 2</u>

Parking is currently charged at £1 a day on this car park and if we were to aspire to an average occupancy of 75%, this could generate and additional **c. £25k pa** – with this reducing proportionately with a reduction in occupancy. Currently annual income for SML 3 is c. £10k pa.

<u>Loss of revenue from alternative car parks</u>

If the initiative proves successful there is the potential for some loss of income from the town centre car parks. However it may be assumed that if capacity is released in the town centre car parks some of the residual on-street demand is likely to fill this space.

Approach

<u>Option 1: Park and Stride to be promoted and piloted as a Warwick District Council initiative</u>

Warwick District Council could choose to pilot this initiative in isolation. In this scenario the branding would be designed in the corporate image and the initiative would be promoted so as to align with the District Council's strategic priorities i.e. economic development, health and wellbeing etc.

By developing this initiative in isolation Warwick District Council retains control over the project messages and receives surety that the scheme will be delivered as envisaged by WDC and without an excessive amount of cross-agency discussion and deliberation which should trim down delivery timescales. Additionally assuming the initiative is positively received it may be beneficial for the authority to be clearly identifiable as the lead on this initiative.

Given that the initiative relates to car parks on St. Mary's Lands there is a risk however that by taking a 'silo' approach and not being seen to work with partners WDC could face both public and political criticism for now thinking outside of its own relatively, narrow parameters.

<u>Option 2: Warwick District Council partner with Warwickshire County Council</u>

Warwick District Council could partner with Warwickshire County Council under the banner of Warwickshire Active Travel initiative.

A partner approach on travel reinforces the strong partnership approach that exists at present with the St. Mary's Lands Masterplan. Additionally the Warwickshire Active Travel initiative is a regional brand and by incorporating this into the Park and Stride initiative the scheme could benefit from a regional PR reach beyond what could be attained if the scheme were seen to be a WDC initiative only.

The risk with this approach is that the initiative will need to go through a period of consultation and discussion to get agreement from all partners which will likely affect timescales. In terms of key messages, Warwick District Council may lose some control over the initiatives narrative with the Active Travel message likely to be the core message.

Additionally, Warwickshire Active Travel is evidently a very strong County brand and there is a risk that any goodwill received by the initiative will directed towards WCC rather than WDC.

Risks

If successful there is a risk that public take up of the free parking at SML 3 reduces the capacity for parking for users at the Golf Centre and Hill Close Gardens. In reality demand would have to increase significantly from current levels to affect either of these operations and they may even benefit from the increased levels of awareness afforded to them by the increased parking.

If parking were to become problematic consideration could be given to providing allocated parking spaces for users of the Golf Centre and Covent Garden.

See Separate Sheet for Park and Stride Concept Design

Congratulations for choosing to Park and Stride.

Walking is simple, free and one of the easiest ways to get more active, lose weight and become healthier. And by choosing to Park and Stride you can save money too.

Use this guide to understand the amount of walking you do every week and maximise the health benefits.

For more info visit www.warwickdc.gov.uk/parkandstride

Park & Stride

P Car parks — Footpaths - - - - Optimum walking route

A425 TO WARWICK PARKWAY SOLIHULL & BIRMINGHAM

WEEKENDS ONLY

COUNTY RECORD OFFICE

PRIORY PARK

COVENTRY

A445 TO LEAMINGTON

SALTISFORD

ST JOHNS

PRIORY RD

CHAPEL ST

LEISURE CENTRE

COMMAINGE CLOSE

WEEKENDS ONLY

BARRACK ST

NORTHGATE ST

THE BUTTS

SMITH ST

ST NICHOLAS CHURCH ST

OLD SQUARE

TINK-A-TANK

GERRARD ST

CASTLE HILL

ST NICHOLAS PARK

WARWICK GOLF CENTRE

MARKET PLACE

EW ST

CHURCH ST

JURY ST

CASTLE LANE

CP

LINEN ST

10 MINS

PEDESTRIAN LODGE GATE TO CASTLE

BANBURY RD

A425 TO LEAMINGTON

ST MARY'S LANDS

MARKET

BROOK ST

SWAN ST

CASTLE ST

BACK LANE

CASTLE ENTRANCE

MILL ST

MYTON FIELDS

MYTON RD

HILL CLOSE GARDENS

BOWLING GREEN ST

PUCKERINGS LANE

HIGH ST

RIVER AVON

CASTLE BRIDGE

A425 TO M40 (J13 & 14) & BANBURY

FRIARS ST

WEST ST

LEYCESTER PLACE

CASTLE LANE

WARWICK CASTLE

BRIDGE END

YOU ARE HERE

HAMPTON ST

CROMPTON ST

STRATFORD RD

A429 TO M40 (J15) & STRATFORD UPON AVON

MAIN CASTLE CAR PARK

CP

WARWICK CASTLE GROUNDS

10 MINS 0.25 miles = 550 steps = 5 calories every 10 minutes!

WARWICK DISTRICT COUNCIL

Appendix 1 – Linen Street Emergency Displacement Plan

User	Peak Number of Users	Weekday (Non Race day)	Weekend (Non race day)	Weekday (Race day)	Weekend (Race day)	Capital Cost	Revenue Cost	Income
Season Ticket Holders	48 at Linen Street 40 at West Rock	St. Mary's Land Area 2 (free parking) Sainsbury's (subject to agreement)	St. Mary's Land Area 2 (free parking) Sainsbury's (subject to agreement)	Warwick Racecourse Sainsbury's (subject to agreement)	Warwick Racecourse Sainsbury's (subject to agreement)	Signage Plan c. £20k	Loss of season ticket income Linen Street c. £24k per annum	Income from season tickets at Sainsbury's - TBC
Residents (Martinique Square/ Woolpack)	30	West Rock (secure parking)	West Rock (secure parking)	West Rock (secure parking)	West Rock (secure parking)	Development of secure compound £20k	Annual maintenance and repairs – c. £1.5k Loss of income from 22 season tickets at from West Rock c. £11k per annum	Nil

Residents (Print Works)	40	West Rock (allocated parking)	West Rock (allocated parking)	West Rock (allocated parking)	West Rock (allocated parking)	Signage to mark bays c. £2.5k		Nil
Short-stay	120	St. Mary's Land Area 3 (Up to 4 hours) St. Nicholas Park (Up to 4 hours) Sainsbury's (Up to 2 hours free parking)	St. Mary's Land Area 3 (Up to 4 hours) St. Nicholas Park (Up to 4 hours) Sainsbury's (Up to 2 hours free parking) Cape Road car park (WCC car park free parking)	St. Nicholas Park (Up to 4 hours) Sainsbury's (Up to 2 hours free parking)	St. Nicholas Park (Up to 4 hours) Sainsbury's (Up to 2 hours free parking) Cape Road (WCC car park free parking)	Development of additional parking at SML 3 c. £100k	Loss of P&D Linen Street (including long-stay) c. £90k Loss of P&D from West Rock c. 80k	Uplift in income c. £30k
Long-stay	60	St. Mary's Land Area 2 (free parking)	St. Mary's Land Area 2 Barrack Street	St. Nicholas Park (All-day) Myton Fields (All-day)	Barrack Street St. Nicholas Park (All-day) Myton Fields (All-day)	Signage Plan	Loss of Revenue from SML 2 c. £5.5k	Uplift in income c. £25k

Totals	298 users					Total forecast Capital Cost	Total forecast Annual Revenue Cost	Total forecast income
						c. £142.5k	£212k pa	c. £55k pa

Parking Capacity at displacement sites at peak times

Short stay

St. Mary's Area 3 – c. 60 spaces (after proposed development)

Sainsbury's – c. 100 spaces (subject to seasonal fluctuations)

St. Nicholas Park Car Park – c. 100 spaces (subject to seasonal fluctuations)

Myton Fields Car Park – up to 600 spaces (subject to seasonal fluctuations)

Long stay

St. Mary's Land 2 – c.155 spaces

Barrack Street Car Park c. 190 spaces (weekend only)

Cape Road Car Park c. 25 spaces (weekend only)

Appendix 1 – Linen Street Emergency Displacement Plan

<u>Linen Street Car Park Emergency Displacement Plan</u>

1. Overview

1.1   This note and the accompanying document outline the proposal for managing the displacement of all existing users from Linen Street car park in the event of an emergency closure.

1.2 Presently the structural issues are not considered significantly concerning in terms of a need to close the car park for use at short notice. This may be subject to change however.

1.3 The plan considers the number of users parking in the affected car parks at peak times and has been designed to accommodate these users. As a consequence the plan will be able to accommodate users at times of the year where demand is lower.

1.4 Due to the availability of WCC staff car parks at Barrack Street and Cape Road at the weekends it should be noted that the primary objective of the displacement plan is to manage the impact of the closure on weekday users.

1.5 This displacement plan is to be implemented in an emergency measure only currently. Giving consideration to a managed closure of Linen Street car park for redevelopment, an agreement still needs to be reached with Taylor Wimpey (as leaseholder) regarding the short-term relocation of residents. Discussions are ongoing but an agreement is unlikely to be reached until a firm proposal for a long term parking solution is in place.

2. Recommendations

2.1 The emergency displacement plan recommends the following temporary parking alternatives;

• Residents (Martinique Square/Woolpack/Print works - Up to 70 users) – displaced to West Rock car park
• Season Ticket Holders (Up to 88 users) – displaced to St. Mary's Land Area 2 and Sainsbury's car park (subject to agreement), with a small number retained at West Rock.
• Short Stay Pay and Display Users (c. 120 users) – displaced to St. Mary's Land Area 3 car park, St. Nicholas Park and Sainsbury's car park
• Long Stay Pay and Display Users (c. 60 users) – displaced to St. Mary's Land Area 2 car park

2.2 Alternative parking options are necessary on race days where parking at St. Mary's Land is unavailable for public use. Contingency options are noted on the table at appendix 1.

2.3 It is also noted that a small proportion of the parking capacity at St. Mary's Land 3 will need to be retained for use by patrons of the golf course and Hill Close gardens (c. 15 spaces).

2.4 It is noted that seasonal fluctuations will reduce the availability of parking space at some sites specifically St. Nicholas Park and Myton Fields during the Summer holidays (weather depending) and Sainsbury's over the Christmas shopping period.

3. Budget Framework

3.1 The capital cost of this proposal is forecast to be c. £142.5k as detailed in appendix 1. The majority of this investment is on the development of Saltisford Brook and the creation of additional car parking spaces in line with the St. Mary's Land Masterplan which has been budgeted for. The remainder of the capital costs do not currently budgeted for.

3.2 The annual revenue cost for the displacement plan is forecast to be c. £212k as detailed in appendix 1. There is currently no budget allocated to this.

3.3 All pay and display income will be lost from Linen Street car park and West Rock car park for the duration of time that the displacement plan is in operation.

3.4 Additionally pay and display income will be lost from St. Mary's Land Area 2 (c. £5.5k per annum). It is considered necessary to offer parking free at this car park in the displacement plan to incentivise use of this car park. Planned improvements to pedestrian links will further enhance the viability of this site for long-stay users and discussions with Stagecoach are ongoing to explore price changes to facilitate the use of the regular bus connection located out the front of the car park.

3.4 A small amount of season ticket income will also be lost from West Rock due to loss of capacity at this site to accommodate residents.

3.5 An uplift in pay and display income is anticipated as a consequence of the displacement plan due to increased parking in District Council off-street pay and display car park (St. Mary's Land 3 and St. Nicholas Park). This increase is forecast to be in the region of £55k pa.

3.6 A small amount of income may be derived from season ticket holders at Sainsbury's although this arrangement is still subject to agreement. Productive discussions are ongoing and officers are optimistic an agreement can be reached with regards to this.

SML IDENTITY AND VISION

Focus of Working Party needs to evolve:

- **greater emphasis on management and maintenance, understanding the role of St. Mary's Lands.**

- **consider the longterm identity of within the District's and Warwick's green space offer. Is this a local park for local users (as expressed on the FoSML website) or an important part of a wider community and visitor offer?**

This masterplan represents a balanced response to the opportunities and threats posed at St. Mary's Lands. It recognises that there may be a need to invest in developments that supports the wider economy, such as a hotel and expansion of the caravan park, but where any such need exists, it cannot be at the detriment to the greenspace. Any such development must respond to the sense of place and the multi-purpose sporting, recreational and leisure use of this important public open space.

- A local leisure resource?

- A country park on the door step?

- A destination park / events and activities?

- An environmental centre?

In spite of the many and varied views and opinions expressed, the single most important message is that St. Mary's Lands is a public open space, available to all and must remain 'green'.

SML Report on Consultation Outcomes.

Access, Wayfinding & Furniture Strategy
St. Marys Lands

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landscape urbanism **design**

Introduction

St Mary's Lands provides an important recreation, leisure and entertainment facility. Most of the site's developed facilities are located to the east and south of the site, with only the racecourse track itself, the golf course and several wildlife habitats extending to the west and north. Whilst a few of the onsite facilities have an on-street presence, facilities such as the Golf Centre, Hill Close Gardens and the Caravan Club are set deeper within the space and have less direct exposure to the public.

There is a good network of paths and roads that connect the site with the nearby town centre. Main vehicular and pedestrian access is from the eastern and southern boundaries. There are four car parks on the site, evenly spaced along the boundary.

There is not an obvious main entrance to St Mary's Lands that would facilitate successful promotion of all the individual stakeholders and all the different parts of the site. The main racecourse entrance, located to the south-east of the site at the junction of Friars Street and Hampton Street is currently inward looking and primarily concentrates on promoting the racecourse. Enhancement of the public realm around this entrance will improve the visual amenity of the site and connectivity to the wider town, whilst providing opportunity to promote all of the St Mary's Lands facilities and stakeholders on an equal footing.

Enhancement of the further three access points to the east and south of the site (Vittle Drive, Linen Street and Hampton Road) would help define St Mary's Lands as a single site, whilst improving pedestrian and cycle circulation, and wayfinding across the site.

Existing site signage, either directional or interpretative, is limited. Signage that does exist appears ad-hoc, poorly arranged and located, and does not form part of a coordinated wayfinding and information strategy. Existing site interpretation boards promoting and explaining the importance of the Local Wildlife Site are more recent and are positioned relative to the habitat they are describing. These could easily be accommodated in a wider site wayfinding strategy.

As the site falls wholly within Warwick's Conservation Area, the opportunity for signage and branding to advertise the sites facilities is restricted and further dialogue and approval with planning would be necessary.

This document sets out proposals for a coordinated access and wayfinding strategy. The placement of new directional signage accompanied with interpretative signage at key site entrances would improve wayfinding across the site and legibility on arrival, whether this is by foot, car or public transport.

Further opportunity exists to coordinate new site furniture, such as benches and litter bins, alongside any new site signage. An initial strategy is illustrated on the plan opposite.

The addition of wider signage outside of the site boundary, improving connections from the town centre and the local rail stations, could be added to the strategy in the future.

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Proposals defined in the Masterplan
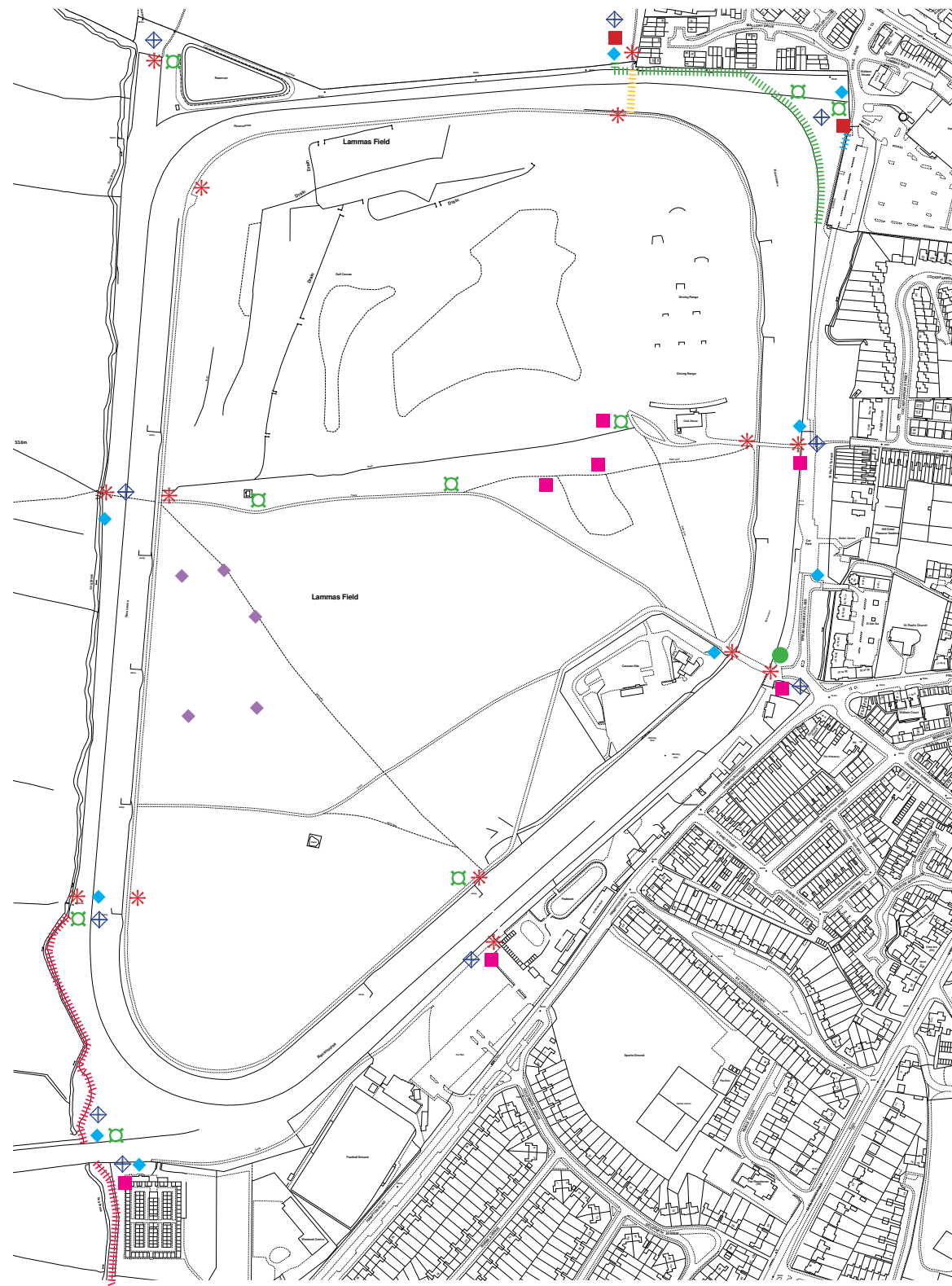
Legend:

‖‖‖‖‖‖ (green)	New Timber Post & Rail Fence With Wire Mesh & Native Hedge (Offset 3.0M From Running Rail
‖‖‖‖‖‖ (blue)	Removal Of Existing Post & Rail Fence
‖‖‖‖‖‖ (red)	Footpath Improvement To Gog Brook
✳	Formal Access Point
●	Site Entrance Signage
⬦	Finger Post
■	Interpretation Board
¤	Bench Position
◆	Dog Waste Bin & Bag Dispenser
‖‖‖‖‖‖ (yellow)	New Fibresand Crossing
◆	Model Flying Club Boundary Markers - Detail Tba

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Character Zones

St Mary's Lands can be broadly described under four main character zones, each of which influences the choice of materials:

- The landscape and car parking strip running adjacent to the Saltisford Brook, forming a transition point between the town centre and the historic lan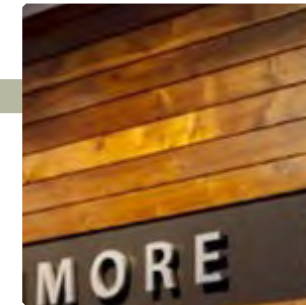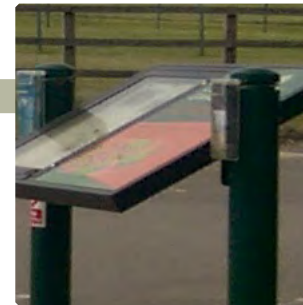dscape of Hill Close Gardens and the more open landscape of the Common. The materials palette within this zone could relate more to the town centre and Hill Close with a semi-formal and semi-urban approach. Materials could include painted metal work, stained timber, and natural stone paving accents

- The open space of the Common, generally bordered by the race track is defined as a more naturalised space characterised by its grassland and gently undulating topography. New building interventions within this central space, such as the replacement to the Golf Centre buildings need to respond to the natural, landscape setting and a low roof line with deep overhangs that create shadow and reduce window reflection would be appropriate. Materials within this zone need to be simple and robust with an emphasis on unstained timber and non-reflective cladding and window glazing

- The Hampton Street entrance and Grand Stand corridor of taller buildings and larger massing. The impact upon the Listed buildings and smaller scale residential terrace of Hampton Street needs careful consideration of material choices. This could vary within the zone, depending upon immediately adjacent buildings. A darker colour brick 'plinth' would respond well to the high walls and terrace of Hampton Street, lighter materials may help to alleviate the canalising effect of the larger building forms above a single storey. Views from the Common may be less effected by the use of darker, more recessive materials.

- The Hampton Road to Gog Brook is less developed with a greater variety of building and landscape elements. The zone is transitional between the two story, red brick and pebble dash sub-urban housing of the Forbes Estate with the open landscape of the Common, a wider range of materials could be used within this location that could help to unify the otherwise more dispirit character.

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Interpreting Zoning to Materials

ZONE 1   Urban Transition

ZONE 2   Warwick Common

ZONE 3   Hampton Street North Corridor

ZONE 4   Hampton Street South Corridor

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Zone 1: Urban transition

01

02
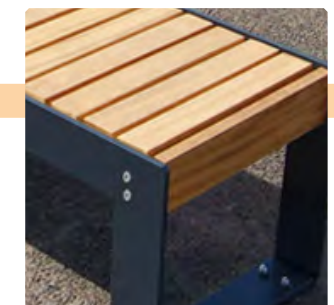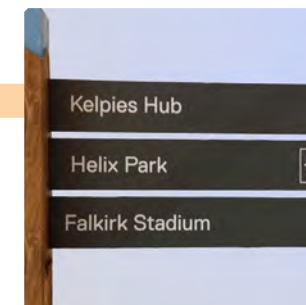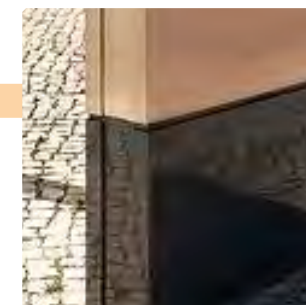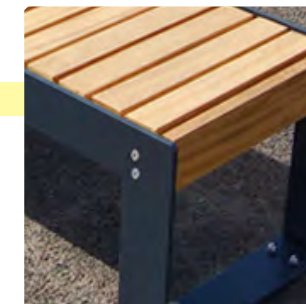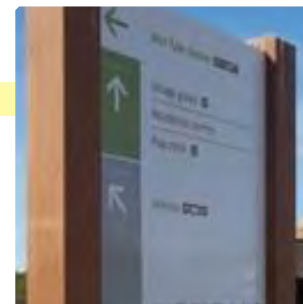
Existing (Retained) Signage

01   Interpretative Signage
Metal posts and frame with graohic information panel and integral
lockable notice board. Green painted finish.

Proposed Signage

02   Directional Signage - Fingerposts
Combination metal and wooden construction
Oak posts with metal fixed direction arms
Green fingers with white text/ etxhed graphics

03   Custom Entrance Signage
Combination metal and wooden construction
Metal frame; horizontal timber slats with inlaid
metal signage. Green finish with white text/ etched graphics

03

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Zone 2: Warwick Common

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Zone 4: Hampton Street South Corridor

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01 - 150 X 150MM AIR DRIED OAK POST WITH
PYRAMID TOP DETAIL. POSTS 1200MM ag.

02 - 800 X 500MM NON FADE GRAPHIC PANEL
MOUNTED ONTO TIMBER BOARD FIXED AT 30
DEG ANGLE TO TIMBER POSTS WITH HEX-BOLT
RECESSED SECURITY FIXINGS.

03 - 150 X 150MM AIR DRIED OAK MARKER POST
WITH PYRAMID TOP DETAIL. POSTS 600MM ag.
iNFORMATION GRAPHICS ROUTED PRIOR TO
PAINTING.

04 - POSTS SET IN CONCRETE FOOTING TO
MANUFACTURERS RECOMMENDATIONS

150   800

01

02

1200

30°

500

150

1200

03

600

04   04   04

INTERPRETATION SIGNAGE
ELEVATION

INTERPRETATION SIGNAGE
SECTION

WMF FIELD
BOUNDARY MARKER
ELEVATION

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St Mary's Lands

Warwick Model Flyers Group

WARWICK DISTRICT COUNCIL

90 Glorious Years at St. Marys Lands Flying Site

The Wright brothers first flew in 1903 marking the start of sustained flight and the advancement of aviation beyond all expectations. Eleven years later we saw the aeroplane evolve into a machine used for fighting purposes, refined from the original Wright patents, using wood and fabric as the main building material. Interest in aeronautics gathered momentum worldwide and information was exchanged by enthusiasts on the best types of design, and how to build the most efficient aerofoil sections. In 1927 a turning point came about which proved the aeroplanes capability to fly long distances. Charles Lindbergh flew the Atlantic nonstop, travelling from Roosevelt field, Long Island, New York to Paris in the Spirit of St Louis aeroplane. These were to be known as the 'Golden Years' of aviation.

Meanwhile worldwide groups of enthusiasts were busy designing and flying small flying machines as models. At that time the only available power was rubber power which was twisted into skeins and provided the necessary power to the twisted tinplate propeller blades. Model groups were formed and flew from open land or 'commons' and this is where our own roots start as model builders and flyers. In 1926 wealthy gentlemen would travel up from London to their other properties in the Midlands. They would tend their well kept gardens at Warwick, now known as **Hill Close Gardens**, whilst they waited for the race days ahead. In between there was another interesting group of people appearing on St Marys Lands; bowler-hated men were carrying frail flying machines, and meeting up to fly their creations on the common. They were known as aeromodellers, the first people experimenting with what were known as A-Frame pushers. These were twin rubber driven models with motors facing outwards and simple wire skid undercarriages. **Miniature aviation first appeared at Warwick on the very land we fly on today in 1926, a year before Lindberghs flight across the Atlantic.**

In 1936 model aeroplane competitions were starting to appear and attract large crowds of people. The aerodrome at nearby Baginton was to become the scene of one such event which was repeated that same year at St Mary's Land. Model flyers from all over the country gathered to fly their machines, some of which were covered with oiled silk and made from bamboo and other materials. Just like today the friendly banter and exchange of ideas took place. Today, you can see a typical gatherings of the young and not so young enjoying a days flying.

As the war years approached there was to be a nationwide ban on flying powered aeroplanes in case of any confusion with invading German aircraft. Model flying did carry on although much more in a limited capacity. The Army used the land for practise and the odd Westland Lysander would be seen landing here in connection with Budbrooke barracks not far away, and the old satellite Warwick airfield across the way flying Airspeed Oxford aircraft doing landing practise. A plan for an A-Frame pusher like the ones used on our common.

So we, The Warwick Model Flyers, are the current custodians of an activity that has been practised on St Mary's Lands for 90 years. The common has been very much a small part of the history of aviation throughout time. Even though the model types, and technology has changed dramatically, the same enthusiasm prevails as it did all of those years ago.

WDC MODEL FLYING FIELD

In the interests of Health & Safety, the Public are kindly requested to not venture on to the mown Airstrip area during model flying.

We would kindly request that you keep both children and pets under control whilst in this area.

If you would like to view the flying, you are more than welcome. Please stand safely in the same area as the flyers.

Model Aircraft Flying

We have two sites where you are welcome to fly model aircraft, one at St Mary's Lands and one at Newbold Comyn.

These sites are both used by other visitors as well and flyers are expected to behave in a way that does not unduly disturb other users or nearby residents. The rules below have been designed to ensure the safety of everyone visiting the area and the comfort of nearby residents, whilst allowing model flyers to enjoy their hobby. If you fly on one of these two sites you must adhere to the following rules:

Rules of Flying

- Flying should take place only within the flying area defined by the boundary markers. Flyers must make every effort to ensure that models do not strat beyond this.
- These are public areas and flyers must give priority to other visitors at all times.
- All flyers must be current members of the British Model Flyers Association (BMFA) and covered by a minimum of £5million public liability insurance. Evidence of BMFA membership must be available for inspection by Council Officers at all times when flying
- Only models of less than 7kg may be flown
- Flyers must at all times comply with Civil Aviation Authority's Air Navigation Order and code of Practice CAP 658 ' Model Aircraft: A Guide to Safe Flying'
- All models must be fitted with an appropriate silencer and operated in a manner which minimises the potential to cause noise nuisance. Flyers causing a noise nuisance to neighbouring residents may be asked to cease flying

Flying Times

Flying must only take place during the following times:

- Monday - Friday (excluding bank holdays) 10.00am to 7.00pm
- Weekends and bank holidays: 11.00am - 4.00pm
- Flying is not permitted during race meetings

Contacts

Warwick District Council
Tel. 01926 456128
www. warwickdc.gov.uk/parks

Warwick Model Flyers
www.warwickmodelflyers.org.uk

Model Flying at SML

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01 - 150 X 150MM AIR DRIED OAK POST WITH

PYRAMID TOP DETAIL. POSTS 1200MM ag.

02 - 800 X 500MM NON FADE GRAPHIC PANEL

MOUNTED ONTO TIMBER BOARD FIXED AT 30

DEG ANGLE TO TIMBER POSTS WITH HEX-BOLT

RECESSED SECURITY FIXINGS.

03 - NOT USED

04 - POSTS SET IN CONCRETE FOOTING TO

MANUFACTURERS RECOMMENDATIONS

05 - 400 X 500MM ALUMINIUM FRAMED

LOCAKABLE NOTICE BOARD

150　　800　　400

1200

(01) ●

(02) ●

(05)

(04) ●

INTERPRETATION SIGNAGE
WITH OPTIONAL (LOCKABLE) NOTICE BOARD
ELEVATION

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Fingerpost Options
Zone 1

1. Oak Post, metal fixed direction arms
Square section post. Painted finish to post top; green arms with etched and white vinyl applied graphics. Square post.
£900.00

2. Oak post, metal multi-direction arms
Square post with machined round section for mounting signage. Modular green arms with 'collar' fixing. White vinyl applied graphics.
£800.00

3. Oak post, metal fixed direction arms
White fixed arms, with green printed graphics.
£750.00

4. Metal post, PVC multi-direction arms
Galvanised/ powder coated green steel post with white printed finger arms. Round post.
£650.00

Note: Cost comparison based on two arms

Zone 2

1. Oak Post, oak fixed direction arms

2. Oak post, oak painted fixed direction arms

3. Softwood post, softwood fixed direction arms

4. Douglas Fir post, marine grade plywood fixed direction arms

Note: Cost comparison based on two arms

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WARWICK CORPS OF DRUMS

BUSINESS PLAN - UPDATE

Incorporating facilities development plan

For West End Point Community Project

March 2018

BUSINESS PLAN

Table of contents

Section 1 - Overview

Warwick Corps of Drums, formerly the Warwick Girls Marching Band, is a registered Charity and offers musical training and performance opportunities to boys and girls, young men and women aged 8-25 from South Warwickshire and neighbouring areas.

Boys and girls are offered the chance to learn and perform on instruments not typically accessible to them including marching percussion, bass brass and tuned percussion. The band takes part in the British Youth Band Association's competitive season as well as performing all over the UK and overseas.

All staff: are volunteers and the band is entirely self-financing and relies on fundraising and donations to purchase, maintain and replace instruments, uniforms and other equipment. It also has a headquarters in Warwick building, which must be maintained, again financed through fundraising, grants and donations.

Like many not-for-profit organisations and charities, Warwick Corps of Drums has the continual challenges of funding and maintaining the quality of its buildings and facilities. This Business Plan demonstrates the professional approach adopted by the organisation and its commitment to provide a safe and organised environment for young people to flourish.

1.1 Organisation Details:

- Established: January 1979

- Registered Charity Number: 510895

- Board members: 5

- Volunteers: 24

- Phone number: 01926 490444

- Address: West End Centre Hampton Road Warwick CV34 6JP

- Chairman: Mr John Morton jmstjohn1965@gmail.com 07866 459564

Section 2 - History

Warwick Corps of Drums was formed in 1979 by: Ron Everett who had previously led the Kenilworth Guides band. Ron and his wife Jo put a great deal of their lives into making the band a success and providing a fun, safe and educational hobby for young boys and girls in the Warwick and Leamington area. Over the years many hundreds of young men and women have performed in the band.

The Warwick Corps of Drums now draws members drawn from across the Warwick district and town. Currently there are two bands:

- Warwick Corps of Drums (25 members)
- Warwick Community Band (80-90 members)

The Bands perform locally and nationally at many events throughout the year – and have built a fine reputation through success in many regional and national competitions.

Section 3 - Management and Organisation

The Warwick Corps of Drums: is run solely by volunteers. The organisation is a registered Charity (registered number 510895) and has an elected Management Committee – many of whom give their personal time to the running and future development of the group.

3.1 Aims and Objectives

The Organisation's aim as stated in the Constitution (2014) is:

"To promote, improve, develop and maintain public education in and appreciation of the art and science of music". We achieve this by performing and competing across the UK and Europe."

The Objectives of the Organisation (as submitted to the Charities Commission) are:

To promote, improve, develop and maintain public education in, and appreciation of, the art and science of music by giving public performances and by such means as the Charity, through its Management Committee, shall determine from time to time in furtherance of the foregoing Objects but not further or otherwise, the Charity may:

a) Offer musical training and performance opportunities to boys and girls, young men and women aged 8-25
b) Represent Warwick in marching youth band competitions
c) Obtain, collect and receive money and funds by way of contributions, donations, legacies, grants and any other lawful method and accept and receive gifts of property of any description,
d) Do all such things as are necessary for the furtherance of the Objects of the Charity.

Section 4 - Development Plan

4.1   General

Warwick Corps of Drums plans will continue to increase the membership of the Bands and to extend the performing arts into all areas of the Warwick district, bringing the benefits of the same particularly to those members of the community that would not otherwise have such benefit.

The existing facilities, are already used extensively by several local community groups including:

- Hannah Clare Dance Academy
- Morris Dancers
- Irish Dancers
- Rock n Roll
- Karate
- Bingo
- Visiting national and international bands
- National Frisbee Team
- Car Booters
- Caravan Club
- Keep fit class
- Private functions

Corps of Drums has recently begun to rent out some of its facilities – with an initial sub-tenant being Warwick Cam-Riders, a motorcycle training school who rent an office, storage space and car park access. This is proving a successful venture and, along with other future sub-lets and venue hire, represents an important future income generation source, as the facilities will be maximised in terms of daytime usage and occupation. Such income will be needed to sustain the Corps of Bands and its activities, as well as providing financial resources to maintain the upkeep of the building complex. To capitalise on this opportunity for workspace and event hire, the Corps has embarked on a Buildings Improvement Plan – designed to upgrade facilities for Corps activities whilst at the same time presenting a higher quality venue and work space for the community and other outside organisations and businesses.

Whilst the primary objective is to generate income from new tenants and venue hire, the Corps of Drums is also keen to meet local expectation and demand for community facilities. The Committee have started discussions with local community organisations, residents groups and council community sport officers to identify gaps in local facility provision for community and internet café and free WIFI, which will include a soft play and sensory play area for mom and tots groups including disabled children, along with outdoor play area which will also have disabled accessibility. Recording studios for start up musicians, Nosh and natter, afternoon tea and old time dancing for the elderly, community health groups and dementia care. In addition first aid training area, conference suites and venue hire.

4.2 Building Improvement Plan

Over the years since formation, great strides have been made in turning the once derelict West End Centre into a valuable young people's centre and community asset. With previous financial support of the District Council and the Henry VIII Charity, the building now has two halls, a conference room, several classrooms, a garage, a kitchen and showers.

However, the existing building, which was erected in 1979, is now in need of updating and more precisely, adaptation to service the modern needs of the Corps, other venue users and of the surrounding community which it supports including disabled access and disabled facilities.

As part of the Council-led St Marys Redevelopment Scheme[1], the site forms an important facility not only for the Corps own activities and that of its user groups but also in the wider context of St Mary's Lands – with the potential to provide an important conference and events venue and provide over-spill car parking for Warwick Racecourse.

To make improvements to the site and building, which will not only sustain activities but will also present valuable community space and income generation prospects e.g. venue hire and add value to the realisation of the St Mary's Lands Development Plan.

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[1] http://friendsofstmarylandswarwick.co.uk/item-6---160324-st-marys.pdf

Corps of Drums building and car park (04)
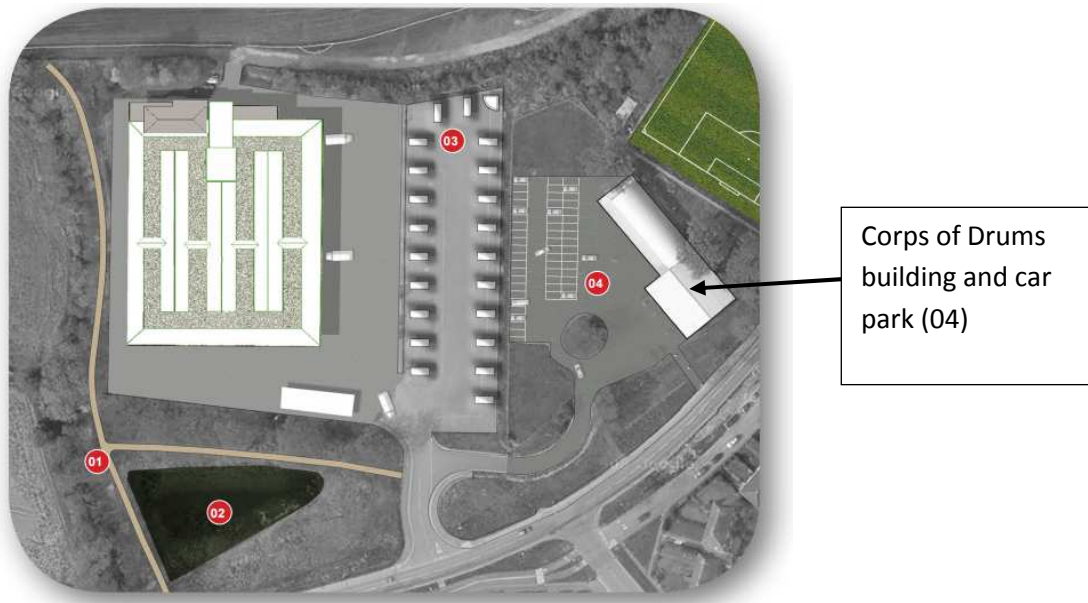
As part of the work to support the negotiations with the Council, WDC officers undertook building survey work on behalf of the Corps of Drums in 2015 to enable them to determine the level of investment required to undertake the building improvements – and at that time, an outline estimate of costs was £176,000 Inc. VAT (This has subsequently been adjusted in line with revised plans to a budget of £195,000 Inc. VAT).

The building refurbishment proposals (detailed overleaf and summarised below) include:

- Structural improvements to be made to deal with the building's water penetration issues;
- Investment in the fabric of the building to provide better insulation and energy efficiency i.e. reducing costs of heating and lighting by installing PV Solar roof panels which will provide energy to heat and light the building and also generate a small income back from the grid.
- Internal improvements to the building and layout including kitchen, café and bar facilities to enable multi-use for the community and commercial hire.
- The washroom, toilet and showering facilities are upgraded for Corp members and for visitors including disabled toilets and shower area.
- Providing an indoor soft play and sensory room, along with an outdoor play area all to have accessibility for the disabled.
- Provide two new entrances for disability access and covered porch over both entrances.
- Provide a more aesthetic outdoor area enhancing the buildings outdoor space by planting trees, shrubs and plants to give this space character and help with screening and shading. The plants will add colour, texture and scent to attract a better habitat for butterflies, birds and other wildlife to the site.

Section 5 – Description of Works

Staged Planning and Works. This schedule will depend upon confirmation of grant funding

The Corps of Drums has prepared an internal 'Vision Paper' which outlines the various stages of work planned as shown in the outline plans and as follows:

Small Hall -   **2016**

The Small Hall requires a new insulated ceiling, new low energy lighting. Redecoration throughout has taken place. The kitchen needs to be updated to provide a working space & bar area to provide for the new Internet - café and free WIFI area. This will be a full equipped working kitchen.
A brand new Music and Uniform Store has been created into the Small Hall.

2018 – Plastered   **2018 painted**

Section 6 - Financial Plan and Funding Strategy

6.1 Present financial situation

The Charity's present sources of income are:

    a) Subscriptions from members
    b) Licence fees and event fees
    c) Donations (including £500 pa from Warwick Town Council for signage and publicity)

As of 1st January 2017, the Charity's three accounts with Lloyds Bank PLC (Swan St, Warwick) are in credit to the sum of £26,683.00 (see below).

6.2 Three-years accounts

The Corps of Drums has itemised income and expenditure accounts produced and audited going back over several years. The 2016 accounts have now been completed to 31.12.2016 and these figures have also been included. These figures have provided the baseline for forward Income & Expenditure projections to 2019 (see summary below and detailed analysis).

Warwick Corps Of Drums
Financial Summary 2014-2017 (FY to end 31/12 each year)

	2014	2015	2016	2017.1.1
	£	£	£	£
Bank Balance at 01.01	9,158	15,991	12,062	26,683
Income	23,420	24,654	54,661	
Expenditure	16,587	28,584	40,040	
Surplus/Loss	6,833	-3,930	14,621	

6.3 Income & Expenditure

The Corps of Drums has produced a realistic projection of the income and expenditure deemed likely as a result of the grant awards and the building improvements. The summary below (and the detailed I&E forecast) shows that the grant support provides the Corps with a steady and positive profit over the next four years, given the slow start in 2016-17 (due to works only started in Winter 2016 and therefore reduced income generation opportunity). The grants (on the assumption of successful awards for the four Stages) are shown in the 2016-17 income, as are the build improvement costs, based on the assumption that all works will be completed by Autumn 2018. 2016 figures are a true account.

West End Project & Warwick Corps Of Drums

Income & Expenditure Forecasts		2016	2017	2018	2019
		£	£	£	£
INCOME					
WCOD		6,260.00	3,005	3,250	4,750
West End Project	Grants	27,560.00	100,000	25,000	-
West End Point		20,841.00	27,500	33,500	43,250
Total Income		54,661.00	130,505	61,750	48,000
Expenditure					
WCOD		6,519.00	2,500	2,800	2,900
West End Project		15,027.00	100,000	25,000	-
West End Point		18,494.00	25,500	28,800	32,400
Total Expenditure		40,040.00	128,000	56,600	35,300
Surplus/Loss		14,621.00	2,505	5,150	12,700
Surplus will be used for future projects					

Section 7 - Project Budget

7.1   Estimated Remaining Project Costs

Detailed work has taken place to identify the estimated costs required to support the site refurbishment proposals as outlined in this Business Plan. The Warwick Corps of Drums appreciates the support being provided by Warwick District Council and other organisations that have so far supported this project.

The total project costs still requiring funding is £25,000 including VAT. This is made up of the following components

Stage	Area		Cost
Stage Four	Small Hall		
Phase One	Fit and Supply new suspended ceiling with low energy lighting		£10,800.00
Phase Two	Fit New Flooring (Already Purchased), Skirting boards and paint		£3,600.00
Phase Three	Re-wire hall and fit new power points & emergency lighting & Additional Radiators		£2,850.00
Phase Four	Replace windows with new UPVC Double glazed units		£2,750.00
Phase Five	New Website, Signage, Brochures to promote building, band and facilities		£5,000.00
	Total Funding Request		£25,000.00

7.2 Grant Funding Sources

7.2.1   Warwick District Council match funding

In October 2014, the Council agreed to provide 'match funding' to the Warwick Corps of Drums to the 'tune' of £50,000 from the Council's Capital Investment Reserve to enable

Leverage: of further funding and to contribute to the refurbishment and upgrading of the building facilities at the Hampton Road site.

Minutes from the WDC 3rd Sept 2015 Executive Report confirmed this contribution (following the withdrawal of the Warwick Cadets relocation option) as follows:

> *Minute 2.9 - That the Executive modify the decision made in October 2014, from:*
>
> *"That Executive agrees to make available £50,000 from the Capital Investment Reserve to be administered by Deputy Chief Executive (AJ) in consultation with the Portfolio Holder for Development Services, as a pump-primer to help facilitate much needed investment in the Warwick Corps of Drums building." To:*
>
> *"That the release of £50,000 from the Capital Investment Reserve to the Warwick Corps of Drums and landlord's consent for the proposed alterations referred to in Appendix 5 is delegated to the Chief Executive and the Portfolio Holder for Culture upon receipt of confirmation of the other necessary funding, a sound and credible business plan and that planning permission and any other statutory consents are obtained."*

The funding from Warwick District Council's Capital Investment Reserve has paid for the refurbishment of the Toilets and Showers and part of the new Corridor and Entrance doors.
This further request is to complete the works as stated in 7.1 of this business plan.

SECTION 8 – MARKETING AND COMMUNITY ENGAGEMENT

8 - Marketing and Community Engagement

One of the justifications for building refurbishment and upgrade is to enable the Corps of Bands to generate income through letting of facilities to external organisations and groups. This will add to the cash flow and profit-and-loss account of the organisation and will sustain the Corps of Drum's main objectives and responsibilities.

As part of the Development Plan, a marketing strategy is already underway to promote the existing facilities to external user groups. We have also obtained a domain web-site www.westendpoint.co.uk which is being set up to help promote the site along with face book and twitter feeds to reach everyone in the community. One significant result has been the facility hire arrangement with Warwickshire County Council during 2015-16, which demonstrates the suitability and potential of the Corps of Drums venue. This contract provides for a number of staff seminars / conferences for WCC up to July 2016. The venue has the attraction not only of adequate space for large seminars but also good car parking on the edge of Warwick town. To encourage new users such as WCC, the Corps has offered very competitive introductory hire rates, which will be gradually increased as facilities are improved.

The Committee has several other options, which will help develop and sustain the centre;

1. **A Community Internet Café** with internet access – this could be a daytime usage for the Small Hall providing a comfortable working environment for local people wishing to access the internet, and use table top space for 'out-working' e.g. business start ups. The Internet Café would provide breakfasts and light lunches with coffee/tea in between. Given the location on Hampton Road, this could service passing trade as well as for residents of the Forbes and other local housing estates**.**

2. **Recording Studios** - Main Hall side rooms (x 2) could provide an ideal location for a suite of sound recording studios with a common recording booth facility. This is in keeping with the sound and music operations of the Corps. The Committee has carried out a preliminary survey of supply and demand in the Warwick area and found only one sound recording studio facility in the area, which is not meeting current demand. The fit-out of these areas (including sound proofing and external doors), which would be included within a later project of the Corps building programme and would be the subject of separate funding applications. Overall management of the facilities would form part of the Site Manager's role and responsibility for several volunteers' roles.

The prospects for expansion of facility use are therefore good and the Corps will continue to work with the District Council Community Partnership Team and other community groups such as Chase Meadow Community Centre to meet local needs and avoid duplication of facilities. But considering the existing standards of the buildings and facilities e.g. catering, washrooms etc. as shown below, the Committee are reluctant to promote the facilities widely.

However, once stages of the refurbishments are completed then a new marketing plan will be actioned to promote the upgraded facilities and widen the local and county knowledge of the new West End Point, Hampton Road facilities. This will include the production and distribution of a professional facilities leaflet to local businesses and community groups – and a promotional, new website which will have other media feeds. Open Day to highlight the improved facilities on offer as well as attracting further members to the Corps of Drums.

8.1   Facilities Marketing Plan

In relation to attracting local interest for commercial venue hire from the local residential and business community, the Committee plan to:

- Produce a professional leaflet highlighting the location and proximity to Warwick town centre, the quality of facility provision and the access to car parking.
- Include an online booking facility on the Corps' new website.
- Promote the facilities widely using outlets such as the local press, Invest in Warwickshire (WCC) and WDC websites.

Whilst much of the marketing activity will continue to be carried out by Committee members and volunteers (Corps members; parents), the responsibility for the marketing of the upgraded facilities for community and commercial usage will require part-time staffing. It is proposed that a part-time Project Manager appointed to coordinate the building works is also responsible for coordinating the marketing of the venue.

8.2   Community Engagement Plan

Warwick Corps of Drums is a well-established and respected charitable organisation and through its various competition successes and event displays has built and impressive reputation across the District and the Midlands. It will be important to maintain the regular communication with the local Warwick community to reflect the exciting next stage of the Corps' development and growth.

In terms of the refurbishment of the buildings and facilities, much will depend on the build schedule, which in turn is dependent on funding. However, the Corps Committee plan to adopt the following activities to engage with young people and community groups across the town and district:

- Promote the Corps' activities and successes widely using the extensive experience within its ranks to access local, regional and national media, including newspaper, television and radio.
- Utilise its in-house volunteer web team to promote the Corps and the facilities through the upgrading of the Corps' website.
- Deliver key messages via social media, including the Corps' very popular Twitter feed and Facebook pages.

- Use print media and 'door knocks' to communicate directly with local residents about the benefits of Corps' membership and the other social opportunities on offer.
- Hold Open Days at the Centre to promote facilities and activities.
- Speak at local resident meetings, schools and community group meetings to keep them updated about developments and inform them about opportunities on site.
- Continue to play an active role in the St Marys Lands Redevelopment Initiative along with neighbouring organisations and the Council.

8.3   Management and Reporting Procedures - Ensuring Community Benefit

There will be three 'layers' of site management that will oversee delivery of local community benefit:

1. **Corps of Drums Committee:** The committee will retain overall management responsibility of the site and premises and be responsible for any future on-site development. The facility will be owned by; the Corps members and membership will remain open to all sectors of the local community.

2. **Facilities Management sub-committee** – a new group consisting of Treasurer, Committee members and Facilities Manager

3. **Community Engagement sub-committee** – given that external funders including WDC will expect that improved facilities will lead to increased community participation either directly through Corps membership or indirectly through hire of facilities and premises, this sub-committee will be tasked with communication and promotion of the Corps' activities and opportunities especially for young people.

4. **4.New Volunteer vacancies** - will be created to get involved in taking care of the new community space, which will be the areas created indoor and outdoors.

Section 9 - Risks and Issues

9.1 – Risk Register

As part of this Business Plan and as a requirement for the funding applications planned, a risk analysis is provided below to highlight the main risks and the likely mitigations:

Risk	Mitigation
The Warwick Corps of Drums (WCoD) cannot raise all of the grants needed to cover the costs of their proposed works.	WDC are providing assistance to the WCoD in making grant applications. A phased schedule of works is prepared.
WDC does not release its funds until confirmation of funding from other sources e.g. Landfill Trusts to supply the balance of match funding.	WCoD has proposed a staged delivery of works to ensure that the development project can start. Request made to WDC to support Stage 1 refurbishment programme
Planning permission or other statutory consents are not forthcoming for the WCoD leading to only limited improvements and reducing income generation.	WCoD has sought pre application advice from WDC to ensure any applications conform to requirements. It is understood that no planning approval is required for the internal works proposed.
In spite of grant funded improvements, the buildings and facilities fail to attract external users and limit income generation.	A vigorous marketing plan is put into action to inform local and district organisations of the upgraded facilities available.
The phased activity plan struggles due to the time availability of Committee Members and volunteers.	A Project Manager (part time) is appointed to manage the project delivery – with the option on a limited contract to liaise with the grant funders, coordinate the project marketing, and manage the venue hire.
Leading individuals on the WCoD committee leave / retire and the development project loses impetus.	WCoD has a long established and very hard-working Committee and membership with many supportive parents/volunteers who will be continually engaged in the project.

9.2   Main Issues:

Stages of Works – this will be affected by confirmation of the funding commitment from other sources e.g. King Henry VIII Charity and Landfill Trusts and other trusts.

Facility Management – this Business Plan is based on significant increase in hirers and visitors to the Corps of Drums building. This will require a part-time paid caretaker/cleaner to be appointed – and the establishment of a Facilities Management sub-committee.

Section 10 - Summary

The Warwick Corps of Drums is a well-established charitable organisation and provides musical training and performance opportunities within a safe and welcoming environment for young people aged 8-25 from Warwick town and district.

As with many other charitable and 'not-for-profit' organisations, the Corps needs to maintain and raise the quality and standard of its buildings and facilities to preserve the safety and opportunity for its young members, ensure the security of expensive instruments and uniforms, sustain the Corp's financial health, and maintain the reputation of the organisation as a 'good place to learn, enjoy and develop'.

In the existing economic climate, it is increasingly necessary for the Corps to increase their income generation largely through opening up their buildings and facilities to external users for hire – whether these, be private businesses, public bodies or community groups. We are particularly keen to welcome community users to our Hampton Road site and we will be putting in place an active programme of community engagement.

To achieve these objectives, the Corps need to continue to raise funding support to cover the direct costs of building and facility refurbishment, and upgrading services e.g. environmentally friendly lighting, heating & ventilation resulting in a quality venue capable of attracting new paying user groups.

This Business Plan demonstrates the positive approach and actions of the Warwick Corps of Drums Trustees & Management Committee to contribute their own resources, including time and skill, towards the development project proposed. With funding support from Warwick District Council, Suez Landfill trust & King Henry VIII Trust now confirmed and in place and with other funding support from other external funding bodies, the Trustees &Committee is confident that the Corps of Drums can have a sustainable future and meet its primary aim of providing important and much-valued educational, musical and artistic opportunities for the young people of Warwick. Finally be in a position to sustain and maintain the building for many more years.

John Morton – Chairman

March 2018

Racing Club Warwick Football Club

Racing Club Warwick FC
Community Football Ground
Townsend Meadow, Hampton Road

Artificial Pitch (MUGA) Business Plan
21st March 2018

CONTENTS

1 Introduction

In 2015 Racing Club Warwick was on its knees, its performance on the field was of a relegation fight nature and its performance off the field was worse. However, 2015 brought a change. A new Executive Committee took over and immediately sought to re-establish better relations with Warwick District Council which is also its landlord.

The results of that change and improved relationships speak for themselves.

The Club has already secured over £200k investment in the Ground, removing a fire hazard of an old portacabin; replacing its changing rooms and floodlighting; installing a new covered stand and dug-outs; improvements were made to the clubhouse and community room. These changes have brought in badly needed income earning activities; increased the number of community groups using the facilities from seven to over 20; increased the diversity of sporting activities to include netball, girls football; and of community groups to widen the scope to include various types of fitness and self-defence, dancing, music and a wide range of creative activity. The Club will now be the home of the Royal Naval Association Club of Leamington Spa.

This change off field has percolated through to performance on the field which in turn has further strengthened performance off the field. The Club achieved its highest league standing in the 16/17 season and currently stands on the brink of promotion to the Premier Division of the Midland League and an FA Cup place. Attendances have grown at matches from an average 30 to over 150. The number of people being involved in the various teams has grown from 50 to over 500. The Club is now being asked to host cup finals. At the end of this season the Club will host over 10 local Junior and adult cup finals and the Midland Football League has chosen Racing Club Warwick as the host for their Division Three cup final, which is an accolade that the Club and the District Council can be very proud of.

The improvements of the Club on and off the pitch have been driven by a Business Plan which was prepared originally in 20156 and has enabled the physical improvements to be delivered alongside the improved running of the Club. The Business Plan supported the addition of a MUGA. The Business Plan has now been updated to bring forward the MUGA component for funding. Aside from some smaller alterations to the Community Room this is the last item of the Business Plan needing to be implemented.

The installation of the facility is also part of the overall Master Plan for St Mary's Lands which the District Council adopted in 2017. The Masterplan is based on 4 themes which this proposal would help to achieve and make real for the local community. They are:

- Protecting St Mary's Lands for People and Nature

- Improving Access and Enjoyment for All

- Supporting the Local Economy

- Investing in the Future

The MUGA will help take the Club to a new height but importantly will also help to support the local community in a variety of ways, not least being able to develop a partnership with Aylesford School for an Academy for local children.

The aims of the project are:

a) To install a sports facility (a MUGA) as part of the Master Plan for St Mary's Lands.
b) To create a new community football facility to enhance the development of football in Aylesford and Warwick more broadly.
c) To deliver priority outcomes for Birmingham County FA and retaining and creating pathways for Racing Club Warwick Football players of all ages, developing skills and workforce, encouraging new participation (women/girls, mental and physical disability), and development of adult, small-sided and 9v9 football.
d) To generate wider community benefit through greater access to and involvement with football, sport and non-sport activities, particularly in the areas of health and well-being, education skills and employment, social inclusion and volunteering.
e) To add to the sustainable community business model for ongoing delivery of the club's aims long term.

To achieve these aims, Racing Club Warwick propose a series of improvements and new developments leading to the creation of an artificial football and sports pitch – a MUGA:

Improved Community Sports Pitch and all-weather facilities comprising:

- A new 'third size' floodlit Artificial Pitch (MUGA) for Junior, Academy and Senior team training
- Facilities for the local Junior and adult teams to hire for training
- A secure and purpose-built area for school holiday clubs for football and multi sports
- A purpose-built space to host FA courses for coaches, volunteers, first aiders of local clubs

As mentioned previously, the new Committee since 2015 has worked hard to establish a new working partnership with Warwick District Council and has also improved the Club's links with local community groups, charities, colleges and businesses. On top of the improved facilities previously mentioned, we have received new sponsorship and the local community has started to show a renewed interest and engagement with the Club. Racing Club Warwick now welcomes new members and sports teams (indoor and outdoor) - and there is a real sense of a community feeling about the Club – shown by the letters and emails of thanks the Committee has received this year. The Club intends to build on this, thus providing a sustainable income stream and becoming a dynamic location for community sports and social activities in West Warwick.

The Club has applied for various funding streams for the MUGA but to an avail. An application for funding from landfill organisations, Sita and Biffa, were both declined, and this has delayed the intended progress.

The Club remains ambitious – and wishes to further develop the ground facilities (owned by Warwick District Council WDC and leased for 21 years to Racing Club Warwick FC). This Business Plan supports the application for funds to add to the main playing pitch, clubhouse and changing facilities by turning a fenced grassed area at the front of the clubhouse into a new all-weather artificial pitch. The Club had applied to WDC to include this land within the Club's 21-year lease and this was accepted in the Summer of 2017.

The Club is committed to increasing community use of the Hampton Road site by working in partnership with the Football Association (FA), WDC and other sports organisations such as 'Sky Blues in the Community' (letter of support included), whilst also extending the Club's now flourishing Junior section, building on the League success of its senior teams.

4

The Club has good contacts with local schools, colleges and community groups in the town including Leek Wootton and Woodloes Primary Schools, Aylesford Secondary and Warwick Cricket and Tennis Club. The Club contacted all current and prospective schools and groups to assess need and demand and identified a critical need for this all-weather facility. The Club gathered letters of support from schools and other education and sports group for its proposed community activities – included within the Appendix.

The activation of this plan and the required various funding support will ensure that Racing Club Warwick develops as a genuine community sports centre that will encourage significantly increased participation from a wider local user group, especially young people, and provide greater access to football, sports and non-sports educational and social facilities for the West Warwick community.

The support that has been offered by Warwick District Council (financial and professional expertise) has been really welcomed and is crucial to the survival and growth of the Club. This support has given real hope to the local community that things are 'back on track' and the Club has a real future ahead, by ensuring the football team retained its FA league status, to maximise the opportunities for all our junior players, our social games teams and club members through the introduction of new and refurbished facilities for the stadium, clubhouse and ground. **Obtaining the investment for the MUGA would take the club to the next level in so many ways.**

Racing Club Warwick Football Club

2. Current Position

2.1 Why is the Project Needed?

Following major re-organisation of the management of Racing Club Warwick in 2015, a huge amount of work has gone into establishing the need for new development of the football and wider sports and community facilities. This has been undertaken in partnership with Birmingham County FA, the Football Foundation, Warwick District Council, the West Warwick Community Partnership Team and the local community in the Aylesford area.

The case for further development is as follows:

- Racing Club Warwick is committed to creating a hub for football development in Warwick District, including FA key targets of retaining and creating pathways for players (especially at 16+), developing skills and workforce, encouraging new participation (women/girls and disability football), and development of small sided, 7v7 and 9v9 football.

- There is good evidence that at 16+ many players drop out from the game as there is little opportunity to progress. Due to Leamington FC's higher league status, very few local young adults continue playing at that Club. Improved ground and sports and training facilities will enable Racing Club to work with Leamington to ensure all abilities are catered for across the District.

- The plan is to meet a shortage of all-weather community sports facilities in the West Warwick area (WDC) by establishing a new artificial sports pitch on land adjacent to the site.

- Following several years of stagnation, the new Club Committee has built a robust working partnership with WDC and other local organisations and will work jointly to develop this exciting facility and the continual redevelopment of the whole site for long term benefit for club members and the wider West Warwick community.

Furthermore, discussions with the Community Partnership Team (Berni Allen WDC) have confirmed the Aylesford area incorporating the Forbes Estate suffers from significant deprivation and lacks proper facilities, especially for young people. With new housing developments nearby and with centres such as Chase Meadow already very occupied, the addition of the artificial sports pitch is crucial for ensuring community sports, education and social facilities continue to provide an important part of the West Warwick community facilities. The MUGA will offer the opportunity of developing an Academy with Aylesford School to create a new route to learning via sporting activities.

2.2 Implications

As part of the club's overall Business Plan developed and implemented from 2016, the Club has benefitted from Football Foundation grant funding of £100k via the Football Stadia Improvement Fund - which received £50k match funding from WDC to cover the balance of the stadium improvements, improving the security and safety of the site, and additional community sports and social facility improvements. Within the Business Plan was an outline of the further plans to develop a multi-use games area (MUGA) to provide all-weather surface for playing, practice and coaching, especially for youth teams. The proposal is also part of the St Mary's Lands Masterplan.

The Club's all-weather pitch (MUGA) project indicates an overall requirement of £80,000 to implement the sports pitch and floodlighting. It should be noted that the area allocated already has steel security fencing installed – thanks to the kind support of the Council. The Club has already sourced the cost of implementing floodlighting costing £20,000 and will seek planning permission before implementation.

2.3 Aims and Objectives

The aims of the project are:

i.   To deliver priority outcomes for Birmingham County FA and retain and create pathways for players (especially at 16+), developing skills, encouraging new participation (women/girls, mental and physical disability), and development of adult small sided, 9v9 and walking football.

ii.   To create a new community football and all-weather sports facility to enhance the development of football in Aylesford and Warwick District more broadly.

iii.   To generate wider community benefit through football, sport and non-sport activities, particularly in the areas of health and well-being, education skills and employment, social inclusion and volunteering.

These aims will require further investment in club infrastructure and the Improvements planned are: a new third size floodlit artificial grass pitch (MUGA); and, a new viewing and warm-up area on the remaining land outside of the pitch area.

The project is built upon a new partnership between the semi-professional football club (Racing Club Warwick FC, the junior section (Racing Club Warwick Juniors) and Warwick District Council.

The project will enable and enhance the further development of Racing Club Warwick's Community Programme as the principal delivery vehicle for the club's football development plan and wider sports and community development work, including partnerships with local schools and smaller community organisations.

3. Racing Club Warwick in the Community

3.1 Catchment Area

The main catchment area for the site is the CV34 postcode area and Aylesford Ward including the Forbes Estate but the site will also attract people from all over Warwick town and Warwick District.

3.2 Population Breakdown (Aylesford Ward)

The Aylesford ward (previously Warwick West) has 4,390 people. Of these:

- 60.3% are economically active
- 28% of 16-24-year olds are unemployed
- One of the highest levels of Income Deprivation Affecting Children Index (IDACI) [1]
- 8% of 16-74-year olds have never worked
- 10.2% are permanently disabled

3.3 National Sports Context

The development will support key national agendas of both the Football Association and Sport England as follows:

i) Football Association National Game Priorities

We will work with partners in Warwick District Council and Birmingham County FA and with SkyBlues in the Community to meet strategic objectives in football, including:

- Growth and retention – increase the numbers of people playing football at the site and retaining players at both 16+ and adult levels by creating new pathways for ongoing participation.
- Raising standards and addressing abusive behaviour – develop club welfare, support the Respect campaign and develop mentoring
- Developing better players – access coach education programmes and skills training for Club coaches
- Running the game – implement best practice in running clubs
- Workforce development – recruit, train and improve outcomes from volunteering
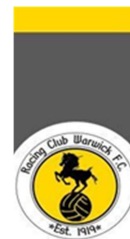
ii) Sport England

The Club will also provide a broader sports offer that, along with football will seek to meet Sport England's strategic priorities which are to:

- **Grow** – the club plans to increase the numbers of people taking part in sport and physical activity. Club records show that present site usage is around 2,000 people per annum – our growth plans are to increase participation to 5,000 per annum.
- **Sustain** – RCW will work with young people aged 16 and over to address the high drop-out rates at this age. We will do this through combined sports, education and volunteering approach and working with football, rugby, cricket, tennis, hockey and netball organisations.

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[1]

http://dclgapps.communities.gov.uk/imd/idmap.html

- **Excel** – the club will create pathways to elite sport, notably through the RCW first team but also through the club's excellent contacts in the game. We will also work with other sports to create a first-class community offer in the area.

3.4 Community Football and Sports Plan

The proposed development will allow the Club to achieve long term sustainability and to realise its ambitions in terms of community development through sports-based activity. Only the development of additional sports and social facilities will allow the full realisation of the club's objectives to '**promote, develop and respect the rights of members of the community served by the club'.**

RCW acknowledge that the key context for WDC support is that the development must deliver public benefit:

- to the people of Aylesford and Warwick District by providing an enhanced sports facility to encourage increased participation in football and sport, with associated health benefits.
- to the Aylesford and Warwick District area by providing new investment and development, with some new job creation (paid/voluntary), as well as increased footfall and spending in the area.
- to the communities of Warwick District through the provision of new, non-sporting community facilities and activities within the stadium itself.

The RCW project will also provide a catalyst for other external investment by bringing investment to the site. In doing so the intention is also to establish a facility, which becomes a recognised, valued and sustainable venue within the local community. The pitch will act as the focus in the area for the use of sports as a driver for wider community regeneration.

3.4.1   RCW and Community Access

Racing Club Warwick is committed to using a sports-based community development approach in addressing the social problems faced in the area (see Appendix). This is based on both the Club's own experience as well as study of research reports such as the Supporters Direct studies 'The Social and Community Value of Football'[2] and 'The Social Value of Football'[3] as well as documented good practice developed across the UK. The Club is acutely aware of the local need not only for football and other indoor and outdoor sports but also the importance of providing a safe and secure environment especially for young people – giving them purpose, friendship and teamwork all under experienced adult supervision. RCW already provides a wide range of sports and social activities through the Club and using existing facilities. These include table tennis, darts, dominos, and cribbage all competing in local leagues.

The Club will:

- Provide opportunities for increased sports participation in the area for people of all ages and use sports participation as a way of addressing health problems by increasing physical activity.

- Make specific efforts regarding:

2

    http://www.supporters-direct.org/wp-content/uploads/2012/08/svoff-summary-report.pdf

3

    http://www.supporters-direct.org/wp-content/uploads/2012/08/4.-SD-Social-Value-Working-Paper-How-Can-We-Value-The-Social-Impact1.pdf

- o The participation of young people in their late teens, addressing the nationally recognised problem of youth drop-out in 16+ age groups. Drop-out rate in football is like other sports, such as rugby union, which can lose 76% of players between the ages of 13 and 16[4].
- o Opportunities for older people to be more active as part of an 'active ageing' agenda and the FA's Extra Time initiative e.g. 'walking football' with now more than 400 clubs in the UK[5] o Provide ways of engaging young people with developmental pathways so that they are not at risk of being involved in crime or anti-social behaviour.

- Provide opportunities for education, training and employment to combat the problem of young people not in education, employment or training (NEET) through:
  - o Building on the hugely successful work of the Club in 2015
  - o A developing partnership with Schools and Colleges – especially Aylesford to develop an Academy
  - o Opportunities for local schools to use facilities, such as for pre- or after-school clubs.

- Provide opportunities for skill development in sports, administration and other areas.
- Provide volunteering opportunities across the operation of the club.
- Work with health agencies to promote good health, healthy eating, non-smoking and well-being. ◻ Create local employment through part time and voluntary job opportunities.

3.4.2 Current Football Participation and Local Football Development Demand

As referenced, there is a problem with drop-out rates particularly in the 16+ age group. This is something that is reflected across the county but is a problem in this area of Warwick. This is supported by Racing Club Warwick Juniors who operate junior teams to 16 years but have been seeking to create pathways to U18 and U21 football, as well as adult teams (small-sided and 11-aside), something that this Business Plan will help to deliver.

Racing Club Warwick also plans to develop more small-sided adult and innovative 7v7 and 9v9 football programmes and wish to make this site a focus for the ongoing development in this form of the game in Warwick District. The proposed artificial pitch (third size) will be an important addition to the Club's facility base to achieve this plan and responds to interest in use from several Warwick sports groups (Appendix).

Another national focus of work is the growth of the 11-aside game. As stated above, this category has the highest target of teams to develop and arguably along with female 11 a-side, is the most difficult category in which to achieve growth.

Alan Shearer and Harry Kane play a game of walking football

4

   http://www.bbc.co.uk/sport/football/35054310

5

   http://www.telegraph.co.uk/men/active/11830698/Walking-football-its-no-walk-in-the-park.html

3.4.3 Football Development Plan

RCW has adopted the Football Development Goals headings[6] for this project as outlined in the Football Development Tool Kit. The main points are as follows:

i) Vision

This project will provide new and improved facilities to encourage the development of football in Warwick in a partnership with Racing Club Warwick Juniors (RCWJ). It will help young footballers realise their full potential by providing improved coaching, retention of participation particularly at 16+, volunteering opportunities and coaching training, as well as assist developing adult participation.

RCW will work closely with Sky Blues in the Community, RCWJ, other clubs and community groups to ensure the facility is at the heart of the local community and offers football opportunities to all ages and abilities in their locality. Redevelopment of the club house will provide a real community hub for residents; community groups and clubs combining sporting and social interests and uses.

The new artificial pitch proposed will ensure all community groups have access to high quality training and playing facilities, reducing barriers to participation and transport issues. The new facilities will support club development raising standards, developing better players and increasing participation through growth and retention.

ii) Growth and Retention

The project will allow RCW to create new teams (U21, U18, U16, women's and disability) as well as new adult small-sided leagues to retain participation and develop new pathways from junior to adult football. This will support key objectives of RCW, RCWJ and WDC to retain players at 16+, create exit routes from junior football and increase adult participation. Fundamental to this is the dovetailing of RCW's provision at 16+ and RCW's junior structure and development. This is a landmark partnership and one the District Council and County FA are keen to see succeed.

iii) Raising Standards and Addressing Behaviour

RCW will work closely with BCFA to maintain FA Adult Charter Standard status, improve club welfare and continue to support the 'RESPECT' and 'Kick It Out' campaigns. However, the club will also continue to work with other junior clubs, including RCWJ, to assist them in achieving FA accreditation and addressing issues of poor behaviour. Using our volunteers, we can assist clubs with less resources to implement good practice.

iv) Better Players

The project will allow the Club to develop better players, both at RCW as well as with our partner junior club, RCWJ and other local clubs in the area. This will be achieved through an ongoing programme of coach development, including delivery of elite coaching badges for coaching staff as well as other continued professional development including people management and youth mentoring courses.

This will also be a hub site for BCFA to deliver Level 1, 2, Youth Awards, Goal Keeping, Emergency Aid, Safeguarding, Welfare, other related Sports Coaching Courses.

6

https://www.google.co.uk/?gws_rd=ssl#q=Football+Development+Tool+Kit+FA

4. The Project Proposal

4.1 Implementation of the artificial pitch

The proposal is for the Club to continue its long-term lease with WDC. The area in scope for the MUGA has already been agreed to be added to the Club lease:

- Adding to the lease, the adjacent land previously under the Clubs lease - Completed
- Gain funding from the council, to implement a 1/3 sized football pitch
- Implementing a new 'third sized' artificial pitch (MUGA)

The Club will increase community use of the site through an active campaign to promote facilities and activities in the local area.

4.2 Changes to RCW leased area

To enable the new initiative, it was proposed that RCW take over the grassed area site to the front of the club house, currently WDC owned and now fenced and managed by the club, on the basis that a new Multi Use Ground Area (MUGA) can be built – linking up with the new changing rooms and the Club House – aimed at bringing in new sports teams e.g. women's football, disabled sports and delivering significant public benefit for the communities of Aylesford and Warwick.

The Council agreed to extend the lease to incorporate the grassed area in question – located to the front of the Club House and adjacent to the racecourse. The Club understands that this area was in fact part of a previous lease document, so has now been returned to the Club. RCW will apply for planning permission for the new MUGA.
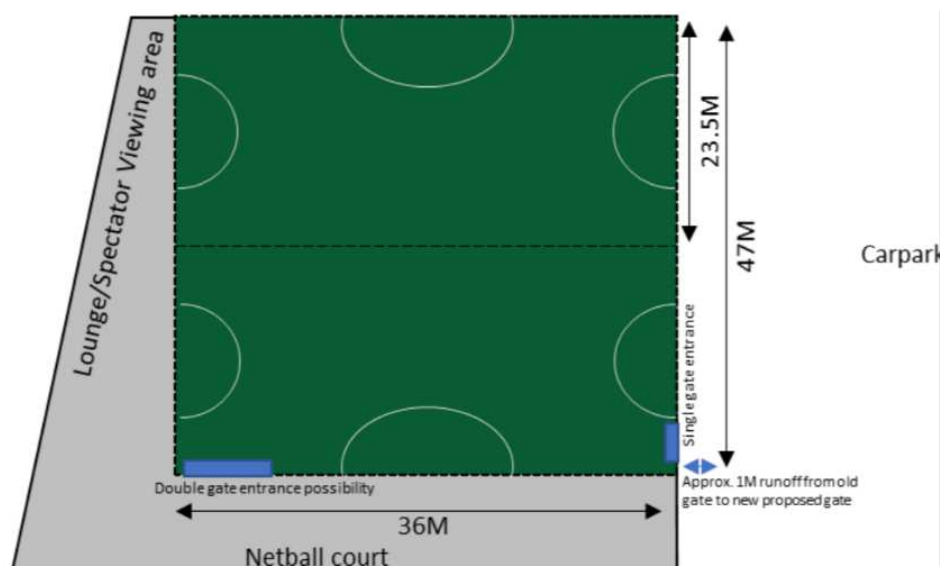
4.3 Capital Works

The club will undertake the following capital works on the site:

Phase 1 – Level the existing ground in preparation for the new surface to be installed.

Phase 2 - Redevelop the area for the artificial surface:
- New floodlights
- New artificial surface with shock pads
- New internal fencing for ball retention
- New spectator/viewing area

4.4 Match day restrictions

The Hampton Road stadium and facilities are used for RCW first team home games. These total 12-14 per season on Saturdays and 6-8 per season in midweek. Youth team games total around 10 midweek dates. Due to this demand profile, use of changing playing areas by adults, concerns about health and safety and child protection, the MUGA community facilities will not be available from 6pm on midweek match days and 12 noon for Saturday games. Although this means some usage is lost, the benefits of having facilities on one site outweigh this for several reasons, notably reducing project capital cost and creating a sustainable business plan that produces reinvestment of RCW revenue into the community facilities. Furthermore, there is added value to junior teams (RCWJ in particular) and community groups using a site along with a semi-professional team (role models, inspiration, pathways to elite football).

4.5 Access and Washrooms

The Racing Club Warwick site, including the main buildings and the area allocated for the all-weather pitch are now security fenced and gated. Access to the MUGA will be via the Club House side of the pitch and not off the Council-owned carpark. Spectators will be able to use washrooms near the Club House, or alternatively and where appropriate within the Club House building (including disabled toilet provision).

4.6 Improvements to pitches and playing surfaces. This Business Plan includes plans for a new floodlit, third-size artificial grass pitch (Multi Use Games Area) for adult 5-a-side football (men and women's games) and divisible into two small size junior football pitches. It will also allow playing of 7v7 football and be constructed as a FIFA 2* pitch with shock pads to allow playing of other sports.

The pitch will provide a focus of football development activities including the football development plans of RCW. It will also be used for delivery of RCW's community sports programme and takes account of the Council's Playing Pitch Strategy and existing all weather pitch provision in the area (Appendix). Local demand for a new all-weather sports facility in this part of Warwick town is evidenced by Letters of Support from sports clubs collected by RCW (Appendix C).

5. The Project Work Programme

The work programme is planned in a single implementation phase (following the successful implementation of Phases 1 and 2 2016-17 and listed as Phase 3a in the original Business Plan 2016):

Community Project 2 – Improvements to St Mary's Lands football pitches and the construction of the new 'third size' Multi Use Games Area (MUGA) adjacent to the clubhouse and main stadium (see below) which will provide an important floodlit, all-weather surface for club members, local sports teams and community users.

Delivery Programme

The implementation of the Work Programme Phase 3a will take place during the summer of 2018 – subject to WDC funding approval and the necessary planning approvals. A 12-16-week programme is envisaged.

Month 1 – Grant received, planning permission sought, tenders sought
Month 3 – Planning permission granted
Month 3 – Construction of the new surface to include floodlighting and appropriate fencing
Month 4 – Open for use

6. RCW Management & Organisation

6.1 Corporate Governance Structure

RCW is a Private Members Club. The Club is an existing community benefit organisation with powers wide enough to be able to carry out the stadium development and run the stadium.

The Club's Objects are as follows:

- To strengthen the bonds between the Club and the community which it serves and to represent the interests of the community in the running of the Club;
- To benefit present and future members of the community served by the Club by promoting encouraging and furthering the game of football as a recreational facility, sporting activity and focus for community involvement;
- To ensure the Club takes proper account of the interests of its supporters and of the community it serves in its decisions;
- To further the development of the game of football nationally and internationally and the upholding of its rules;
- To promote, develop and respect the rights of members of the community served by the Club and people dealing with the Club as set out in the Charter of Fundamental Rights of the European Union, having regard to the need to provide information to members and conduct the affairs of the Club in accessible and appropriate ways.

The club has an elected committee of 9 members. Committee members serve a term of one year before they need to seek re-election. The Rules of the Club are available at: http://www.rcwfc.co.uk

6.2 Management and Reporting Procedures - Ensuring Community Benefit

There will be three 'layers' of site management that will oversee delivery of local community benefit:

1. **RCW Committee:** The facility will be redeveloped, owned and managed by Racing Club Warwick committee. The committee of RCW will take overall management responsibility and be responsible for any future on-site development. It will be owned by the club's members and membership will remain open.

2. **Operations Advisory and Monitoring Board:** There will also be an Operations Advisory and Monitoring Board to ensure that outcomes sought by all partners are met. It is proposed that membership of this will be: RCW, RCWJ, WDC and grant funder representatives.

3. **Community Forum:** We will establish a Community Forum which will meet regularly during each year to deal with any problems that might be caused by the running of the site and allow a voice for community groups and individuals in the area and input into the programming of activities on site.

We will use sport to lead to ongoing personal and collective development in education, volunteering and physical activity and as an aid to community cohesion. We are committed to building on the outreach work that the club is renowned for, becoming an integral part of the Warwick area, contributing to its ongoing regeneration and helping to change local lives for the better.

Every aspect of the development will be made with our fan and local communities in mind, to make a tangible difference to those we engage. Regardless of age, race, gender, sexuality or ability, we will involve people and put their interests at the heart of what we do.

Our promises will be underpinned by:

- An irreversible Asset Lock that is in place in RCW's constitution means that the site cannot be sold to distribute surpluses to its members/co-owners.
- A partnership agreement with Warwick District Council that specifies the delivery of community benefit in the form of a community access agreement.
- A partnership agreement with Racing Club Warwick Juniors delivering a unique football development plan for the area
- Grant funding agreements which will specify community sports outcomes to be delivered
- Regular reports on community use and outcomes made publicly available
- An Annual Report outlining performance and Statement of Accounts. This is a holistic, state-of-the-art system that will enable monitoring, evaluation and reporting of:
  - Total numbers, demographics and attendance of users
  - Progression and development in key areas (such as youth inclusion)
  - Individual and group outcomes (such as employment, training and volunteering) and qualifications (e.g. FA coaching certificates)
  - Other key performance indicators for funders and partners
  - Qualitative case study evidence
  - Financial accountability

6.3 Marketing and Local Communication Plan

The project is already in 'the public domain' and has received considerable publicity to date. Racing Club Warwick has also undertaken consultation, leafleting homes and opening discussions with other prospective user groups. The club has an active residents and supporters group in the area who are continuing this consultation as the project develops.

In terms of the redevelopment of the site, much will depend on the build schedule which in turn is dependent on funding. However, the club will:

- Conduct an extensive PR and marketing campaign using the extensive experience within its ranks to gain local, regional and national media, including newspaper, television and radio.
- Utilise its in house volunteer web team to promote the facility using innovative 3D imaging, the well-used Club website, partner sites and other forums.
- Deliver key messages via social media, including its very popular Twitter feed and Facebook pages.
- Use print media and 'door knocks' to communicate directly with residents about the opportunities on offer.
- Speak at local resident meetings, schools, colleges and community group meetings to keep them updated about developments and inform them about opportunities on site.
- Hold quarterly local community and resident meetings to communicate about ongoing operation and deal with any issues that may be raised.
- Provide communication avenues using Social Media such as Twitter and Facebook which has proved very successful so far.

6.4 Maintenance Plan Outline/Sinking Fund Projections (see Section 8)

Our annual maintenance budget includes:
- Community pitches / MUGA maintenance fund of £2500 in Yr. 1 increasing by £500 pa for 3 years.

- Sinking Fund budget of £7k in 2019 with annual incremental increase of £1k to cover major item replacements.

The pitch and maintenance fund for Year 1 is to cover:

- Maintenance cost of the MUGA as recommended by the Football Foundation for the items detailed Appendix B. Our estimated annual cost for the MUGA is £2,000 annually.
  Note: A detailed care and maintenance plan is included as Appendix B in this Business Plan

The Sinking Fund allows for:

- £40,000 ring fenced funding toward replacement of the MUGA in 10 years recommended by FA Foundation.
- £1,000 provision per year for other item replacements, grass pitch surface renewal and improvements.

6.5 Health and Safety

The facility has been designed to current building regulations, which will be overseen by RCW site manager with professional support from WDC.

6.6 Training and Development of Staff

Our Football Development Plan (Section 3.4.3) outlines the need for Continued Professional Development for club staff and volunteers, including development of coaching staff. It also includes ongoing training for RCW's volunteers and young people engaged on our Community programme, several whom continue to volunteer for the club. This includes football courses, First Aid, Fire, health and Hygiene and referees' courses. RCW has been promised full support by SkyBlues in the Community (Guy Rippon) who will provide staff training support through their Education and Health CPD Programmes (Appendix G). We will employ professionally trained grounds people who are skilled to maintain both grass and artificial pitches and/or provide Warwickshire College with the opportunity to train students on pitch and ground maintenance via our successful partnership with them. Bookings for the facility will be undertaken at the club office by club staff. We are exploring several technical solutions to assist in facility booking, which will interface with the monitoring and evaluation system.

6.7 How Will the Project be Measured?

The Project will be measured against key outcomes relating to:

- **Football Development outcomes** – improved results, attendance figures, greater numbers of soccer players especially youth/ladies; active partnership with 'SkyBlues in the Community' activated.
- **Sports development outcomes** – range of sports extended including netball, women's football, 5-aside; number of clubs and individuals using facilities increased, coaching programmes improved.
- **Community programme outcomes** – events (sporting and non-sporting) increased; venue attracts private hire; clubhouse revenue increased.

This will be reported utilising the 'Views' monitoring and evaluation software. We will also monitor the financial performance of the site monthly at RCW Board meetings as part of our monthly management accounts review. Overall performance will be reported on a quarterly basis to the Operations Board, on a twice-yearly basis to members and to funders as required.

7. Risks and Mitigation

Risk	Risk Level	Mitigation
WDC funding fails to materialise	Medium	Initial discussions have taken place with WDC who have indicated a willingness to continue to assist the excellent work the club now provides. Without the funding, RCW consider it is highly unlikely that they would be able to access sufficient additional grant from anywhere else to cover the necessary costs for completion.
Income levels (as included within 5-year Financial Plan) do not increase as anticipated.	Low	The main increase in revenue is based around the MUGA and the Nursery. Since the original Business Plan, the Nursery is now 'in situ' and in operation – and going very well. It is on target to exceed the income forecasts. To achieve the anticipated MUGA income local clubs and organisations, businesses will be invited to visit, view the facilities and encouraged to book the MUGA.
Planning permission or other statutory consents for MUGA are not forthcoming.	Medium	Pre-planning application advice has been sought from WDC to ensure the MUGA application conforms to requirements.
RCW find community hard to engage leading to reduced income streams and potential financial losses	Low	RCW planning to issue doorstep notification of community plans to local communities. Promotion events planned at RCW for schools, clubs and businesses. RCW already working with SkyBlues in the Community, schools and other community groups.

Racing Club Warwick Football Club
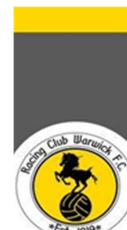
8. Financial Plan - Capital

Artificial Pitch Community Sports (all-weather third size court)

MUGA Inc. fencing, surface and floodlights	£80,000
Total	**£80,000**

Proposed funding sources:	
Racing Club Warwick	£10,000
WDC Council	£70,000
MUGA Community Sports funding required	**£80,000**

VAT note: The total project cost estimate is £80,000 excluding VAT. Racing Club Warwick is VAT registered and will therefore claim back the VAT on capital expenditure. To ease cash flow an arrangement has been made between the Club and the Club Chairman whereby the VAT will be loaned to the club on a short-term basis by the Chairman and claimed back during the next quarterly VAT return. A discussion has been held with WDC Finance to confirm this arrangement.   The 5-year Income and Expenditure Plan included within the 2016 Business Plan along with notes is reproduced overleaf to demonstrate the income generation and the maintenance costs of the MUGA. The Club is confident of achieving its annual income target of £50,000 by 2021.

Racing Club Warwick Football Club

9. Financial Plan ~ Income and Expenditure Forecast (Scenario 1~Nursery and MUGA)

	APR15-JULY16	JULY16-JULY17	JULY17-JULY18	JULY18-JULY19	JULY19-JULY20	JULY20-JULY21
INCOME						
Stock food and drinks	59450	41688	28800	33000	35000	40000
Junior section subs	12000	13766	14000	5000	5500	5800
Sponsorship (Football)	3000	7167	3375	4000	4500	5000
VAT Rebate	6600	2986	3680	3700	4000	4100
MUGA				35000	40000	50000
Nursery		27780	30000	32500	32500	32500
Room Hire	2800	880	6800	7500	8000	9000
Gate Receipts	3667	5450	8500	10000	12000	14000
Town Council grant	5000	2500	5500	5000	5000	5000
FA Receipts	2300		3375	3000	3400	3500
WDC Grant	5000					
Membership Subs	970	700	840	1000	1500	1600
Insurance Claim	2688					
TOTAL INCOME	103475	102917	104870	139700	151400	170500

Racing Club Warwick Football Club

EXPENDITURE						
Stock food and drink	£28,500	£20,755	£19,450	£26,000	£28,000	£29,000
Electricity	£11,254	£10,051	£9,000	£10,300	£11,500	£12,000
Players Expenses	£9,232	£14,349	£16,000	£17,000	£18,000	£19,000
Kits/Ball /Bibs	£8,077	£4,576	£9,102	£1,600	£6,000	£3,800
Pitch Hire	£5,600	£11,064	£5,600	£600	£700	£800
Insurance	£4,785	£1,762	£3,000	£4,500	£4,800	£5,000
Rent	£4,500	£3,600	£3,600	£3,600	£3,600	£3,600
Rates	£4,246	£4,520	£3,450	£4,320	£4,500	£4,600
League Fees	£2,737	£2,753	£1,785	£2,000	£2,200	£2,400
Bar Wages	£2,375	£3,518	£2,200	£2,500	£2,700	£3,000
Gas	£2,356	£1,122	£1,200	£1,500	£1,700	£2,000
Match Day Officials	£2,248	£3,148	£3,500	£3,600	£3,800	£4,000
Repairs	£2,114	£5,432	£5,800	£6,000	£6,400	£6,800
Legal Fees	£1,647	£160				
Water Rates	£1,427	£341	£1,600	£1,500	£1,600	£1,700
Trophies	£1,411	£876	£860	£900	£1,000	£1,200
Waste Disposal	£929	£770	£770	£800	£840	£880
Licenses	£836	£830	£560	£580	£600	£620
Kit wash	£834	£726	£940	£400	£450	£500
Telephone/ Broadband	£673	£912	£940	£1,000	£1,200	£1,400
Alarm/CCTV	£490	£320	£260	£500	£520	£550
Planning Applications	£770					
Salaries (MUGA)				£12,000	£14,000	£15,000
Muga Management				£1,800	£2,000	£2,200
Muga Maintenance				£2,500	£3,000	£3,500
Sink Fund Capital				£7,000	£8,000	£9,000
Bank Charges	£512	£297	£220	£240	£250	£260
Cleaning Materials	£170	£140	£160	£200	£220	£240
Office	£154	£180	£65	£100	£120	£140
TV Licence	£145	£145	£145	£145	£160	£160
Pitch Maintenance		£2,869	£4,500	£6,000	£6,500	£7,000
Sponsorship (Football)		£2,420	£3,675	£1,000	£1,400	£1,800
Fire Extinguishers		£825	£925		£1,000	
Training Courses			£450			
TOTAL EXPENDITURE	£98,022	£98,461	£99,757	£120,185	£136,760	£142,150
PROFIT/LOSS	£5,453	£4,456	£5,113	£19,515	£14,640	£28,350

Notes to Income & Expenditure Forecast (Scenario 1 - includes Nursery and MUGA)

1. MUGA income based on opening July 2018(Phase 3b) on average usage of 30 hrs per week x £25 per hr and increasing 3hrs per week each year to 40hrs a week. (The current junior/ youth and 1ST team would use for training Oct - March at a usage of 20 hrs per week and summer camps would contribute 250 hrs per year)
2. Current Pitch hire costs (Council) would reduce by use of training winter months on the MUGA.
3. Maintenance and Sinking Fund related to main ground facilities and MUGA.
4. Any surplus made would be re-invested in the facilities for the benefit of the members and the community.
5. Assumes club house and community centre refurbished mid 2018 (Phase 3a)
6. Current rent based upon agreed 'subsidised' rent i.e. below current open market value of £7.5k. Rent review planned for 2019 – Plan assumes change to OMV rent in 2019.
7. Plan recognises for a part-time Coordinator/Manager of the community sports facilities Inc. MUGA.
8. Includes expenditure on planning fees, legal advice etc
9. 2018 summer camps targets 25 children x £8 per day x 5 days =£1000 per week. We would hope to increase this every year.
10. There are no current outstanding loans as at April 2018.

Appendix A – RCW Business and Community Use

This document helps to highlight the benefits to the local community that Racing Club Warwick and its Community Plan, which has been evidenced throughout this Business Plan. As is clear from the numbers below, the local area has significant levels of deprivation in comparison with the Warwick District and Racing Club developments will help to address some of these issues, through employment, training, activities, community spirit and well-being.

Population Breakdown (Aylesford Ward)

The Aylesford ward (previously Warwick West) has 4,390 people. Of these:

> 60.3% are economically active (10% under the local average)

- 28% of 16-24-year olds are unemployed (9% over the local average)
- One of the highest levels of Income Deprivation Affecting Children Index (IDACI) [7]
- 8% 16-74-year olds have never worked 16-74 (Over the local and national average)
- 10.2% are permanently disabled (3% higher than the national average)

Social Return on Investment

RCW has identified from several research studies e.g. Supporters Direct[8] [9] Football Foundation [10] that there is a positive social return on investment (SROI) for an average community football club – for example on the Foundation's

Extra Time study of the benefits of football club activity for over 55's, for every £1 invested into providing facilities, £5.22 is created in social value (2011 figures) in terms of increased social connectedness, wellbeing, and mental health status; personal development; physical health; civic pride and support of other community groups.

Social Outcomes

The Football League amongst other organisations have listed the social benefits of local clubs and the sport in general as:

- Football clubs provide an environment where people are more socially connected at every age group compared to other sports

- Football clubs are 3 times more useful for developing social networks than work, education or other community group networks. Football clubs provide club members greater social support than through their other social networks
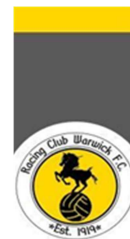

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 http://dclgapps.communities.gov.uk/imd/idmap.html

8

 http://www.supporters-direct.org/wp-content/uploads/2012/08/4.-SD-Social-Value-Working-Paper-How-Can-We-Value-TheSocial-Impact1.pdf

9

 http://www.supporters-direct.org/wp-content/uploads/2012/08/svoff-summary-report.pdf

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http://londonfunders.org.uk/sites/default/files/images/FootballFoundation_presentation_Extra%20Time%20SROI.pdf

- Football clubs can help people develop skills in public speaking, problem solving, decision making, conflict resolution, and dealing with people from diverse backgrounds.

- Football clubs provide individuals, particularly those aged 15 to 24, with significantly increased chances of securing employment via the social networks provided by the club

- Football clubs are large consumers within their own communities, supporting local businesses such as nurseries, catering, sports and local trades people

Within our current programme, the Club has provided a home for not only eight senior and junior football teams but also several non-football groups and teams all playing in local sports leagues including:
- table tennis
- darts
- dominos
- cribbage
- Netball

The Club plans to increase the numbers of people taking part in sport and physical activity. Club records show that present site usage is around 2,000 people per annum – our growth plans are to increase participation to 5,000 per annum.

The club has recently added the following activities after undergoing function room refurbishment:
- Judo, Kung-Fu, self-defence classes
- Male Choir
- Country Roads Country and Western evenings
- Latin and Ballroom dancing

Health Outcomes
Football clubs are important and effective vehicles for delivering health and safety campaign messages for young people

Individuals associated with a football club have a greater level of self-reported wellbeing at every age group compared to the average population

Individuals associated with a football club have higher levels of self-reported physical and mental health at most age groups compared to the average population

The self-reported good mental health of people aged 18-24 associated with a football club is substantially higher than the general population; given the higher incidence of mental health issues among young people, it could be argued that football clubs help those at greatest risk of poor mental health

Community Outcomes (ref Football Association)
Football clubs harness the collective energy of players, coaches, administrators, volunteers and supporters to not only deliver sport and social activities for members, but for their respective communities

Football clubs are increasingly engaged with their communities, delivering a range of services such as school holiday clubs and health awareness programs in schools, while supporting other community groups' events and fundraising efforts, supporting health awareness and education campaigns, and helping and supporting socially disadvantaged members of the community to participate in football and other activities

Racing Club Warwick Football Club

A football club's reach is significant and extends beyond its players, coaches, administrators and volunteers; for every 1 player, football clubs reach 10 people in their community, generating increased Community pride

Football clubs are considered the hub of a community, are a focal point for community efforts in times of crisis and celebration and are considered by club and community members as central to shaping the identity of a town/area.

Sponsors typically support community football clubs to assist them deliver community benefits rather than for commercial gain

Football club leaders, on and off the field, are usually considered as role models in their local communities.

Gary Vella ~ Racing Club Warwick November 2017
 UPDATE

Racing Club Warwick Football Club

Appendix B – Maintenance Schedule for MUGA

Description of Maintenance Work for MUGA

i) Routine Care and Maintenance
- Light brushing possibly with powered rotary brush
- For small areas, a 1m medium bristle broom with a vigorous pushing action.
- Removal of autumn leaves, twigs, litter and other debris is considered in this category on daily basis during autumn.

ii) Weeds, Moss and Algae
- Deal with windblown seeds, moss and algae.
- An annual preventative weed treatment through application of herbicide containing Diuron or other suitable chemical.
- Deal with moss and algae through periodic treatment using for example Copper Sulphate, Hypochlorate or Sodium Salt of Dichlorophene (e.g. Panacide) solutions

iii) Snow Removal
In cases of light to moderate snow fall, a snow blower will suffice for clearing the surface. After snow blowing surfaces will be brushed to remove the bottom layer of snow. In extreme cases use of mini-snow plough, followed by blower, shovels and brushing
Use of fine salt for normal frost conditions but limited to prevent affecting the playing surface

iv) Cleaning
Remove all foreign matter that encounters the turf as soon as possible with a recommended solution as follows:
    Water-born and Miscellaneous Markings: Acid, Alcohol, Alkali, Blood, Chocolate, Coffee, Cola, Dye, Fruit Juice, Glue, Ice Cream, Latex, Paint, Milk, Mustard, Rust, Soot, Tea, Urine, Water-colours: Sponge with a non-film forming detergent and cold water. Rinse thoroughly.
- Persistent Markings: Chewing Gum Spray with Freon aerosol and scrape. Metal Polish Sponge with dry cleaning solvent. Oil Paints Blot immediately, with turpentine or paint remover. Blot with detergent and water. Re-sponge with cold water to remove detergent scrape excess. Sponge with dry cleaning solvent. Tar Scrape excess. Sponge with dry cleaning solvent.
- Emulsified Markings: Cosmetics, Ink, Shoe Polish. Sponge with detergent and cold water. Apply solvent. Clean solvent residue with soap and water. Re-sponge with cold water removes detergent.

v) Surface tears and damaged field markings
In the case of tears in the turf of field markings with raised corner, mark the damaged section off and seek professional input to repair.

vi) Fire
In those cases where another material is burnt on top of the turf surface causing the fibres to melt, or discoloration, the affected area can be removed and replaced with new material.

vii) Floodlighting Maintenance

- All floodlighting installations require regular maintenance and cleaning to ensure the maximum light output is achieved throughout the installation life.
- All floodlights breathe; therefore, particles of dirt will collect on the polished aluminium reflector assemblies, and due to the very high operation temperatures, this will through a period burn onto the reflector surface and therefore reduce the percentage of light directed on to the pitch.
- Regular cleaning on a yearly basis will reduce this process and allow the maintained illumination level to be achieved over a very much longer period. Additionally, discharge lamp performance reduces with time and all floodlighting schemes are designed to produce a nominal performance within a three to five-year cycle depending on frequency of use. Consideration must be given to replacing lamps so that the performance of the system may be maintained through life.

viii) Sports Pitch Fences

- Bottom of boards (if applicable) to be kept free from build-up of dirt on carpet.
- Inspect boards every six months and re-seal any edges as necessary using a suitable sealant.
- Inspect boards regularly for damage/vandalism to faces of boards. Any scratches, grooves must be treated/sealed with sealant to prevent ingress of water.
- Remove ball marks from board facia using a damp nonabrasive cloth
- Check bolts/nuts on rebound/kickboards regularly basis and retighten if necessary.
- Make good damage to ironwork by rubbing, primer and repaint.
- Shut and bolt gates properly to prevent damage in wind.
- Pitch divider nets to be used always with both cables and the free-standing support posts in place.

Appendix C – Warwick West – Current Sports Pitch Provision

Warwick West – Sports Provision

Venue	Public access Y/N	Football	Cricket	Hockey	Tennis	Rugby	Other
Aylesford School – Shelly Rd.	Yes – hire facilities	3 adult pitches 1 junior pitch All weather pitch	2 cricket squares		3 tarmac courts	1 senior pitch	sports hall, changing facilities
Warwick Sports Club – Hampton Rd.	Have a club membership scheme, but allow public access	2 junior grass pitches	Yes – 1 grass square & 1 artificial pitch	No pitches on site but have a hockey section within the club	5 floodlit tennis Courts (3 artificial clay & 2 artificial grass) & 1 unlit court	No	Changing, toilet, shower facilities & club house.
Racing Club Warwick – Hampton Rd.	Club facility	1 stadia grass pitch	No	No	No	No	Changing, toilets, shower facilities, club house.
St Marys Lands	Yes	2 grass football pitches	No	No	No	No	9-hole golf
Central Ajax FC – Hampton Rd.	Club facility	3 full size pitches. 7 mini soccer pitches. Floodlit training area.	No	No	No	No	Club house, toilets, ref's room,
Warwickian RUFC, Hampton Rd.	Club facility	1 pitch	No	No	No	2 pitches	?

|							
Newburgh Primary School, Kipling Avenue.	Yes – hire facilities	2 pitches (1x9-aside & 1 x 5-a-side)	Grass area available	Grass area available	Playground courts	Grass area available	Multi use games Area Court. Netball Courts.
Westgate Primary School/ Westgate Children's Centre, Bowling Green Street.	Yes – hire facilities	No	No	No	No	No	Small playground and small grass area

Chase Meadow Community Hall, Narrow Hall Meadow.	Yes – hire facilities	Indoor hall which could be used for coaching/small sided games	Indoor hall that could be used for activities such as quick cricket	Indoor hall that could be used for activities such as Unihoc	Indoor hall that could be used for activities such as short tennis	No	Sports hall (size of 2 badminton courts), meeting hall, 3 meeting rooms of different sizes, changing, toilet & shower facilities, kitchen
Warwick Show Band, Hampton Road.	Yes – hire facilities	No	No	No	No	No	2 large halls, kitchen.
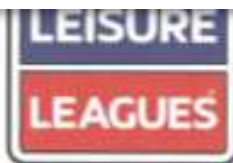
Mr Gary Vella
Racing Club Warwick FC
Townsend Meadow
Hampton Road
Warwick
CV34 6JP

28th September 2017

Dear Gary,

I am writing to express an interest in making a block booking on the proposed 7 a side 4G pitch which is being laid at Racing Club Warwick.

We currently run two successful 6 a side football leagues in Warwick, held at Aylesford School on a Monday and Tuesday evening, which have ran in the area since 2009. Both leagues have 16 teams participating on each evening, meaning we have around 300 people per week participating locally.

Due to the ongoing success of these leagues, we would be very keen to try and set up on another night as we are confident that with our reputation, and the quality of your new pitch, we could get even more people in the community involved weekly.

In order to complement our current leagues we would ideally be looking to secure a block booking on a Sunday evening, between the times of 6pm-9pm and would be confident we could get ample numbers signed up.

I very much look forward to hearing from you and hope that we can forge a very successful partnership in the future.

Yours sincerely,

Shaun Biggs
Executive Area Manager

Active8 Sports

14 Barnack Drive
Woodloes Park
Warwick
CV34 5TY

30ᵗʰ November 2017

Dear Gary,

I am writing in response to our recent conversation concerning the proposed Multi Use Games Area for Racing Club Warwick FC.

My company would definitely be interested in renting space in the evenings (Monday to Friday), weekends and during school holidays, subject to availability. As we mentioned, available space at both Myton and Aylesford is very difficult to obtain, especially during the winter months from October to March and I feel this would be something positive for this area of Warwick.

I am currently involved in PPA cover at two schools in Warwick, however, I am also looking to offer multisport clubs in the evenings and during the school holidays and your new facility would be perfect for this. I would also be happy to work alongside Racing Club, to offer local children the opportunity to improve their health and well-being through sporting activity. Hopefully, this is something we can discuss when you have more information available.

In the meantime, I would appreciate it if you would keep me informed as to the progress of your application and look forward to speaking to you in the near future.

Kind regards,

Phil Haycock
Active8 Sports

WARWICK LADIES NETBALL

Nicki Duffy

Warwick Ladies Netball

12 Hickmans Green Close

Chase Meadow

Warwick

CV34 6LJ

12th March 2018

Dear Gary

Firstly, may I just say how grateful I am for providing Warwick Ladies with a netball court. Since we have moved to the Racing Club, our numbers have tripled, and we now have over 30 ladies signed up. I did not envisage so many new members and I am overwhelmed at the commitment these ladies have shown.

I now have enough ladies to enter 3 teams next season and we will again be entering many summer tournaments, charity games and netball events over the summer as Racing Club Warwick Ladies.

Racing Club Warwick Ladies Netball club is growing rapidly. I have recruited a club coach and will need to recruit another due to the numbers that we have. I have also been approached to start juniors as part of the club of which I already have a waiting list of young ladies wanting to play for Racing Club Warwick 'Gems'.

We are now at a stage where we are in desperate need of 2 courts to accommodate the number of players we have. We will be given an opportunity to host league games once Team 1 move up into the higher league next season and to do so, we will need a home court which is according to league requirements.

We have so much more potential as a Club to grow. I have new enquiries every day and if we are given the 2 courts, we can then introduce Warwick Gems Juniors which I already have coaches lined up to join.

Having Warwick Ladies Netball Club operating in partnership with the Football Club promises to bring more spectators and awareness of the Club itself. It is guaranteed to dramatically improve the use of the club's facilities and attract more memberships.

In all honesty, if we are not given another court, I am not sure what we can do as the club is now that big that it is crucial we find somewhere by next season with 2 courts that can accommodate our numbers and the ability for us to host our league games and juniors club.

I shall be applying for funding to help cover our affiliation costs, however, we are proud to wear the club badge and therefore are grateful for any support or guidance that the club can offer us as we migrate to an official Netball Club.

I have been approached to officially publish our success story in the England Netball magazine as our transformation in such little time has caught the attention of the NDO in our area and I really hope that we can continue with the Racing Club in our journey.

Racing Club Warwick Ladies Netball Club is grateful for all the club's support as without you, we would simply not be where we are now.

If you have any questions, please do not hesitate to contact me and I look forward to seeing you at our meeting on 25th March at 6pm. The NDO for the area is also coming to the meeting and she will be presenting the options for our club going forward based on our current performance.

Kind regards,

Nicki Duffy

RC Warwick Ladies Netball Club Manager

RACING CLUB WARWICK JUNIOR FOOTBALL CLUB

Racing Club Warwick Football Club

Gary Vella,
Racing Club Warwick Football Club,
Townsend Meadow, Hampton Road,
Warwick,
CV34 6JP.

Dear Mr. Vella,

RE. Requirement for Multi Use Games Area

With recent developments indicating the possible addition of a MUGA area to the site, the Junior section of the club would like to state it's interest in using the area for their training requirements.

Our existing requirement amounts to over twenty hours per week and currently consists of inappropriate times due to the demand for facilities.

It would also allow the Junior section to contribute to the main site as parents and guardians can stay whilst the children train.

Many thanks in advance

Ruth Vella
Racing Club Warwick Junior Secretary

104 Wathen Road
Warwick
CV34 5BB
4th January 2018

To Whom it may concern,

My name is Simon Arnold I run my own business called FITT4KIDS where we run
School time sessions as well as running holiday clubs.

The reason for this letter is because I have heard that Racing Club Warwick are
putting a proposed bid for a multi use game area which I would love to use and think
it's a great idea. As mentioned we run holiday clubs mainly for primary school age
but I would like to offer a sports camp for secondary school children which I would
like to be able to run at Racing Club Warwick as it would give them an opportunity to
be activate in the school holidays instead of staying at home. I have had parents say to
me in the past there is not much opportunities for older children so I would like to
give them that opportunity.

Having an indoor sports hall of some sort would be great to use in case it gets to wet
outside or a possibility of running two camps one for primary and one for secondary
school children.

I hope to hear from you soon regarding my proposal of using your facilities.

Kind regards

Simon Arnold
FITT4KIDS

07731639980
www.fitt4kids.org.uk
fitt4kids@gmail.com

DYNAMO LEAMINGTON FC
88 KELVIN ROAD
CUBBINGTON
LEAMINGTON SPA
WARWICKSHIRE
CV32 7TQ.

E-mail: dynamo.leamington@gmail.com

2nd March 2018

G Vella Esq., *Chairman,*
Racing Club Warwick Football Club,
Townsend Meadow, Hampton Road,
Warwick,
CV34 6JP.

Dear Mr. Vella,

RE. Hire of Multi Use Games Area

The news that you plan to extend your facilities to include a Multi Use Games Area (MUGA) is of great interest to our football club. As we have used other facilities at Racing Club Warwick, we would very much like to understand the options to increase our involvement with the Club.

We currently train throughout the year, usually twice a week depending on fixtures during the football season, but regularly struggle to find a suitable venue for the winter months. If your facilities were to be extended to include an all-weather floodlit playing surface, we would be very keen to increase our involvement with RCW to include all-year training. This would also be of interest to our "sister-club" with whom we regularly train (Liberal Club FC), so it would be of significant benefit to us if we could consolidate all our training within the facilities provided by the Club, and allow us to continue to develop our sporting and social association with Racing Club Warwick.

Many thanks in advance – and I look forward to hearing from you in due course.

Yours sincerely,

ROBERT J. DENT.
(SECRETARY, DYNAMO LEAMINGTON FOOTBALL CLUB. FAN/NPD#1254855).

❖ ❖

Community Education Support

Football clubs and football stadiums can be a fantastic and attractive way to engage people of all ages in learning activities, whether through promoting coach education courses, or using football as the medium to promote numeracy and literacy skills. Our education objective is to 'Provide inspirational learning and personal development opportunities to raise aspirations, attainment and achievement'.

To us, education is a broad term. With all programmes and activities that we deliver, we consider how we help people to fulfil their potential. This may be through achieving formal education qualifications, or taking mentoring and leadership roles amongst their peers.

We have a range of programmes and schemes of work that promote educational attainment in primary, secondary and further education establishments – but we also look to promote attainment amongst those who access our community-based activities.

We work with partner organisations who are specialists in their areas of work, to provide information and guidance, advocacy and support relevant to a particular target group we may be working with. We also actively seek to identify 'exit routes' into further education, training or development opportunities for people who take part in our schemes.

Currently our education offer consists of:
- PPA (Planning, preparation and assessment) curriculum cover
- PE lessons
- Lunchtime clubs
- After school clubs
- Numeracy and literacy skills
- Schools respect workshop
- Fit 4 Life healthy schools project
- Secondary schools 'Leadership Academy'
- Alternative education mentoring scheme
- Sports coaching and leadership qualifications
- Employability skills (young people and adults)
- BTEC Sports Academy (in partnership with Henley College)

As with all of our work, we are always keen to hear from schools or partners who are interested in working with us. We have a number of schemes of work that are 'off the shelf', but we can also design and deliver bespoke programmes to suit the needs of your organisation and target group.

Healthy Lifestyles through Sport

Sky Blues in the Community are committed to providing opportunities for people in and around Coventry to adopt healthier lifestyles. It is well documented that regular participation in sport and physical activity can play a key role in promoting health and wellbeing, as well as improving physical, mental and social development.

Traditionally our work has seen the promotion of a healthy lifestyle as a by-product of our sports activity delivery. More recently we have developed interventions with defined objectives to address specific health needs and priorities amongst target groups and communities.
Our future direction will see us further develop our health offer using prevention, intervention and information to address local priorities including obesity, substance misuse, mental wellbeing, gender, ethnic and geographical inequalities.

Our main objective for health is *'To promote an active, healthy and informed lifestyles – helping to reduce health inequality in our community.'*

Our health projects provide an informative, enjoyable and supportive environment to help people make educated decisions about the lifestyle they lead. They offer an opportunity to get active for free with the guidance of qualified coaches and those involved gain professional advice and support from qualified advisors.

Our current health projects include:
Fit 4 Life – Multi-sport activities and healthy lifestyle lessons for primary school children
Schools healthy eating – Delivering an eight-week programme of games and exercises to promote an awareness of healthy eating amongst primary age children
InForm – Weekly football sessions for Adult Males (18+) delivered at a number of sites in Coventry, along with information on health conditions that are prevelant amongst adult men
Health week – Working with secondary schools in Coventry and Warwickshire, providing information on diets for young people
Coventry CHIP – Delivering a series of bespoke health workshops to different target groups including – smoking and shisha, drugs and the law, alcohol and substance misuse, sexual health and young women and trafficking.
Match day events – During the 2012-13 season we ran a number of promotional events on CCFC match days in and around the Ricoh Arena, offering health checks, information on sexual health and smoking cessation.

We are continuously looking to develop new, exciting and innovative ways of promoting the benefits of physical activity, health and wellbeing to people of all ages.

For more information on our health projects or to discuss your ideas, please contact Heidi Sloan on 024 7678 6313 or email hiedi.sloan@ccfc.co.uk   http://www.sbitc.org/

	Executive Committee 5 April 2018	Agenda Item No. 10
Title		New Village Hall at Norton Lindsey
For further information about this report please contact		Chris Elliott Chris.elliott@warwickdc.gov.uk 01926 456003
Wards of the District directly affected		Budbrooke
Is the report private and confidential and not for publication by virtue of a paragraph of schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006?		No
Date and meeting when issue was last considered and relevant minute number		N/A
Background Papers		Planning Application Ref No W/16/2330

Contrary to the policy framework:	No
Contrary to the budgetary framework:	No
Key Decision?	Yes
Included within the Forward Plan? (If yes include reference number)	No
Equality Impact Assessment Undertaken	No

Officer/Councillor Approval		
Officer Approval	**Date**	**Name**
Chief Executive	19/03/18	Chris Elliott
Head of Service	19/03/18	Marianne Rolfe, Mike Snow
CMT	19/03/18	Andrew Jones, Bill Hunt
Section 151 Officer	19/03/18	Mike Snow
Monitoring Officer	19/03/18	Andrew Jones
Finance	19/03/18	Mike Snow, Jon Dawson
Portfolio Holder(s)	19/03/18	Andrew Thompson, Peter Whiting
Consultation & Community Engagement		
The proposal for a new village hall has been developed very much by the local community. The planning application was subject to the Council's normal consultation proposals.		
Final Decision?	No	

1. **Summary**

1.1   This report seeks agreement in principle for the Council to make a financial
       contribution of £85,000 towards the overall costs of just under £500,000 for a
       new village hall to replace the existing one which is now unusable. It is
       proposed that the Council would make its contribution from the Community
       Project Reserve. This reserve is funded by monies received as part of the New
       Homes Bonus Scheme. That scheme was intended as a financial reward to
       Councils for accepting new housing development that could and should be
       reinvested in the local community. A business plan is in the course of
       preparation and this will be reported back to Executive for approval. At that
       point agreement to release any monies can be made.

2. **Recommendations**

2.1   That the Executive agrees in principle to contribute no more than £85,000
       toward the cost of constructing a new village hall in Norton Lindsey subject to:

       2.1.1 Receiving written confirmation that all the matching funds required have
       been received;
       2.1.2 Receiving a final and acceptable version of the business plan for the
       scheme;
       2.1.3 The conditions that normally apply to the administration of RUCIS
       scheme grants are met.

2.2   That a further report is made to the Executive to seek agreement to the
       business plan referred to in recommendation 2.1.2 above.

3. **Reasons for the Recommendations**

3.1   Norton Lindsey Village Hall is no longer able to be used. The local community
       has however, sought and obtained planning permission for a new facility on the
       same site.

3.2   The local community estimate that the scheme will cost £495,000. Around
       £175,000 has been raised or pledged, including the pledge from the Parish
       Council of £35,000 but £20,000 has had to be expended to get the scheme
       progressed to date. A national charitable grant making body has indicated that
       if the local community can raise half of the estimated costs then it may be well
       disposed to providing the remainder. On this basis the local community is
       £85,000 short of being able to cover 50% of the estimated build costs. A
       request has been made to the Council to provide this sum of money.

3.3   Normally a grant application for village halls would normally be dealt with under
       the Council's RUCIS scheme. However, the sum sought is well outside of the
       parameters of that scheme. In similar situations the Council has taken the
       approach of considering the request in the light of the use of its Community
       Projects Reserve. Therefore, it is proposed that the Council administer the
       request as if it were a RUCIS scheme grant application but fund it from the
       Community Project Reserve subject to:
       • the other sources of funding being agreed and confirmation that the funding
         such as pledges will materialise;
       • the signing off of a finalised Business Plan (a draft has been prepared but
         requires improvements);
       • that the administration of the application meets all the usual criteria of the
         administration of a RUCIS grant application.

4. Policy Framework

4.1 Fit for the Future (FFF)

The Council's FFF Strategy is designed to deliver the Vision for the District of making it a Great Place to Live, Work and Visit. To that end amongst other things the FFF Strategy contains several Key projects.

The FFF Strategy has 3 strands – People, Services and Money and each has an external and internal element to it. The table below illustrates the impact of this proposal if any in relation to the Council's FFF Strategy.

FFF Strands		
People	**Services**	**Money**
External		
Health, Homes, Communities	**Green, Clean, Safe**	**Infrastructure, Enterprise, Employment**
Intended outcomes: Improved health for all Housing needs for all met Impressive cultural and sports activities Cohesive and active communities	Intended outcomes: Area has well looked after public spaces All communities have access to decent open space Improved air quality Low levels of crime and ASB	Intended outcomes: Dynamic and diverse local economy Vibrant town centres Improved performance/ productivity of local economy Increased employment and income levels
Impacts of Proposal		
This will enable a rural community to enjoy a range of community, sporting and related activities, all of which will contribute to a cohesive and active local community.	None directly but the new village hall will also help the use of the adjoining open spaces.	None directly but a construction contract will have multiplier effects on the local economy.
Internal		
Effective Staff	**Maintain or Improve Services**	**Firm Financial Footing over the Longer Term**
Intended outcomes: All staff are properly trained All staff have the appropriate tools All staff are engaged, empowered and supported The right people are in the right job with the right skills and right behaviours	Intended outcomes: Focusing on our customers' needs Continuously improve our processes Increase the digital provision of services	Intended outcomes: Better return/use of our assets Full Cost accounting Continued cost management Maximise income earning opportunities Seek best value for money
Impacts of Proposal		
Not applicable	Not applicable	Not applicable

4.2   **Supporting Strategies**

Each strand of the FFF Strategy has several supporting strategies. However, there are none which are especially relevant in this case.

4.3   **Changes to Existing Policies**

Not applicable

4.4   **Impact Assessments**

Not applicable

5.   **Budgetary Framework**

5.1   The Community Project Reserve currently stands at £1.447m before any other demands on it are considered.

6.   **Risks**

6.1   The risks in this scheme lie with the local community in so far as risks about budget estimates, construction timetables and realisation of other funds all falling to the local community. However, it may be the situation is that an expectation may be placed on the Council to step in if the other sources of funding do not materialise or do not materialise at the level needed. This is proposed to be mitigated by the Council making it clear that it will not consider any further funding demands for this scheme.

7.   **Alternative Option(s) considered**

7.1   The Council could decide to refuse the request, but the purpose of the request is unique – an unusable village hall and so it would seem churlish to refuse to help, especially as it would lever in much more investment into the District.

7.2   The Council could offer a larger contribution but given what has been suggested there would be no need to do that if 50% of the remaining estimated costs can be met locally and the other 50% can be provided by a national charitable grant giving body.

7.3   The Council could offer a smaller contribution but if this were the case it would not be of sufficient assistance to meet the shortfall between the cost needed to construct a new village hall and the projected sums that can be raised by the local community.

	Executive 5th April 2018	Agenda Item No. 11
Title	Supporting Coventry & Warwickshire Business Festival 2018	
For further information about this report please contact	Suzee Laxton – Strategic Economic Development Officer 01926 456015 Suzee.laxton@warwickdc.gov.uk	
Wards of the District directly affected	All	
Is the report private and confidential and not for publication by virtue of a paragraph of schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006?	No	
Date and meeting when issue was last considered and relevant minute number	01 June 2017 Minute number 3	
Background Papers		

Contrary to the policy framework:		No
Contrary to the budgetary framework:		No
Key Decision?		No
Included within the Forward Plan? (If yes include reference number)		Yes – Ref 924
Equality Impact Assessment Undertaken		No
Not applicable		

Officer/Councillor Approval		
Officer Approval	**Date**	**Name**
Chief Executive/Deputy Chief Executive	02.03.18	Chris Elliott/Bill Hunt
Head of Service	02.03.18	Dave Barber
CMT	02.03.18	Bill Hunt
Section 151 Officer	02.03.18	Mike Snow
Monitoring Officer	02.03.18	Andrew Jones
Finance	02.03.18	Jenny Clayton
Portfolio Holder(s)	02.03.18	Cllr Noel Butler
Consultation & Community Engagement		
Conducted as part of the post-festival engagement in 2017. Amongst other metrics, this recorded satisfaction levels and sought feedback on how to improve in 2018. This feedback has been incorporated for the 2018 event.		
Final Decision?	Yes	
Suggested next steps (if not final decision please set out below)		

1. **Summary**

1.1 To agree a financial contribution for the Coventry & Warwickshire Business Festival 2018 (CWBF18) and the hosting of events.

2. **Recommendation**

2.1 That Executive agrees to release £10,000 from the Council's Contingency Budget to support the CWBF18 sponsored by Coventry and Warwickshire Local Enterprise Partnership (CWLEP).

3. **Reasons for the Recommendation**

3.1 In November of this year the CWLEP's Growth Hub will be sponsoring CWBF18 with the aim of once again delivering:

- regional conferences, exhibitions and trade fairs;
- sector specific days – addressing key SME challenges;
- networking and new business opportunities.

3.2 A successful launch of the Coventry & Warwickshire Business Festival in 2017 delivered:

- 114 events take place of which 99% were rated 'good to excellent';
- 4,910 attendees of whom 86% said the festival positively affected them or their business;
- A total media reach of 5.54million for the region. The reach refers to the total audience who would have seen or engaged with the marketing content in any form.

3.3 Given the positive impact of the festival, it is considered that an investment of £5,000 to support the Festival itself and a further £5,000 for any other opportunities that the Festival generates should be made available. This is in line with the level of support WDC offered the Coventry & Warwickshire Business Festival in 2017.

4. **Policy Framework**

4.1 **Fit for the Future (FFF)**

The Council's FFF Strategy is designed to deliver the Vision for the District of making it a Great Place to Live, Work and Visit. To that end amongst other things the FFF Strategy contains several Key projects.

The FFF Strategy has 3 strands – People, Services and Money and each has an external and internal element to it. The table below illustrates the impact of this proposal if any in relation to the Council's FFF Strategy.

FFF Strands		
People	**Services**	**Money**
External		
Health, Homes, Communities	**Green, Clean, Safe**	**Infrastructure, Enterprise, Employment**
Intended outcomes:	Intended outcomes:	Intended outcomes:

Improved health for all Housing needs for all met Impressive cultural and sports activities Cohesive and active communities	Area has well looked after public spaces All communities have access to decent open space Improved air quality Low levels of crime and ASB	Dynamic and diverse local economy Vibrant town centres Improved performance/ productivity of local economy Increased employment and income levels
Impacts of Proposal		
None	None	The festival provides the opportunity for businesses to come together, understand what others can offer and therefore opens up the potential for collaboration, growth and innovation. It also offers skill and knowledge sharing helping others to upskill. The promotion of the District helps to showcase our quality and talent, thereby supporting the potential for inward investment.
Internal		
Effective Staff	**Maintain or Improve Services**	**Firm Financial Footing over the Longer Term**
Intended outcomes: All staff are properly trained All staff have the appropriate tools All staff are engaged, empowered and supported The right people are in the right job with the right skills and right behaviours	Intended outcomes: Focusing on our customers' needs Continuously improve our processes Increase the digital provision of services	Intended outcomes: Better return/use of our assets Full Cost accounting Continued cost management Maximise income earning opportunities Seek best value for money
Impacts of Proposal		
None	None	None

4.2 Supporting Strategies

N/A

5. Budgetary Framework

5.1 It is recommended that the £10,000, outlined in section 3.3 above, is funded from the 2018/19 Contingency Budget. As at April 2018, the unallocated Contingency balance will be £317,400. This would leave £307,400 remaining. It is envisaged that the £10,000 will be spent in November/December 2018.

Should all the monies not be required, the unspent balance would be returned to the Contingency Budget.

5.2   The Growth Hub proposes that from 2019/20 onwards, the cost to the Council of contributing to the Festival and to the Growth Hub itself be rolled into one payment of £15,000 per annum. The Council currently contributes £13,426 per annum to the Growth Hub's supporting of businesses in the Coventry and Warwickshire sub-region. The proposal going forward therefore represents good value for the Council and the change can be addressed in the normal budget process. The Growth Hub intends to deliver greater private sector financial input into the Festival and its own operations hence the expected reduction in overall cost to the Council.

6.   Risks

6.1   None identified.

7.   Alternative Option(s) considered

7.1   Members may choose to not make financial support available for CWBF18. This has not been considered given the impact and publicity the festival offers to the District.

8.   **Background**

8.1   CWBF2018 will take place between 19-30 November with event registration opening on 5 March 2018.

8.2   The organisation of the CWBF18 will, once again, be managed by Associate Events who have prior experience of running a successful equivalent festival across Leicestershire.

8.2   In 2017, WDC advertised free or discounted use of its properties for use by others to host events. In light of the limited demand for this, it is not intended to repeat this offering in 2018. Specifically, there were 3 enquiries for use of WDC premises: 2 were not able to be supported as there wasn't the availability and 1 could not be supported as none of the premises offered on-site parking.

8.3   In addition to offering event space, the Council also coordinated a series of events. These included:
   - What does digital mean to Leamington Spa? A discussion panel held in collaboration with the FSB through our Tech Central brand
   - Is Virtual Reality (VR) the future of games or is it just a fad? A discussion panel held under the banner of Silicon Spa
   - Kenilworth 2030: an evening of speakers casting predictions on what the town might look like in 2030
   - A food safety pop-up surgery: an open-house advice centre held with licensing colleagues through the Business Better for All (BBfA) initiative.

8.4   Second to only Coventry, Warwick District saw the highest number of events hosted in their region. Officers will aim to build on this level of engagement by local businesses for CWBF18. In terms of WDC's events for 2018, it is hoped to organise three core events with one each in Kenilworth, Royal Leamington Spa and Warwick. Early thoughts on events, which may be subject to change, include:

- A collaboration with the British Academy of Film and Television Arts (BAFTA) around the topic of coding and the next generation
- A half-day conference on women pioneers (to reflect 100 years of suffrage) called #Pioneer100

Warwick District Council logo **Executive** **5 April 2018**	**Agenda Item No.** **12**

Title	Cycle Tour 2017 Review and 2018 Update
For further information about this report please contact	James de Ville Business Support Team Leader 01926 456012 James.deville@warwickdc.gov.uk David Butler Business Manager 01926 456017 David.butler@warwickdc.gov.uk
Wards of the District directly affected	All
Is the report private and confidential and not for publication by virtue of a paragraph of schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006?	No
Date and meeting when issue was last considered and relevant minute number	N/A
Background Papers	N/A

Contrary to the policy framework:	No
Contrary to the budgetary framework:	No
Key Decision?	Yes
Included within the Forward Plan? (If yes include reference number)	Yes (923)
Equality Impact Assessment Undertaken	No

Officer/Councillor Approval		
Officer Approval	**Date**	**Name**
Chief Executive/Deputy Chief Executive	19/03/2018	Bill Hunt
Head of Service	16/03/2018	Dave Barber
CMT	19/03/2018	Bill Hunt
Section 151 Officer	19/03/2018	Mike Snow
Monitoring Officer	19/03/2018	Andy Jones
Finance	19/03/2018	Mike Snow
Portfolio Holder(s)	19/03/2018	Cllr Noel Butler
Consultation & Community Engagement		
None		
Final Decision?		Yes
Suggested next steps (if not final decision please set out below)		

1.   **Summary**

1.1   The report brings forward a request for funding following the agreement to have to have the finish line for the Women's Cycle Tour in Leamington on Friday 15 June.

1.2   The route of the Men's Cycle Tour is unlikely to be confirmed until Mid-April but funding is sought to support this in case the District is included in the route.

2.   **Recommendation**

2.1   That Executive approve an allocation of £80,000 from the Service Transformation Reserve to allow the Business Support and Events Team to secure the hosting of one or both finishes and to deliver other events in support of both cycling events, and to ensure proper publicity is given to them:

(1)   Women's Cycle Tour Funding: £35,000 (included in this amount is a £15,000 contribution to Warwickshire County Council to help cover expenses such as traffic management);

(2)   Men's Cycle Tour Funding (if the route passes through Warwick District): £45,000 (included in this amount is a £15,000 contribution to Warwickshire County Council to help cover expenses such as traffic management).

3.   **Reasons for the Recommendation**

3.1   Official organiser figures state that The Women's Cycle Tour 2017 brought around 20,000 visitors to Leamington Spa on the day of Tour, with an expenditure total of at least £300,000.

3.2   Highlights of the event were shown on ITV4 on the day of the race, with further coverage of Royal Leamington Spa, and the sprint stage in Kenilworth, being shown during the Tour de France coverage later in 2017 and syndicated through Eurosport and others networks to a national and international audience.

3.3   Given the experience of the 2017 Women's Tour finish it is anticipated that £20,000 is required (over and above the £15,000 contribution with WCC) to ensure that sufficient stewards, security, engagement and entertainment is provided on the day to deliver an event for all visitors, that will continue to showcase the town through the extended coverage after the event. Whilst the final location of the finishing line has yet to be ratified, we are confident that the organisers and County Council have listened to our thoughts, and learning points from 2017, and a town centre finish that does not necessitate the closure of Parade will be selected. Sufficient space will always be a priority in order to provide a memorable occasion whilst maximising the economic impact of the day for town centre businesses

3.4   The funding would also allow for a comprehensive and fully funded, communication plan for the district. This would allow for more engagement and work to be done with the businesses within Royal Leamington Spa, to help them make the most out of this event. This might be through workshops on social media, place making, and town centre activities to ensure that our local businesses have the skills and knowledge to gain maximum benefit from this unique event.

3.5 The route will have a sprint stage in Kenilworth, as well as passing around the town centre of Warwick – the same as the 2017 Women's Tour. With that in mind, the Business Support and Events team will include activities and promotions that maximise the benefits to the towns as well as the wider district, within the request budgetary amounts.

3.6 The Men's Tour would be a new event to Warwick district, but would build on the basic layout of the Women's Tour. The funding is requested now because the announcement of a route is due in Mid-April and we do not currently know if Warwickshire will host a stage or whether the District is selected to host a part of it. However, if it is, we would need to start implementing relevant plans immediately and the next Executive meeting is on 1 June 2018. The need to start implementing the plans earlier for the Men's Tour is because it is significantly larger, with crowds usually being around 4 times larger (although this increase is spread throughout the route) and live TV coverage throughout. In order to put on an appropriate event and accompanying business support, and allowing for additional security and stewarding costs, the budgetary impact is therefore greater than the Women's Tour.

4. **Policy Framework**

4.1 **Fit for the Future (FFF)**

The Council's FFF Strategy is designed to deliver the Vision for the District of making it a Great Place to Live, Work and Visit. To that end amongst other things the FFF Strategy contains several Key projects.

The FFF Strategy has 3 strands – People, Services and Money and each has an external and internal element to it. The table below illustrates the impact of this proposal if any in relation to the Council's FFF Strategy.

FFF Strands		
People	**Services**	**Money**
External		
Health, Homes, Communities	**Green, Clean, Safe**	**Infrastructure, Enterprise, Employment**
Intended outcomes: Improved health for all Housing needs for all met Impressive cultural and sports activities Cohesive and active communities	Intended outcomes: Area has well looked after public spaces All communities have access to decent open space Improved air quality Low levels of crime and ASB	Intended outcomes: Dynamic and diverse local economy Vibrant town centres Improved performance/ productivity of local economy Increased employment and income levels
Impacts of Proposal		
The promotion of this event will encourage people to look into cycling further, and possibly take it up as a hobby or sport.	With all our events we ensure that safety of the public is our number one priority.	With the finish line being in Royal Leamington Spa, visitors will be able to explore our vibrant variety of retail and food outlets. There may also be some

Internal		
Effective Staff	**Maintain or Improve Services**	**Firm Financial Footing over the Longer Term**
Intended outcomes: All staff are properly trained All staff have the appropriate tools All staff are engaged, empowered and supported The right people are in the right job with the right skills and right behaviours	Intended outcomes: Focusing on our customers' needs Continuously improve our processes Increase the digital provision of services	Intended outcomes: Better return/use of our assets Full Cost accounting Continued cost management Maximise income earning opportunities Seek best value for money
Impacts of Proposal		
The Business Support and Events Team will be leading on this event, but could not deliver on the day without volunteers from the Council. In 2017 we had several volunteers from all sectors of the Council, and we would expect a similar level of support this year.	We have learnt a few lessons from the Women's Tour 2017, and have been able to improve our processes for 2018 to ensure the event is delivered in an effective and efficient manner.	We will be setting up new cost codes to ensure that full and proper cost management is implemented for these events. We will also look to ensure we use our assets wisely, and in a way that will maximize their potential.

(Top of preceding table cell, continued text:) visitors staying over at this location, adding to their expenditure within the district. Further, the coverage on national and international networks is invaluable as a marketing tool for the sub region

4.2 Supporting Strategies

Both events touch on many of the Strategies of FFF, be it economic development, the health and wellbeing of our residents or through the international coverage our District will receive.

5. Budgetary Framework

5.1 The report requests that £80,000 to be drawn down from the Service Transformation Reserve, which currently has an unallocated balance of £682,000, to deliver the activities as set out in 2.1 – 2.3.

6. Risks

6.1 The risk of hosting these events would be that the economic benefit is not as apparent, or as high, as we have estimated. However to mitigate this, the Business Support and Events Team will work with Media to implement a

comprehensive promotional schedule to ensure that we reach as many potential visitors as possible.

6.2 Reputational risks also arise if the feedback on the 2017 Tour was not addressed, especially around road closure, barriers and infrastructure within the town centre. This could be mitigated through an alternative finish location being selected that minimises the negative impact and through the continued communication to the organisers and Warwickshire County Council, but also with a properly laid and funded coms plan.

7. Alternative Option(s) considered

7.1 One alternative option is to not support the event. This would remove the risk of our economic impact not being met. Likewise we would remove the chance of disruption in the local area. However, this option is not being recommended as in its first year in Royal Leamington Spa, the Women's Tour still delivered a significant economic impact and that we are confident of growing this in 2018.

7.2 We could also decrease the amount we are looking to spend on the event to £21,000 per event. This would provide Warwickshire County Council with their £15,000 contribution, and give the Business Support and Events team £6,000 to provide the organisers with everything that is expected from the finish line host. This is not being recommended, as there wouldn't be available funds for the team to put on additional activities and marketing to help the district make the most out of these internationally publicised events.

7.3 One final option would be to support in principle hosting the finish or finishes without committing Council funding, instead seeking sponsorship to cover the costs. This has not been recommended as there is a substantial risk that such sponsorship would not be forthcoming and the event would remain unfunded.

8. Background

8.1 During a debrief of the Women's Cycle Tour 2017, it was acknowledged, by Warwickshire County Council and by SweetSpot (the tour organisers), that the finish in Royal Leamington Spa had been an incredibly successful event – and the busiest finish that they had outside of London in the history of the Women's Tour.

8.2 However, concerns were raised by town centre stakeholders around the impact on some of the town centre businesses from the infrastructure brought in for the event. This made moving around the town more difficult due to the amount of barriers that were required to keep both the cyclists and the public safe.

8.3 There was also feedback from some local businesses that they weren't made aware of the event with sufficient notice, The Business Support and Events team will be ensuring that the business engagement for both events is a high priority through a comprehensive and well delivered communication plan, and by ensuring stakeholder engagement meetings happen regularly to help drive up advocacy of the event within the town.

8.4 The independent economic assessment of the Warwickshire Stage of the Women's Tour showed that over £300,000 was spent within the town centre on the day of the Tour.

8.5 For the 2017 Tour, we made a contribution of £11,375 to Warwickshire County Council, which went towards the traffic management and hosting of the event in our area. In total the Business Support and Events Team spent approx. £25,000 (which includes the WCC contribution). This covered our events in both Kenilworth and Leamington Spa, street dressing and medical provision. A £20,000 grant from Exec allowed us to cover a majority of these costs.

WARWICK DISTRICT COUNCIL	**Executive Committee** **5 April 2018**	**Agenda Item No. 13**
Title	Royal Naval Club, Adelaide Road, Royal Leamington Spa	
For further information about this report please contact	Chris Elliott chris.elliott@warwickdc.gov.uk 01926 456003	
Wards of the District directly affected	Leamington Clarendon	
Is the report private and confidential and not for publication by virtue of a paragraph of schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006?	No	
Date and meeting when issue was last considered and relevant minute number	1 November 2017 Minute number: 80	
Background Papers	Proposal from Ahmadiyya Muslim Association; Business Plan for LAMP;	

Contrary to the policy framework:	No
Contrary to the budgetary framework:	No
Key Decision?	No
Included within the Forward Plan? (If yes include reference number)	No
Equality Impact Assessment Undertaken	Not Applicable

Officer/Councillor Approval		
Officer Approval	**Date**	**Name**
Chief Executive	19.03.18	Chris Elliott
Head of Service	19.03.18	Dave Barber; Marianne Rolfe
CMT	19.03.18	Andrew Jones, Bill Hunt
Section 151 Officer	19.03.18	Mike Snow
Monitoring Officer	19.03.18	Andrew Jones
Finance	19.03.18	Mike Snow
Portfolio Holder(s)	19.03.18	Cllrs Noel Butler and Andrew Thompson
Consultation & Community Engagement		
This report is the outcome of discussions with some of the community groups.		
Final Decision?	Yes	

1.   **Summary**

1.1   This report sets out the progress made in respect of the departure of the Royal Naval Club from the premises in Adelaide Road and seeks agreement for the next steps.

2.   **Recommendations**

2.1   That the progress made on implementing the Executive's decision of October 2017 be noted.

2.2   That the extent of Community Interest in use of the Royal Naval Club be noted.

2.3   That the location of the site within the Creative Quarter project area is noted and that Complex Development Projects (CDP) is asked to prepare a Masterplan for the whole of the Adelaide Road area including the Royal Naval Club site, as a priority.

2.4   That the Masterplan, as well as maximising the commercial opportunities for the Council, explores potential provision for Bowls England and the opportunities for the community groups currently housed in this area to realise their ambitions.

2.5   That an offer of a short term let of the Royal Naval Club premises is made to the Ahmadiyya Muslim Association and to Leamington Live Arts & Music Project (LAMP). That determination of to whom the let shall be made be by the best offer for rent and the best financial background; and, if they do not wish to take up the offer or if their proposal is not acceptable, then the offer of a short term let should be offered to the wider market of community groups.

2.6   That in the event that if either of the 2 groups referred to in 2.5 are not successful, then the Council offers to work with them to find another solution.

3.   **Reasons for the Recommendations**

      Recommendation 2.1

3.1   The Executive agreed last year, to waive the rent payable by the Royal Naval Association (RNA) on its premises in Adelaide Road for the period October 17 to March 18 and not to pursue any dilapidation costs provided the Club hand back the lease at the end of March 2018. This arose as the Club cannot afford to run the property anymore. This stage is on course for completion and the keys to be handed back on 3rd April 2018.

3.2   The Council also agreed to try to find alternative venues for the various community organisations that have used the premises and to help the RNA also find another venue. All groups have found another home. The RNA is now going to hold its meetings at Racing Club Warwick as are a number of the other community groups.

3.3   The Council also agreed to look at the future possible uses of the site and agreed a sum of £50,000 to do so from the Community Project Reserve.

3.4   WDC Officers were offered, and took the opportunity of some free work to look at options and costs for a more commercial development on the site. This route was chosen rather than to use the £50,000 allocated immediately. The capital costs for all 3 options are significant but with the knowledge that for example of a capital bid of nearing £1m for circa 2,000 sq. ft. then an office building as proposed could generate a capital value on that basis of circa £10m or could generate a significant rental income sufficient to pay back any financing cost and deliver a surplus back to the Council.

Recommendation 2.2

3.5   Since the November 2017 decision the Council has been approached by a number of community groups or organisations expressing an interest in the property. These include: Bowls England (BE); Leamington Live Arts & Music Project (LAMP); the Ahmadiyyah Muslim Association; and the Irish Club.

3.6   **Bowls England:** The existing premises and indeed the site area is too large for the BE's requirements. BE want an office on a very long lease or freehold of no more than 3,000 sq. ft. but it could be part of a larger scheme. Exploratory discussions had been held on a new-build option on the site of the RNA Club but the issue would be whether the Council could assist BE with temporary accommodation to cover any gap between the closure of Riverside House and the availability of new premises which might be about a year to 18 months.

3.7   **LAMP:** LAMP initially wanted an extension to their existing premises. However, such is the growth in its work – it provides education for children with challenging behaviours/mental health issues - that they consider that an extension to the current property it occupies (also in the Adelaide Road area) would not be adequate and so needs larger premises. LAMP therefore would like to take on the tenancy of the RNAC building. LAMP has prepared a business plan. Views were sought from WCC as the Education Authority who are very supportive of the work that LAMP does. WCC is the main referrer of students to LAMP.

3.8   **Ahmadiyya Muslim Association:** The Ahmadiyya Muslim Association have put forward a request for them to take on the property either as a rent paying tenant with a view in the longer term to buying the site and redeveloping it plus their current site for a larger Mosque/community centre. The Ahmadiyya Muslim Association occupies the immediately adjoining site for its Baital Ehsan mosque on a long lease. The Association wants to use the premises for community activities.

3.9   **Irish Club:** The Irish Club would like to be able to extend its existing property. It has no interest in the RNA Club building other than wishing to ensure that it is not used as another licenced premise.

Recommendations 2.3 and 2.4

3.10 The Adelaide Road site as a whole is within the Creative Quarter project area boundary although the RNA Club site itself was excluded given the negotiations that were underway at the time that the Creative Quarter contract was let. The inclusion of this area within the project boundary allows the Council's regeneration partner, Complex Development Project (CDP) to consider proposals for the area as part of the comprehensive Creative Quarter masterplan. The agreement between WDC and CPD provides for the following:

The Parties agree that for the period commencing on the Start Date and ending on the date that Phase 2 commences in accordance with clause 2.7, the following provisions shall apply:

The Regeneration Partner shall not enter into any agreement with a third party for the acquisition and/or development of any premises within the Red Line without the consent of the Authority (not to be unreasonably withheld); and

Subject to clause 4.14.3, the Authority shall not enter into any agreement with a third party for the disposal of Authority-owned Assets within the Red Line without the consent of the Regeneration Partner (not to be unreasonably withheld).

Clause 4.14.2 shall not apply to any disposal by the Authority that it has already notified the Regeneration Partner of prior to the Start Date and/or any disposal by way of lease that contains a break clause of no more than 3 months' notice (unless the Parties agree otherwise), provided that the Authority informs the Regeneration Partner of such disposal.

During Phase 1, the Authority shall:

Share with the Regeneration Partner all relevant information in relation to the Project, including but not limited to, all details of Authority-owned Assets, knowhow in relation to existing local creative industries and contacts for key people; and

Consult with the Regeneration Partner in the event that any other business of the Authority may, in the reasonable opinion of the Authority, impact on the Project.

3.11 It is, therefore, recommended that the RNA Club site is re-inserted into the Creative Quarter project area and CDP asked to develop a masterplan for the whole of the Adelaide Road area as a priority action. This approach would reduce the upfront cost risk to the Council, potentially generate a return for the Council in the future, maximise commercial opportunities and potential provide a way for the longer term ambitions of existing community groups in this area to be realised, though not immediately. Members should note the potential risk for any development of the area if there were there to be widespread community opposition to any scheme. A masterplan approach would help to mitigate any such reactions by allowing early involvement of the local community in the development of ideas and proposals.

3.12 It is suggested that as part of the requirements for the masterplan that the potential to provide office provision for BE should be considered as it would anchor the organisation in the town and be close to the bowling greens. For

the sake of clarity such provision would only be made on a wholly commercial basis.

Recommendation 2.5

3.13   However, this approach could leave the building empty for quite a while with any cost of keeping it safe and watertight falling to the Council. A short term let could mitigate this risk. If this route was to be chosen then the Council could agree a short term let with either of the community groups that have written to express interest in using the building on the best rental terms offered and their financial record; and, if they were not interested on that basis or neither were successful then the premises should be offered to the wider market of community groups.

Recommendation 2.6

3.14   Given the interest, should any one of the organisations be unsuccessful then it would be helpful for the wider community benefit if the Council offered help to find another solution to their accommodation needs. The Council would work with other agencies in this respect including Warwickshire County Council.

4.   Policy Framework

4.1   Fit for the Future (FFF)

The Council's FFF Strategy is designed to deliver the Vision for the District of making it a Great Place to Live, Work and Visit. To that end amongst other things the FFF Strategy contains several Key projects. If the recommendations of this report are agreed then the Adelaide Road Masterplan area becomes a new project of the Council.

The FFF Strategy has 3 strands – People, Services and Money and each has an external and internal element to it. The table below illustrates the impact of this proposal if any in relation to the Council's FFF Strategy.

FFF Strands		
People	**Services**	**Money**
External		
Health, Homes, Communities	**Green, Clean, Safe**	**Infrastructure, Enterprise, Employment**
Intended outcomes: Improved health for all Housing needs for all met Impressive cultural and sports activities Cohesive and active communities	Intended outcomes: Area has well looked after public spaces All communities have access to decent open space Improved air quality Low levels of crime and ASB	Intended outcomes: Dynamic and diverse local economy Vibrant town centres Improved performance/ productivity of local economy Increased employment and income levels

Impacts of Proposal		
In seeking to explore the opportunities for the community groups this proposal has the opportunity to improve the District's cultural activities and help assist a cohesive and active community.	The Masterplan may be able to offer opportunities to improve the quality of the environment in a variety of ways.	The proposal can add to the local economy and especially the town centre helping the area in respect of its performance, employment and income levels.
Internal		
Effective Staff	**Maintain or Improve Services**	**Firm Financial Footing over the Longer Term**
Intended outcomes: All staff are properly trained All staff have the appropriate tools All staff are engaged, empowered and supported The right people are in the right job with the right skills and right behaviours	Intended outcomes: Focusing on our customers' needs Continuously improve our processes Increase the digital provision of services	Intended outcomes: Better return/use of our assets Full Cost accounting Continued cost management Maximise income earning opportunities Seek best value for money
Impacts of Proposal		
Not directly applicable	This proposal could potentially aid the objectives of parts of our community.	The proposal will help the Council to seek much better use of and return on its assets. This will help with maximizing income and achieving best value for money.

4.2 **Supporting Strategies**

Each strand of the FFF Strategy has several supporting strategies bit none are particularly relevant to this proposal.

4.3 **Changes to Existing Policies**

Not applicable.

4.4 **Impact Assessments**

Not applicable.

5. **Budgetary Framework**

5.1 If the recommendations are agreed then the previously agreed allocation of £50,000 can be returned to the Community Project Reserve.

5.2 At this stage there are no other direct financial implications other than the loss of rental income should the building not find a tenant.

5.3 The rent that would have been payable on the premises from June 2018 was to be £11,000 per annum and the site currently has a book value of £120,000.

6. Risks

6.1 At present the high level risks are around maintaining an empty building and the cost associated with that; and, that to whomever is given a short term let, they are then subsequently reluctant to vacate the premises without an acrimonious debate.

6.2 The approach advocated in this repot should mitigate the first of the risks identified above and making it clear openly that the property is only available for a short term let should help to minimise the latter risk.

7. Alternative Option(s) considered

7.1 The Council could decide to agree a disposal of the Royal Naval Club on a long lease or freehold but this is not recommended as the most appropriate way to make the best use of its assets nor to deliver best value.

7.2 The Council could decide to continue its original course of action and decide to examine the potential of the Royal Naval Club site by itself. The recommended approach however, takes a more comprehensive and, to the Council, less costly and less risky approach.

EXECUTIVE 5 APRIL 2018		Agenda Item No. **14**
Title		Significant Business Risk Register
For further information about this report please contact		Richard Barr Audit & Risk Manager Tel: 01926 456815 email:richard.barr@warwickdc.gov.uk
Wards of the District directly affected		All
Is the report private and confidential and not for publication by virtue of a paragraph of schedule 12A of the Local Government Act 1972, following the Local Government (Access to Information) (Variation) Order 2006?		No
Date and meeting when issue was last considered and relevant minute number		7 February 2018 – Executive
Background Papers		Minutes of Senior Management Team
Contrary to the policy framework:		No
Contrary to the budgetary framework:		No
Key Decision?		No
Included within the Forward Plan? (If yes include reference number)		No
Equality Impact Assessment Undertaken		No (N/A: no direct service implications)

Officer/Councillor Approval		
With regard to report approval all reports _must_ be approved as follows		
Title	**Date**	**Name**
Chief Executive/Deputy Chief Executive	14 March 2018	Chris Elliott
Head of Service	As above	Mike Snow
CMT	As above	CMT
Section 151 Officer	As above	Mike Snow
Monitoring Officer	As above	Andrew Jones
Finance	As above	As S151 Officer
Portfolio Holder(s)	14 March 2018	Councillor Andrew Mobbs and Councillor Peter Whiting
Consultation & Community Engagement		
None other than consultation with members and officers listed above.		
Final Decision?		Yes
Suggested next steps (if not final decision please set out below) N/A		

1   **Summary**

1.1   This report sets out the latest version of the Council's Significant Business Risk Register for review by the Executive. It has been drafted following a review by the Council's Senior Management Team and the Leader of the Council.

2   **Recommendations**

2.1   That Executive should review the Significant Business Risk Register attached at Appendix 1 and consider if any further actions should be taken to manage the risks facing the organisation.

2.2   That Executive notes the changing risks and the emerging risks identified in sections 9 and 10 of this report.

3   **Reason for the Recommendations**

3.1   This report seeks to assist members fulfil their role in overseeing the organisation's risk management framework. In its management paper, "Worth the risk: improving risk management in local government", the Audit Commission sets out clearly the responsibilities of members and officers with regard to risk management:

> "Members need to determine within existing and new leadership structures how they will plan and monitor the council's risk management arrangements. They should:
>
> - decide on the structure through which risk management will be led and monitored;
> - consider appointing a particular group or committee, such as an audit committee, to oversee risk management and to provide a focus for the process;
> - agree an implementation strategy;
> - approve the council's policy on risk (including the degree to which the council is willing to accept risk);
> - agree the list of most significant risks;
> - receive reports on risk management and internal control – officers should report at least annually, with possibly interim reporting on a quarterly basis;
> - commission and review an annual assessment of effectiveness: and
> - approve the public disclosure of the outcome of this annual assessment, including publishing it in an appropriate manner.
>
> The role of senior officers is to implement the risk management policy agreed by members.
>
> It is important that the Chief Executive is the clear figurehead for implementing the risk management process by making a clear and public personal commitment to making it work. However, it is unlikely that the chief executive will have the time to lead in practice and, as part of the planning process, the person best placed to lead the risk management implementation and improvement process should be identified and appointed to carry out this task. Other people

throughout the organisation should also be tasked with taking clear responsibility for appropriate aspects of risk management in their area of responsibility."

4 **Policy Framework**

4.1 **Fit for the Future (FFF)**

The Council's FFF Strategy is designed to deliver the Vision for the District of making it a Great Place to Live, Work and Visit. To that end amongst other things the FFF Strategy contains several Key projects.

The FFF Strategy has 3 strands – People, Services and Money and each has an external and internal element to it. The table below illustrates the impact of this proposal if any in relation to the Council's FFF Strategy.

FFF Strands		
People	**Services**	**Money**
External		
Health, Homes, Communities	**Green, Clean, Safe**	**Infrastructure, Enterprise, Employment**
Intended outcomes: Improved health for all Housing needs for all met Impressive cultural and sports activities Cohesive and active communities.	Intended outcomes: Area has well looked after public spaces All communities have access to decent open space Improved air quality Low levels of crime and ASB.	Intended outcomes: Dynamic and diverse local economy Vibrant town centres Improved performance/ productivity of local economy Increased employment and income levels.
Impacts of Proposal		
The Significant Business Risk Register is based on the Council's corporate priorities and key strategic projects that are reflected in Fit for the Future. The Fit for the Future programme is also based on an agreed set of values amongst which are the ones of openness and honesty. This is integral to the consideration of risk in an organisation; risk issues needs to be discussed and debated and mitigation put in place, in order to prevent them materialising. It does not mean, however, that all risks recorded are immediately impending or are likely to happen. Paradoxically, to not debate risks is to help them more likely to materialise. It is worth members re-apprising themselves of the basis on which risks are scored in relation to likelihood and impact – see Appendix 3. The probability of a risk being realised, and how many times it might happen, is assessed over a number of years, not as if it is going to happen tomorrow.		

Internal		
Effective Staff	**Maintain or Improve Services**	**Firm Financial Footing over the Longer Term**
Intended outcomes: All staff are properly trained All staff have the appropriate tools All staff are engaged, empowered and supported The right people are in the right job with the right skills and right behaviours.	Intended outcomes: Focusing on our customers' needs Continuously improve our processes Increase the digital provision of services.	Intended outcomes: Better return/use of our assets Full Cost accounting Continued cost management Maximise income earning opportunities Seek best value for money.
Impacts of Proposal		
Although there are no direct policy implications, risk management is an essential part of corporate governance and will be a major factor in helping to achieve the above outcomes.		

4.2 **Supporting Strategies**

Each strand of the FFF Strategy has several supporting strategies but description of these is not relevant for the purposes of this report.

4.3 **Changes to Existing Policies**

This section is not applicable.

4.4 **Impact Assessments**

This section is not applicable.

5 **Budgetary Framework**

5.1 Although there are no direct budgetary implications arising from this report, risk management performs a key role in corporate governance including that of the Budgetary Framework. An effective control framework ensures that the Authority manages its resources and achieves its objectives economically, efficiently and effectively.

5.2 The risk register sets out when the realisation of risks might have financial consequences. One of the criteria for severity is based on the financial impact.

6 **Risks**

6.1 The whole report is about risks and the risk environment. Clearly there are governance-related risks associated with a weak risk management process.

7   **Alternative Options Considered**

7.1   This report is not concerned with recommending a particular option in preference to others so this section is not applicable.

8   **Background**

8.1   The Significant Business Risk Register (SBRR) records all significant risks to the Council's operations, key priorities, and major projects. Individual services also have their own service risk registers.

8.2   The SBRR is reviewed quarterly by the Council's Senior Management Team and the Council Leader and then, in keeping with members' overall responsibilities for managing risk, by the Executive. The latest version of the SBRR is set out as Appendix 1 to this report.

8.3   A summary of all the risks and their position on the risk matrix, as currently assessed, is set out as Appendix 2.

8.4   The scoring criteria for the risk register are judgemental and are based on an assessment of the likelihood of something occurring, and the impact that might have. Appendix 3 sets out the guidelines that are applied to assessing risk.

8.5   In line with the traditional risk matrix approach, greater concern should be focused on those risks plotted towards the top right corner of the matrix whilst the converse is true for those risks plotted towards the bottom left corner of the matrix. If viewed in colour (e.g. on-line), the former set of risks would be within the area shaded red, whilst the latter would be within the area shaded green; the mid-range would be seen as yellow.

9   **Recent Movements in Risk**

9.1   Any movements in the risk scores over the last six months are shown on the risk matrices in Appendix 1 and are normally explained in this section of the report. There has been no movement in any of the risk scores in the past two quarters, however, so no narrative to explain these is required. No risks are currently in the red zone.

10   **Emerging Risks**

10.1   As part of the process of assessing the significant business risks for the Council, some issues have been identified which at this stage do not necessarily represent a significant risk, or even a risk at all, but as more detail emerges may become one. These have been mentioned in previous reports but as their status has not changed they are included again for completeness.
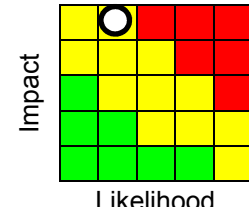
        The impact of national housing policy proposals on the Council's ability to remain a viable landlord. The possibility of the imposition of a High Value Voids on HRAs remains but the Government has given a commitment not to implement anything now until at least April 2019. This issue will be reviewed when the Government is clear about its proposals.

        The EU referendum result, already recognised as a potential trigger to some of the Council's existing risks, will be kept under review so that as
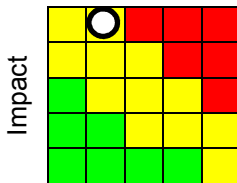
details emerge of exactly what Brexit may mean – generally for Local Government and specifically for this Council – its implications for the Council's risk environment can be considered further.

The Government has started consultations around the proposed 100% Business Rate Retention by Local Government. Depending on how these proposals develop, which may impact upon funding as well as functions, it may be that they represent a threat or an opportunity to this Council, or perhaps a combination of both.

Significant Business Risk Register
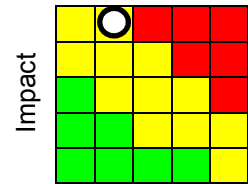
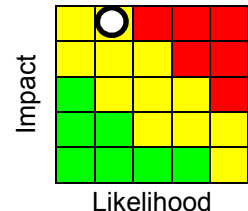| Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
Performance Management Risks				
1. Fit for the Future Change Programme not managed appropriately/effectively.	Poor organisational communication. Conflicting priorities and priorities increasing in number. Unable to dedicate appropriate resources due to the impact on existing services. Poor management. Ineffective use of project management or systems thinking. Lack of funding.	Reduced service levels. Non or reduced achievement of objectives. Adverse financial impacts. Reputational damage. Demoralised and de-motivated staff.	Project prioritisation. (SMT) SMT are Programme Board. (SMT) Fit for the Future change programme and associated governance arrangements. (SMT) Budget monitoring process. (HoF) Clear communications, staff focus group. (SMT) People Strategy Action plan. (SMT) Strong leadership to ensure priorities are managed to a deliverable level. (SMT) Securing additional resources to support existing service provision. (CMT) Projects drawn up within RIBA framework. (SMT)	Impact ⬜ Likelihood

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
Performance Management Risks (Cont.)				
2. Risk of sustained service quality reduction.	Shortage of staff resources and staff skills and knowledge. Staff skills and resources diverted to service redesign proposals as part of delivering Fit For the Future and other emerging corporate priorities. Cannot afford cost of maintaining service quality. Partners such as WCC make service cuts. Pandemic. Contractor failure. Unplanned termination of contract by contractor. Housing numbers not achieved. Increase in Members' and Citizens' expectations.	Poor customer service and reductions in income. Lack of direction with critical projects and services being compromised. Public lose confidence in Council's ability to deliver. Demoralised and de-motivated staff. Additional costs attached to re-procuring contract, including legal fees. Loss of New Homes Bonus.	Effective Management of Change Programme. (CMT) Agreeing additional resources where service quality is reduced. (CMT) Strong leadership to manage priorities to a deliverable level. (SMT) Effective vacancy control. (SMT) Service Reviews. (SMT) Workforce Planning. (SMT) Launch of employee branding and recruitment package (July 2017) developed by Workforce Steering Group. (HR Manager) Effective contract management supported by appropriate legal support. (SMT) **Enhanced Performance Management System (HoNS)** Corporate Workforce Steering Group project completed in respect of salary review, and impact of National Living Wage. (HR Manager) **Corporate Workforce Steering Group project ongoing in respect of Apprenticeships. (HR Manager)** Nominations received from all Service Areas. The recruitment process has now started – apprenticeships are being advertised. **Implement actions necessary from the new National Agreement regarding salaries. (HR Manager)**	

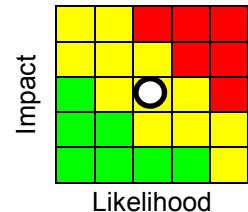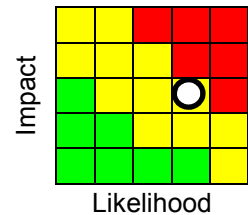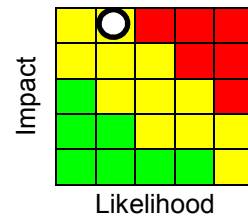| Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
Performance Management Risks (Cont.)				
3. Risk of major contractor going into administration or deciding to withdraw from the contract.	Poor procurement of contractor. Poor contract management. Poor management of company. External factors. State of economy (including Brexit factors). Introduction of Living Wage.	Reduced service levels. Non or reduced achievement of objectives. Adverse financial impacts. Reputational damage.	Properly procured contracts. (SMT) Active contract management supported by appropriate legal support. (SMT) Business Continuity Plan. (SMT) Soft market testing as appropriate. (SAMS)	 Events regarding Golf Contract suggest Likelihood score should be higher.
Corporate Governance Risks				
4. Risk of corporate governance arrangements not maintained effectively.	Ineffective political and senior management leadership. Complacent attitudes. Delays in making, or failure to make, key decisions by Council Members. Breakdown of member-officer relationships. Election of new members.	Breakdown in internal controls leading to: non-achievement of objectives; high volumes of staff, customer, and contractor fraud; and loss of reputation.	Council's constitution. (DCE(AJ)) Council's strategies and policies, including Code of Financial Practice and Code of Procurement Practice. (SMT) Strong scrutiny arrangements. (SMT) Effective internal audit function. (HoF) Annual Governance Statement. (DCE(AJ)) Codes of Conduct. (Members) Effective Political Group discipline. (Group Leaders) Councillor training (CMT) New Member/Officer Protocol introduced. (DCE(AJ)) ~~Review revised~~ Local Code of Corporate Governance revised and re-issued. (DCE(AJ))	

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
Human Resources Risks				
5. Risk of staff not developed effectively.	Ineffective workforce strategies. Not managing staffing resources efficiently and effectively. Possible insufficient training budget.	Disruption to Council services – staff cannot undertake level or volume of work to meet all priorities. Poor customer service. 'Industrial' action.	Link to People Strategy. (SMT) Subset of Workforce Steering Group to audit skills training as Mandatory/Essential Desirable. Assess corporate/service area training budgets to match short and long term needs. (HR Manager) Workforce planning. (SMT) Prioritisation of work. (SMT) Appropriate use of external resources. (SMT)	

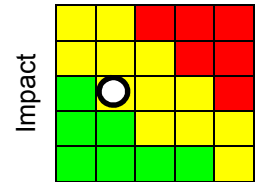| Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
Financial Management Risks				
6. Risk of insufficient finance to enable the council to meet its objectives (including insufficient reduction in operational costs).	Poor financial planning. Unexpected loss of income and/or increase in expenditure. FFF Projects do not achieve sufficient savings. Risk of poor Revenue Support Grant Settlement. Business Rate Retention. Council Tax income base reducing. National Economy declines. Local economy declines Tightening of Government fiscal policy. Changes to Government Policy. Reduced Government grants. Demographic changes. Focus on FFF priorities which compromise existing service delivery. Weak financial planning and forecasts. External competition. Member decision making. Council policy framework not conducive to enterprise development. Increased contract costs (from intro of LW) Housing and Planning Bill reducing the resources available to the Council to maintain its housing landlord service. Housing numbers not achieved.	Forced to make large scale redundancies. Forced to make urgent decisions without appropriate planning. Forced to make service cuts. Increased costs. Fines/penalties imposed. Landlord service becomes unviable and/or the condition of the housing stock reduces its utility and value. Loss of New Homes Bonus. Reduction in reputation.	Codes of Financial Practice and Procurement Practice. (HoF) Effective internal audit function. (HoF) External audit of financial accounts. (HoF) Effective management of FFF Projects. (SMT) All projects accompanied with robust financial appraisals and programme forecasts that allow the Council to understand projected funding requirements. (HoF) Council's constitution. (DCE(AJ)) Financial training. (HoF) Robust financial planning and a Medium Term Financial Plan that can accurately forecast income and expenditure. (HoF/SMT) Prosperity Agenda prioritised within Council aspirations and resources aligned to support delivery. (CMT) Code of Financial Practice Training. (HoF) Plan in place to make savings as to meet the anticipated budget shortfall. (HoF/SMT) Leisure Development Programme regarding investment and management arrangements now completed. (HoCS/CMT) New FFF programme agreed by Members. (CMT) Ongoing monitoring and future reports of existing assumed savings – e.g. leisure programme, office move, terms & conditions review. (SMT)**.** **Completion of the Relocation Project Phase 1 investigation work by the LLP to enable the Council to agree to move to Phase 2 – project delivery (DCE(BH))** Efficiency Plan agreed with DCLG. (HoF/CMT)	

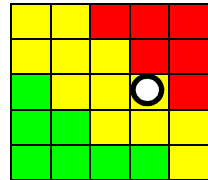| Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
Financial Management Risks (Cont.)				
7. Risk of additional financial liabilities.	Risk of revenue implications of capital schemes not being fully identified. Risk of loss or delay of capital receipts. Risk of increase in superannuation fund contributions. Uninsured loss. Risk of Medium Term Financial underestimating future revenue income and expenditure (including capital) Legal challenge e.g. relating to a planning development.	Greater level of savings to be sought. Forced to make sub-optimum and short term decision without proper planning. Reduced levels of service. Payment of compensation. Failure to deliver service. Contractual disputes.	Fit for the Future change programme. (CMT) Project Risk Registers. (SMT) Project Management. (SMT) **Development of an Asset Strategy linked to Asset Database. (DCE(BH))** More effective financial planning and scenario analysis. (HoF) Regular monitoring of Fit for the Future. (SMT) Legal advice on projects. (SMT) Projects drawn up within RIBA framework. (SMT) Reserves used to smooth impact of fluctuations in income. (HoF)	

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
Financial Management Risks (Cont.)				
8. Risk of not investigating potential income sources.	Ineffective management. Complacency. Lack of resources to investigate. Other priorities.	More loss-making or subsidised services. Reduced income for the Housing Revenue Account that could compromise banking covenants.	FFF Programme. (SMT) Effective fees and charges schemes. (HoF) Communications & Marketing Strategy. (SMT) Regular reviews of financial forecasts to ensure income projections are up to date. (HoF) Secure additional resources to ensure existing services are not impacted as a result of a focus on FFF/corporate priorities. (HoF) Ongoing engagement with the CWLEP to ensure future funding opportunities are understood and assessed. (CMT) Engagement of external partner to assess opportunities to remodel the Council's non-operational asset base (DCE(BH))	Impact / Likelihood

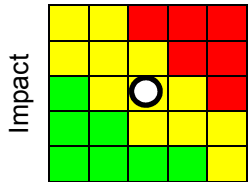| Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
Procurement Risks				
9. Risk of improper procurement practices and legislative requirements not being complied with.	Weak governance arrangements. Ineffective procurement. Poor procurement function.	Reduced levels of service provision. Increased costs. Fines/penalties imposed.	Codes of Financial Practice and Procurement Practice. (HoF) Training of staff. (HoF/SMT) Monitoring of departmental procurement. (SMT) Procurement Strategy (incl. action plan). (HoF) Code of Procurement Practice and related documents updated. (HoF) WCC Procurement Team and WCC Legal Team providing additional support and expertise. (SMT) **~~Implement n~~New Procurement function arrangements implemented. (HoF)**	

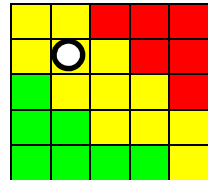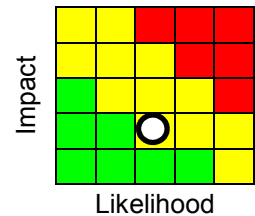| Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
Partnership Risks				
10. Risk of partnerships not delivering stated objectives.	Poor management. Failure to apply a robust process for entering into partnerships. Lack of framework governing partnerships. Existing sub-regional partnerships disrupted or disbanded as a consequence of the regional focus resulting from the announcement of the West Midlands Combined Authority	Required outcomes not achieved. Increased costs. Reduced level of service or failure to deliver service.	Ongoing scrutiny of partnerships. (DCE(AJ)) Normal management arrangements. (SAMS SMT) Partnership checklists. (DCE(AJ))/SMT Annual healthcheck completed by senior officers. (DCE(AJ))/SMT Scrutiny committee regular review. (DCE(AJ)) Audit of partnership arrangements. (DCE(AJ)) Project Groups for significant services. (SMT) Involvement in and engagement with existing sub-regional partnerships such as CWLEP. (CMT)	
Legal Risks				
11. Risk of not complying with key legislation or legal requirements, including failure to protect data.	Breakdown in governance. Bureaucratic mistake. For example – Not seeking legal advice; not implementing it; simply getting delivery wrong e.g. sending out wrong email.	External censure. Financial loss. Litigation. Financial sanctions/penalties Damage to reputation.	Constitution. (DCE(AJ)) External legal advice. (DCE(AJ)) Ongoing monitoring of all Executive recommendations. (DCE(AJ)) Ongoing professional training. (SMT) **Implement new arrangements to deal with GDPRs. (DCE(AJ))/SMT)** Much progress has been, and is being, made.	

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
Information Management Risks				
12. Risk of ineffective utilisation of information and communications technology.	Poor management of IT function. Lack of specialist staffing. Lack of finance. Poor training of new and existing staff on ICT systems. Poor data quality. Resistance to change.	Costly services. Inefficient services. Poor customer service. Data disclosures.	ICT Strategy and Digital Transformation Strategy. (DCE(AJ)) Fully-resourced, effective and secure IT function. (DCE(AJ)) Training for staff. (DCE(AJ)) Procurement of a Change Partner to work with SMT on the optimal use of ICT to support business processes in the lead up to the HQ relocation (ICT/HR/DCE (BH))	Impact / Likelihood grid

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
Information Management Risks (Cont.)				
13. Risk of failure to protect information assets from a malicious cyber attack.	Lack of staff training and awareness. Poor or ineffective countermeasures. Ineffective incident response plans. Inadequate penetration testing regime.	Reputational damage. Lost productivity. Recovery costs. Potential fines (ICO).	CESG approved penetration tests. (DCE(AJ)) Patch Management Policy. (DCE(AJ)) Anti-malware software, plus next generation AV- Intercept X. (DCE(AJ)) Anti-malware strategy. (DCE(AJ)) Anti-malware risk log. (DCE(AJ)) Incident Management Policy & Procedure. (DCE(AJ)) Major Virus Response Procedure. (DCE(AJ)) Electronic Information Backup Policy. (DCE(AJ)) Introduction of multiple fileservers to reduce target exposure and to speed up recovery (DCE(AJ)) Introduction of temporary web site in the event of a major outage, reducing reputational damage. (DCE (AJ) ~~Phishing training for staff to be brought to ICTSG.~~ **The dedicated phishing awareness solution was rejected by the ICTSG (22 Feb 2018), but the group supported an e-learning solution. Pricing is now being sought.** (DCE(AJ)) Next generation AV, including Intercepting Ransomware in place. (DCE(AJ)) National Cyber security check now in place. (DCE(AJ))	Impact / Likelihood

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
13. Risk of failure to protect information assets from a malicious cyber attack (continued).			~~Investigate the cost/benefits of introducing network Intrusion Detection and/or Intrusion Prevention Systems that can either alert network admins of suspicious activity or allow configured automated responses to the identified threat.~~ The current 5 year contract with our incumbent network supplier is due to terminate on 31 March 2018. Given our existing workloads, The ICT Manager felt it inappropriate to pursue this with our existing supplier in case they did not win the next contract and the project overran. The network contract is due to be awarded in the next week, and so this action will be picked up then. (DCE(AJ) / ICT)	

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
Asset Management Risks				
14. Risk of failing to provide, protect and maintain Council-owned property.	Poor management. Lack of finance. Ineffective asset management. Incomplete data on asset conditions. Lack of effective asset management planning. Insufficient resources to maintain assets. Inaction re multi-storey car parks.	Lack of a suitable and safe living or working environment for residents, staff and visitors. Sub optimum asset decisions that are poor value for money. Building closure. Closure of car parks with resultant loss of income.	**Development of an Asset ~~Management~~ Strategy linked to Asset Database. (DCE(BH))** Overall strategic decisions regarding Council's corporate assets managed by multi-disciplinary Asset Strategy Group – chaired by Deputy Chief Executive. (DCE(BH)) The operational management of the corporate repairs budget is overseen by the Asset Management Group (AMG) – chaired by ~~Property~~ Assets Manager. (~~P~~AM) The role and function of this group reviewed as part of the Assets Team redesign. (DCE(BH)) **Improvements to be made to end-to-end systems to manage electrical testing, asbestos management fire safety, gas servicing and Legionella monitoring through the Assets Team re-design. (DCE(BH))** Remodelling of Housing Investment Programme based on HRA stock condition survey. (AM/DCE (BH)) **Completion of viability assessment review at end of Relocation Project Phase 1 work being undertaken by the LLP and confirmation of allocation of funding for the new Covent Garden MSCP. (DCE(BH))** **Completion of review of the corporate asset planned maintenance programme's next 5-year tranche. (DCE(BH))** **Preparation of Option Appraisal and Business Case~~s~~ for Linen Street MSCP replacement. (HoNS)** Ongoing review through re-established Corporate Compliance Group. (HoH&CP) Corporate Fire Safety Group has been established to review safety procedures in the HRA multi-storey properties. (DCE(BH)	 Impact / Likelihood

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating

Emergency Response and Business Continuity Risks

15. Risk of a major incident not responded to effectively.	Numerous causes including terrorism, natural disaster, loss of ICT facilities/data and pandemic such as bird flu. In terms of cyber-attacks, the Council does not currently operate an automated Intrusion Detection System (IDS) / Intrusion Prevention System (IPS).	Partial or total loss of resources such as staff, equipment, systems. Major media engagement. Major disruption to all Council services. Possible legal action for damages.	Emergency plan reviewed every 6 months. (CMT) Business continuity plan reviewed every 6 months. (CMT) **Training to be provided to councillors and to officers named in MEP. (HoH&CP)** Training has been provided to Councillors. Review of the MEP, named officers within MEP, associated SOPs. Gaps identification and appropriate updating. (HoH&CP) Operational testing and exercising of the MEP and vulnerability responses within Warwickshire. (HoH&CP) Safety Advisory groups of events held within the district & command and control centres for major district events. (HoH&CP) Review of business continuity plans for service areas. Council wide consolidation of the priorities contained within those plans. (HoH&CP) ICT Business Continuity contract, inc. annual off-site rehearsal. (ICT) Perimeter network protection (Firewall, 2 Factor Authentication, Spam filter, Antivirus, etc.), including penetration testing. (ICT) Backup and recovery procedures. (ICT) Provision of Counter Terrorism training. (HoH&CP) ~~**Detection and/or Intrusion Prevention Systems that can either alert network admins of suspicious activity or allow configured automated responses to the identified threat.**~~ **The current 5 year contract with our incumbent network supplier is due to terminate on 31 March 2018. Given our existing workloads, The ICT Manager felt it inappropriate to pursue this with our existing supplier in case they (DCE(AJ) / ICT) did not win the next contract and the project overran. The network contract is due to be awarded in the next week, and so this action will be picked up then.**	*Risk matrix: Impact (vertical) vs Likelihood (horizontal), with marker placed in upper-left yellow area.*

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
Environmental Risks				
16. Risk of climate change challenges not responded to effectively.	Lack of expertise. Lack of finance. Failure to reduce carbon footprint.	Budgetary impacts. Service changes required if long recovery phase. Loss of reputation and external censure. Disruption to services. Public health issues.	Sustainability Action Plan. (HoH&CP)	Impact / Likelihood grid
Planning Risks – No strategic or corporate Planning Risks currently.				

Key:

<mark style="background-color: yellow">New narrative</mark>

<mark style="background-color: #00FF00">Narrative transferred</mark>

~~Deleted narrative~~

<mark style="background-color: cyan">Comment</mark>

¢ = Current risk score

  etc = Previous risk scores

Æ etc = trail (direction) of changes

CMT	:	Corporate Management Team
SMT	:	Senior Management Team
CE	:	Chief Executive
DCE(AJ)	:	Deputy Chief Executive and Monitoring Officer – Andrew Jones
DCE(BH)	:	Deputy Chief Executive – Bill Hunt
HoF	:	Head of Finance (and S151 Officer)
HoDS	:	Head of Development Services
HoH&CP	:	Head of Health & Community Protection
HoNS	:	Head of Neighbourhood Services
~~HoH&PS~~	~~:~~	~~Head of Housing & Property Services~~
<mark style="background-color: yellow">HoH</mark>	<mark style="background-color: yellow">:</mark>	<mark style="background-color: yellow">Head of Housing</mark>
<mark style="background-color: yellow">AM</mark>	<mark style="background-color: yellow">:</mark>	<mark style="background-color: yellow">Assets Manager</mark>
HoCS	:	Head of Cultural Services
HR	:	Human Resources ~~& Organisational Development~~ Manager
ICT	:	ICT Manager

Summary of Significant Business Risks

Consequences	Probability of Occurrence				
	Low	Low-Medium	Medium	Medium-High	High
High		Risks 1, 2, 4, 6, 8 & 11			
Medium-High		Risk 15	Risks 3, 5 & 7		
Medium		Risk 12	Risks 9 & 14	Risk 10 & 13	
Low-Medium			Risk 16		
Low					

Methodology for assessing risk: Criteria for scoring residual risk rating

Probability of Occurrence

Estimation	Description	Indicators
5: High (Probable)	Likely to occur each year (e.g. considered as more than 50% chance of occurrence in any year).	• Potential of it occurring several times within the specified period (for example - ten years). • Has occurred recently.
4: Medium to High	Apply judgement	Apply judgement
3: Medium (Possible)	Likely to occur during a 10 year period (considered as between 5% and 25% chance of occurrence in any year).	• Could occur more than once within the specified period (for example - ten years). • Could be difficult to control due to some external influences. • There's a history of occurrence
2: Low to Medium	Apply judgement	Apply judgement
1: Low (Remote)	Not likely to occur in a 10 year period (considered as less than 2% chance of occurrence in any year).	• Has not occurred. • Unlikely to occur.

Consequences

Estimation	Description
5: High	• Financial impact on the organisation is likely to exceed £500K • Significant impact on the organisation's strategy or operational activities • Significant stakeholder concern
4: Medium to High	Apply judgement
3: Medium	• Financial impact on the organisation likely to be between £100K and £250K • Moderate impact on the organisation's strategy or operational activities • Moderate stakeholder concern
2: Low to Medium	Apply judgement
1: Low	• Financial impact on the organisation likely to be less that £10K • Low impact on the organisation's strategy or operational activities • Low stakeholder concern