

A meeting of the Executive will be held in the Town Hall, Royal Leamington Spa on Thursday 3 October 2019, at 6.00pm.

Membership:

Councillor A Day (Chairman)	
Councillor J Cooke	Councillor J Matecki
Councillor J Falp	Councillor D Norris
Councillor M-A Grainger	Councillor A Rhead
Councillor R Hales	

**Also attending (but not members of the Executive):**

Chair of the Finance & Audit Scrutiny Committee	Councillor J Nicholls
Chair of the Overview & Scrutiny Committee and Green Group Observer	Councillor I Davison
Liberal Democrat Group Observer	Councillor A Boad
Labour Group Observer	Councillor G Cullinan

**Emergency Procedure**

At the commencement of the meeting, the emergency procedure for the Town Hall will be announced.

**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 meeting held on 21 August 2019

**(Pages 1 to 34)**

## **Part 1**

(Items upon which a decision by Council is required)

### **3. Fees and Charges 2020/21**

To consider a report from Finance

**(Pages 1 to 14 & Appendices A & B)**

## **Part 2**

(Items upon which a decision by Council is not required)

### **4. Safeguarding Adults and Children Policy**

To consider a report from Housing

**(Pages 1 to 4 & Appendix 1)**

### **5. Draft Business Strategy 2019-2023**

To consider a report from the Deputy Chief Executive (AJ)

**(Pages 1 to 6 & Appendix to follow)**

### **6. Charges for Lifeline services - new tenants of designated properties**

To consider a report from Housing

**(Pages 1 to 8 & Appendices 1&2)**

### **7. Project Initiation Document for the replacement of various software**

To consider a report from the Deputy Chief Executive (AJ)

**(Pages 1 to 57)**

### **8. Canalside Development Plan Draft Document (DPD) – Request to Consult**

To consider a report from Development Services

**(Pages 1 to 5 & Appendices 1-3)**

### **9. Supporting Leamington Town Centre**

To consider a report from Development Services

**(Pages 1 to 9)**

### **10. General Reports**

To consider two reports from Finance

(a) **Significant Business Risk Register**

**(Pages 1 to 22)**

(b) **Rural / Urban Capital Improvement Scheme (RUCIS) Application**

**(Pages 1 to 8)**

### **11. 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 items 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
15	1	Information relating to an individual
15	2	Information which is likely to reveal the identity of an individual
12, 13, 14, 16	3	Information relating to the financial or business affairs of any particular person (including the authority holding that information)

### **Part 1**

(Items upon which a decision by Council is required)

#### **12. Affordable Housing Purchase – Spring Lane, Radford Semele**

To consider a report from Housing

**(Pages 1 to 6)**  
**(Not for publication)**

### **Part 2**

(Items upon which a decision by Council is not required)

#### **13. Regeneration of the Leper Hospital Site, Saltisford, Birmingham Road, Warwick (St Michael's Chapel and Master's House)**

To consider a report from the Deputy Chief Executive (AJ)

**(Pages 1 to 17)**  
**(Not for publication)**

#### **14. Catering and Events Concessions Contract – Royal Pump Rooms and Jephson Gardens Glasshouse- Update Report**

To consider a report from Cultural Services

**(Pages 1 to 15)**  
**(Not for publication)**

#### **15. Confidential appendices to Agenda Item 6 - Charges for Lifeline services - new tenants of designated properties**

To consider the confidential appendices to Agenda Item 6

**(Appendices 1&2)**  
**(Not for publication)**

#### **16. Confidential Minutes**

To confirm the confidential minutes of the meeting held on 21 August 2019

**(Pages 1 to 22)**  
**(Not for publication)**

Published Wednesday, 18 September 2019

General Enquiries: Please contact Warwick District Council, Riverside House, Milverton Hill, Royal Leamington Spa, Warwickshire, CV32 5HZ.

Telephone: 01926 456114

E-Mail: [committee@warwickdc.gov.uk](mailto:committee@warwickdc.gov.uk)

For enquiries about specific reports, please contact the officers named in the reports You can e-mail the members of the Executive at

[executive@warwickdc.gov.uk](mailto:executive@warwickdc.gov.uk)

Please note that the majority of the meetings are held on the first floor of the Town Hall. If you feel that this may restrict you attending this meeting, please telephone (01926) 456114 prior to the meeting, so that we can assist you and make any necessary arrangements to help you to attend the meeting.

The agenda is available in large print on request,  
prior to the meeting, by telephoning (01926)  
456114

# Executive

Minutes of the meeting held on Wednesday 21 August 2019 at the Town Hall, Royal Leamington Spa, at 6.00pm.

**Present:** Councillors Cooke, Day, Falp, Grainger, Hales, Matecki and Rhead.

**Also present:** Councillors: Nicholls (Chairman of the Finance & Audit Scrutiny Committee); Davison (Chair of the Overview & Scrutiny Committee); Boad (Liberal Democrat Group Observer); **Heath (Whitnash Residents' Group Observer)** and Cullinan (Labour Group Observer).

## 29. **Declarations of Interest**

Minute Number 35 - Master's House, Saltisford, Birmingham Road, Warwick (Leper Hospital site) – Urgent Works Notice

Councillor Cooke declared an interest because the owner of the property was well known to him.

Minute Number 43 - Restructure of the Contract Services Management Team

Councillor Falp declared an interest because a close relative was working in that department.

Minute Number 31 - Warwick District Leisure Development Programme – Kenilworth Facilities

Councillor Grainger declared an interest because she was a Member of the Executive when the item was previously discussed but she would review the item with an open mind.

Minute Number 36 - Relocation of Kenilworth School

Councillor Hales declared an interest because he was Vice-Chairman of the Board of Trustees and left the room whilst the item was discussed.

## 30. **Minutes**

The minutes of the meeting held on 10 July 2019 were taken as read and signed by the Chairman as a correct record.

### **Part 2**

(Items for which a decision by the Council was not required)

## 31. **Warwick District Leisure Development Programme – Kenilworth Facilities**

The Executive considered a report from Cultural Services recommending proceeding with the RIBA Stage 3 design process for Abbey Fields

Swimming Pool and continuing with that in respect of Castle Farm Recreation Centre.

The current focus of the Warwick District Leisure Development Programme was the two leisure facilities that the Council owned in Kenilworth, being Castle Farm Recreation Centre and Abbey Fields Swimming Pool.

In January 2019, the Executive gave permission to officers to instruct the Design Team (provided and led by Mace Group) to begin the RIBA Stage 2 design process for these two sites, based on the options recommended following the stakeholder and public consultation held in October and November of 2018.

The RIBA Stage 2 design process had been completed and signed off by the Project Board for both sites. The RIBA Stage 3 design process had now begun for Castle Farm Recreation Centre. The design process for Abbey Fields Swimming Pool was paused following the local elections, in order to consult with each of the political groups. That process was now complete and the report recommended proceeding with the RIBA Stage 3 design process for Abbey Fields Swimming Pool and continuing with that in respect of Castle Farm Recreation Centre. At the end of RIBA Stage 3, the Design Team would provide a RIBA Stage 3 Report to the Project Board for approval. Once that approval was given, the Design Team would proceed with RIBA Stage 4 and a further report would be provided to Executive and Council at the end of RIBA Stage 4, in summer 2020.

Since the District Council elections, officers had carried out individual briefings on the leisure development proposals in Kenilworth for each of the political Groups. This was due to the large number of new Councillors in all Groups and was aimed at ensuring that all Councillors were informed about the proposals. The Group Leader of each of the Groups was asked to provide feedback from their colleagues on the facilities being proposed.

The administration (Conservative and Whitnash Residents' Association) discussed the proposals with their respective Groups and were very supportive of the schemes. The administration made it clear, however, that officers should ensure that there was clarity around how the schemes would be funded; that the public was able to properly engage with the proposals through informative visual impressions; and that officers should make it clear that these proposals were for the benefit of the whole District.

Given that this matter (particularly Abbey Fields Swimming Pool) had been a contentious one, it was to be expected that more detailed representations would be received from the Green, Labour and Liberal Democrat Groups. Whilst their respective feedback had been summarised in the table below, for the sake of transparency and openness, the full responses were attached at Appendix A to the report.

Question	Green	Labour	Liberal Democrats
Which elements are most appropriate?	Improve tired building Sun terrace Café Bi-fold doors to family pool	Impressive plans	Need of development AF designs take account of sensitive site CF rebuild is correct
About which elements do you have concerns?	Public relations problem Need Stakeholder consultation and scientific survey Access and disruption during works Disabled access	Bi-fold doors could be a source of contention Survey was confusing Usage figures suspect Parking at Castle Farm	CF lack of engagement Traffic and parking Consultation with other users Wardens plan should not be separate AF Lack of outdoor pool Supply + demand calcs Café disconnected from play area
Other important matters	Sustainability Transport infrastructure Carbon neutral energy use	Support full-sized lido	Consultation Best environmental standards Inclusivity Transport infrastructure
Other considerations to investigate	Semi-wild swimming provision BAUM pool cleaning Sympathetic design Ecologically sound design	Costs and sustainability of lido would have to be considered	Joint café with Wardens Shelter next to pétanque Tourism potential Impact on mental health Heritage value

Following discussions with the Groups, officers were asked by the Green group to consider the possibility and practicality of including an option at the Abbey Fields Swimming Pool that would allow **customers to 'swim through' from a new indoor pool to an outdoor section of the same pool.** Designs were produced by project architects Darnton B3 for illustrative purposes. However, the Design Team, officers and Everyone Active, as operators of the building, strongly advised against this proposal for operational reasons. Some of the issues involved would be:

- very significant impact on the cost of construction;
- outdoor pool could not be drained in winter, so it would have to be full, heated and treated all year at very high cost and energy use;
- outdoor pool would have to be hotter than was usually the case as it was linked to indoor pool;
- **point of 'swim through' would** allow a flow of outside air into the pool hall all year round, adding to energy use and costs;
- lifeguard would need to be present outside at all public times at an additional cost of c £35,000 a year;
- potential for additional cost for separate filtration system;
- **very expensive to have "swim through" and movable floor** – the technical compromise would be significant; and

- use of the “swim through” would not be possible during swimming lessons and other organised sessions in the family pool.

A further piece of work was also undertaken following a request during this period. The Design Team investigated the carbon footprint produced by a 25-metre-long outdoor pool and the current proposal of a 15-metre-long indoor pool with sun terrace. The carbon footprint of the outdoor pool was calculated with water heated to the same temperature as the indoor pool, for comparison purposes, and also at the lower temperature that was more usual for outdoor pools. The results were:

<b>15m x 10m indoor pool heated to 27 °C</b>	<b>25m x 10m outdoor pool heated to 27 °C</b>	<b>25m x 10m outdoor pool Heated to 22 °C</b>
1,231,380 kWh of additional gas per annum	2,565,380 kWh of additional gas per annum	1,968,806 kWh of additional gas per annum
228,000 kg carbon produced per annum	475,000 kg carbon produced per annum	358,325 kg carbon produced per annum
£39,500 additional utility consumption per annum	£82,500 additional utility consumption per annum	£63,200 additional utility consumption per annum

The dialogue with Members would continue as the proposals developed. A cross-party **Members’ Working Group** had been established consisting of Councillors Grainger, Cooke, Heath, Dearing (A) and Milton who would help guide the projects as they moved forward.

The RIBA Stage 2 designs for Abbey Fields Swimming Pool had not changed significantly since the report to Executive in January this year. Officers remained confident that the proposals offered a facility that would cater for all sectors of the community. It would provide the much needed additional water space for the District to accommodate the population growth to 2029; swimming for those with disabilities; access for all age groups; swimming lessons and school provision and an ambitious and modern take on indoor/outdoor family space that would allow the new pool to be opened up to the outdoors in the summer months through a wall of bi-fold doors.

It was therefore considered that the RIBA 3 design process for the Abbey Fields Swimming Pool should commence now.

Furthermore, it was proposed that the Design Team was instructed to report back to the Project Board at the end of RIBA Stage 3 (Developed Design). Once the Project Board had signed off the RIBA Stage 3 Report for the Abbey Fields Swimming Pool, the Design Team should move straight into RIBA Stage 4 (Technical Design). At the completion of RIBA Stage 4, we would have a fully prepared design and an agreed cost with a preferred contractor. It was at this point, therefore, that a further report would need to be considered by Executive and Council in order to decide whether or not to proceed with the construction.

The RIBA Stage 2 designs for Castle Farm Recreation Centre had not changed significantly since the report to Executive in January 2019. There was broad support from all consultees for the proposals made. Most of the

concerns expressed related to vehicular access to the site along residential roads, and parking of vehicles on the site. A decision to continue with RIBA Stage 3 design work at Castle Farm would enable the existing programme to be progressed.

It was proposed that the Design Team was instructed to report back to the Project Board at the end of RIBA Stage 3 (Developed Design). Once the Project Board had signed off the RIBA Stage 3 Report for the Castle Farm Recreation Centre, the Design Team should move straight into RIBA Stage 4 (Technical Design). At the completion of RIBA Stage 4 we would have a fully prepared design and an agreed cost with a preferred contractor. It was at this point, therefore, that a further report would need to be considered by Executive and Council in order to decide whether or not to proceed with the construction.

The RIBA Stage 2 designs for Castle Farm Recreation Centre included a new, stand-alone building to accommodate the Headquarters of the Kenilworth Scouts and Guides. It was now proposed that the Scouts and Guides were accommodated in an extension to the Castle Farm Recreation Centre. This was discussed further in paragraphs 3.5.1 to 3.5.6 in the report.

One particularly important aspect of the design of the Castle Farm Recreation Centre site was the access to the site for vehicles. Access for non-vehicular traffic would also be important, and this was being investigated carefully, but vehicle movements would remain a significant aspect of this site. This would be particularly true given the proposal to locate the Kenilworth Wardens Cricket Club Limited (hereafter referred to as KW) on the adjacent site.

The Local Plan allocated land at Castle Farm to use for outdoor sports (Policy DS23). This was one of two sites allocated for such use in the Local Plan. The relocation of the KW to Castle Farm was an important aspect in delivering allocated housing and the comprehensive development of land east of Kenilworth.

Discussions had been held with KW, the combined design teams for the two sites, the combined ecology teams for the two sites, Development Management and others concerning access to the two sites. A number of access options had been rejected for planning or cost reasons. Two access options remained and these were being considered further.

Option One was to produce a single in/out access off Fishponds Road (the current access point) with a new vehicular road from the leisure centre to the KW Clubhouse, across the current playing fields. Option Two was to **have one in/out access for KW off John O' Gaunt Road** and a separate in/out access for the Leisure Centre off Fishponds Road (the current access point).

These remaining two options were being appraised by the combined design teams and colleagues, with a view to providing one preferred

option in time for the pre-planning public consultation period in October and November 2019.

The Council had **declared a 'climate emergency'**. It was therefore very important that the sustainability of the proposals contained within the report were re-examined in the light of the pressing need to reduce carbon generation from these facilities. Mace had worked with the Design Team and officers of the Council to produce a report on sustainability which was shown as Appendix B to the report. It was acknowledged that there were a number of ways to assess the sustainability of **a building's** design, and it was made clear that the report was primarily focussed on reducing the carbon generated by the buildings, as opposed to other measures of sustainability available in the industry. These other measures were not selected as they were not so completely focussed on reducing the carbon generation.

The report at Appendix B to the report took the current RIBA Stage 2 design as a benchmark. This already contained a number of measures aimed at sustainability, as required by Building Regulations. It then recommended a number of additional items of plant and equipment that could be added to the design of the two facilities to improve their carbon performance. It also recommended a number of changes to the construction details which could also significantly improve the sustainability of the finished building. It proposed to bring plant and equipment together with construction detail during the RIBA Stage 3 process, by undertaking a thermal model of the building. It was this process that would show how the various elements would work together in the finished building. It was not possible to undertake integrated thermal modelling until later in the RIBA Stage 3 design process.

The third section of the report indicated a number of ways in which the construction process itself could be made more sustainable. It undertook to insist on a number of these initiatives as part of the tendering of a contract for the construction of the buildings. The next report to Executive would contain the details of the initiatives that the Design Team propose to include within the tendering process, for the approval of the Executive.

Kenilworth District Scouts and Guides and a number of their constituent Groups currently had their headquarters on the first floor of the Castle Farm Recreation Centre. They contributed capital funds to the extension of the current facility in 1995 and they had a lease for their occupation of the building which included the right to renew. The Council was committed to relocating the Scouts and Guides in a manner that ensured no detriment from their current accommodation. It could not commence demolition of the Castle Farm Recreation Centre until the Scouts and Guides had moved out. The use of temporary accommodation for the Scouts and Guides for a period of time might have to be considered, and officers were investigating possibilities in this regard, but it would be inappropriate for this to be for an unacceptably long period.

At RIBA Stage 0, the Design Team showed a new, stand-alone building on the Castle Farm site for the Scouts and Guides. In subsequent discussions

with Development Management, this was considered inappropriate development in the Green Belt. Two other options were then considered for a new Headquarters for the Scouts and Guides.

The first option considered was to locate them in an extension to the proposed Recreation Centre. This would avoid the construction of another stand-alone building in the Green Belt. However, it would increase the building footprint of the Recreation Centre and so it would still need to **make the case in planning terms for 'Very Special Circumstances' in the same manner as that required for the Recreation Centre itself.** There were other examples nationally where the case for **'Very Special Circumstances'** had been made successfully for facilities for Scouts and Guides, but the local case would still need to be made. Some additional land on site would have to be made available for the dedicated use of the Scouts and Guides, as at present, for outdoor activities that required the exclusion of the public.

The second option considered was to relocate the Kenilworth Scout and Guide HQ to a new, purpose-built facility on the Rouncil Lane site that was currently occupied by Kenilworth 6th Form College. The Council was intending to purchase this site when the school moved to the South Crest Farm site, in order to develop it as an exemplar housing development. This option would have provided advantages and disadvantages over the first option. However, most significantly, this option would have involved a substantial loss of value to the Council from the housing that could have been located on this portion of the site. When combined with the loss of developer profit, the total opportunity cost to the Council would be approximately £2 million. This option was therefore considered poor value and so had been rejected.

The Design Team would therefore continue to progress the option to locate the Headquarters for the Scouts and Guides as an extension to the Castle Farm Recreation Centre. It was proposed that the Design Team should be instructed to report back to the Project Board at the end of RIBA Stage 3 (Developed Design). Once the Project Board had signed off the RIBA Stage 3 Report for the Headquarters for the Kenilworth Scouts and Guides, the Design Team should move straight into RIBA Stage 4 (Technical Design). At the completion of RIBA Stage 4 the Council would have a fully prepared design and an agreed cost with a preferred contractor. It was at this point, therefore, that a further report would need to be considered by Executive and Council in order to decide whether or not to proceed with the construction.

It was important to note that the proposed Scout and Guide Headquarters to be located as an extension to the Castle Farm Recreation Centre was not a substitute for a Community Centre for the new population that would move to new houses on land east of Kenilworth. This was for two compelling reasons. Firstly, locating the new Scout and Guide Headquarters on land east of Kenilworth would not be appropriate. Castle Farm was to the west of the Warwick Road. There were already other Scout and Guide Groups to the east of Kenilworth, and the Groups currently at Castle Farm wished to remain to the west of the Warwick

Road. Secondly, wherever it was located, the Scout and Guide Headquarters could not operate as a more general community centre as it would not have many available slots in its programme. The current Scouts and Guides Headquarters were occupied on every evening of the working week for most of the evening, which was when many community groups wished to meet in a community centre. Therefore, despite a new Scout and Guide Headquarters being planned for Castle Farm, a new Community Centre would still be required to serve the new residents of land east of Kenilworth.

The design and survey work involved in this part of the Warwick District Leisure Development Programme was currently funded to the end of RIBA Stage 3, which was programmed to be reached in November 2019. The Programme was shown as Appendix F to this report. At the completion of this stage, the Design Team would provide a RIBA Stage 3 Report to the Project Board. Once the Project Board had signed off this report, then work could begin on the RIBA Stage 4 design. At the same time, a procurement process would be undertaken to identify a preferred contractor for the construction work. The preferred contractor would then work alongside the Design Team to ensure the buildability and value for money of the design.

At the end of RIBA Stage 4, the Design Team would therefore have a full Technical Design for the building and the Council would have agreed a proposed price for the works with the preferred contractor. At this point, a further report would be made to Executive and Council showing the final design and the proposed price, so that it would be able to take a decision as to whether or not to proceed with the construction of the facilities.

It was proposed to spend up to £445,000 on the completion of this work to the end of RIBA Stage 4. This would be funded from the Right to Buy Capital Receipts held by the Council.

There was a small but growing lobby of people who promoted the physical and mental health benefits of swimming outdoors. The use of lidos for such swimming was one way of offering such activities, but caused concern from the point of view of sustainability. A more sustainable model for the provision of swimming outdoors was offered by open water swimming.

It was proposed by both the Conservative and Green groups in their discussions and feedback that the Council should investigate the possibility of open water swimming in the District. Officers had prepared an initial Overview into such provision and how other facilities operated in the UK. This Overview was presented in Appendix C to the report. It was proposed that Executive should ask officers to prepare a more detailed feasibility study into the introduction of an opportunity for open-water swimming in the District and that such a study should be brought to a subsequent meeting of the Executive. It was possible that funding for such an initiative might be available from a number of sources.

The programme for this work anticipated a conclusion to the RIBA Stage 3 design work later this summer and a pre-planning public consultation on both facilities in October and November of this year. The public consultation would not be on the facility mix to be included, as this was already decided by this report, but it would cover the design detail of the building, the wider site and access and parking arrangements. Officers were in discussion with representatives of KW to ensure that KW were in a position to carry out a RIBA Stage 2 public consultation in partnership **with the Council's** pre-planning public consultation. It would be beneficial to be able to present the two neighbouring schemes to the public at the same time.

**Carrying out the Council's consultation** in October and November would enable the Design Team to incorporate any changes generated by the public consultation and then to submit a Planning Application in January 2020. A preferred building contractor would be procured from September 2019 to April 2020 and they would work with the Design Team during the completion of RIBA Stage 4. At the end of RIBA Stage 4, in the summer of 2020, a further report would be brought to Executive to propose that Executive recommended to Council the release of funding for the works. This programme would lead to the closure of the existing facilities in September 2020. The new facilities would be open to the public by September 2021.

Beginning the RIBA Stage 3 design process for Abbey Fields Swimming Pool now had the further benefit of bringing the project programme for both facilities into the same timetable. A number of different options for the phasing of the two facilities had been considered in recent months. There were a number of reasons why officers were recommending proceeding with both centres at the same time. These included:

- new facilities available to the public as soon as possible;
- minimising the period of disruption to facilities in the area;
- obtaining any revenue uplift in the payment received from Everyone Active as soon as possible;
- removal of the inflation delay costs for Abbey Fields of around £10,600 a month;
- removal of prolongation fees of £16,500 a month;
- delay costs therefore total around £27,100 a month; and
- this was down on previous estimates due to a reduction in construction inflation predictions.

In terms of alternatives, it would be possible not to undertake any improvements to the facilities at Castle Farm and Abbey Fields. If this decision was to be made, then these two buildings would not have the same sort of aspirational, successful and modern facilities as the Council had provided at Newbold Comyn and St Nicholas Park. These two facilities **would not be contributing to encouraging the District's residents to adopt** an increasingly healthy lifestyle in the same way as the two refurbished facilities. Income from the contract with Everyone Active would not be increased because attendance and income would not be enhanced. The opportunity would be lost to bring the buildings up to modern design

standards and to make them more environmentally friendly and cheaper to run. The buildings would not be prepared for use for another 30 years.

It would have been possible to decide to re-locate the Headquarters for the Kenilworth Scouts and Guides to the Rouncil Lane site. However, this would have incurred an opportunity cost in terms of lost income from housing and lost developer profit of approximately £2 million and this made this proposal unreasonably expensive.

Two options for creating vehicular accesses to the KW site and the Castle Farm Recreation Centre site had been rejected as part of the design process. These were:

- Access from Brays Car Park – most expensive option; impacted the Green Belt too much; crossed public right of way; relied on purchasing land from others at possible ransom values;
- Access from Castle Road – difficult access onto highway; impacted the Green Belt; crossed public right of way; relied on purchasing land from others at possible ransom values.

Two addendums circulated at the meeting advised Members of corrections to Appendix B to the report.

**With the Leader's agreement, Ms Jones, representing the Restore Kenilworth Lido Group, addressed the Executive for five minutes.**

The Finance & Audit Scrutiny Committee supported the recommendations in the report.

The Overview & Scrutiny Committee noted the report.

In response to a question from Councillors, officers explained that they were aware of the traffic and parking situation at Castle Farm, and this remained a main concern for the development. Officers were committed to involving the local community in the plans as they emerged, at both pre-application stage and through a consultation process.

Councillor Grainger, the Portfolio Holder for Culture, thanked residents, the RKL Group, Councillors and officers for all their hard work and input. She emphasised that there was a need for additional indoor swimming capacity in the District, and that the proposals would benefit a large variety of residents and meet their different needs year-round. The Council had every intention to keep residents involved in the development at Castle Farm as much as possible and as early as possible. Officers produced a very high level piece of work regarding cold water swimming, and that would also be considered.

Councillor Grainger proposed the report as laid out, with the addition of a **note regarding the Council's support should** Kenilworth Town Council wish to bring forward any proposals for a lido.

**Resolved** that

- (1) the discussions held with the political Groups and the feedback received from Group Leaders with regard to the Warwick District Leisure Development Programme projects in Kenilworth as shown in Appendix A to the report, and the additional work completed by officers in response to the comments received, be noted;
- (2) officers are asked to instruct the Design Team to begin the RIBA Stage 3 design of Abbey Fields Swimming Pool on the basis of the RIBA Stage 2 design approved by the Project Board and the facility mix detailed in the January 2019 Executive Report and to continue the design process to the end of RIBA Stage 4, when they are to report back to Executive and Council in Summer 2020, be agreed;
- (3) officers are asked to instruct the Design Team to continue with the RIBA Stage 3 design of Castle Farm Recreation Centre on the basis of the RIBA Stage 2 design approved by the Project Board and the facility mix detailed in the January 2019 Executive Report and to continue the design process to the end of RIBA Stage 4, when they are to report back to Executive and Council in Summer 2020, be agreed;
- (4) the work already undertaken by the Design Team on improving the sustainability of the design of the Castle Farm Recreation Centre and the Abbey Fields Swimming Pool, be noted;
- (5) the Design Team be instructed to develop this work further in preparing the RIBA Stage 3 report on these projects, as shown in Appendix B to the report;
- (6) following a comprehensive feasibility study of an option to relocate the Kenilworth Scout and Guide Headquarters on a site that forms part of the Rouncil Lane sixth-form land (which the Council is hoping to purchase), this has proved cost-prohibitive and, recognising that there are no alternative sites in the locality, officers are asked to instruct the Design Team to continue with design work up to RIBA Stage 3 for an extension to the Castle Farm Recreation Centre in order to accommodate the Headquarters of

the Kenilworth Scouts and Guides and to continue the design process to the end of RIBA Stage 4, when they are to report back to Executive and Council in Summer 2020, be agreed;

- (7) spending up to £445,000 from the Right to Buy Capital Receipts in order to progress the design options identified in recommendations (2) to (6) above to the end of RIBA Stage 4, be agreed;
- (8) the Overview on Open Water Swimming provided as Appendix C to the report be noted and officers are asked to prepare a more specific feasibility study into the introduction of an opportunity for open-water swimming in the District, such study to be brought to a subsequent meeting of the Executive, be agreed; and
- (9) the proposed timetable be noted, recognising that this timetable and the other recommendations of the report are on the basis that work to both buildings is carried out at the same time and it is also noted when further decisions will be required in order to progress the programme.

Note: The Executive would support and encourage Kenilworth Town Council if it was minded to consider putting forward a proposal for an outdoor lido in Kenilworth.

(The Portfolio Holder for this item was Councillor Grainger)  
Forward Plan Reference 1,013

### 32. **Amendments to the Custom and Self-Build Register Process**

The Executive considered a report from Development Services seeking approval to make changes to the Custom and Self-Build Register process.

The Self-Build and Custom Housebuilding Act 2015 (as amended by the Housing and Planning Act 2016) required all planning authorities to maintain a register of people who were seeking to acquire a serviced plot of land for their own self-build and custom housebuilding.

Warwick District Council maintained such a register but currently did not charge any fee. The report sought approval to make changes to the process, including adding a local connection test and to charge a fee for applicants to enter the register and an annual fee to remain on it.

The Council currently had 370 entrants on the register who were seeking to acquire a serviced plot of land for custom and self-build housing. This information formed the demand which the Local Authority needed to consider when determining planning applications, amongst other functions.

In 2018, Warwick District Council published a progress report attached as Appendix 2 to the report which was a summary of the data held in the register and demonstrated to what extent demand for custom and self-build was being met within Warwick District.

The proposed changes would ensure that those on the register had a genuine connection with the District, and the introduction of a local connection test was in line with The Self-Build and Custom Housebuilding Regulations 2016.

The proposed charge for entry and to remain on the register would enable the Council to ensure that the register was robust and consisted of entrants who had a genuine interest to acquire a serviced plot, and would cover the reasonable costs of the authority in administering the register.

It would also allow the Council to ensure resource was available to engage more thoroughly with registrants, alert them to opportunities regarding plot purchase and self-build methods, and more broadly facilitate the effective maintenance of the register.

In terms of alternative options, the Executive could approve to only introduce a charge and not set local eligibility criteria, however, this would prevent the Council from understanding the level of local demand for custom and self-build.

The Executive could approve to set local eligibility criteria only and not charge any fee. However, this would mean that the Council would not be receiving the reasonable administrative costs in managing the register and would be unable to conduct any additional help or engagement.

The Executive could decide not to charge any fee and set local eligibility criteria but doing so would obstruct the Council to determine the genuine level of demand for Custom and Self-Build housing across the District.

Councillor Cooke, the Portfolio Holder for Development Services, proposed the report as laid out.

**Resolved** that

- (1) the proposal to set local eligibility criteria which enables the register to be kept in two parts, as per section 4 of Appendix 1 to the report, be adopted; and
- (2) permission be given to charge applicants a fee to enter and to remain on the Warwick District

Council's custom and self-build register, as set out in section 5 of Appendix 1 to the report.

(The Portfolio Holder for this item was Councillor Cooke)  
Forward Plan Reference 1,036

### 33. **Budget Review to 30th June 2019**

The Executive considered a report from Finance. Since the Budgets were set in February 2019, various changes had been identified and were now presented to Members for their consideration and to inform them of the latest financial position for both 2019/20 and in the medium term.

The Accountancy Team had worked with Budget Managers and the following Variations had been identified with Budget being amended accordingly. The following table shows those reported for quarter one.

<b>2019-20</b>	<b>Service</b>	<b>Variance £</b>	
<b>Major Variations</b>			
Electoral Registration – HAY regrades	Chief Exec	7,000 (A)	Rec
Committee Services – HAY regrades	Chief Exec	6,300 (A)	Rec
ICT Salaries – missed during estimate process	Chief Exec	10,000 (A)	Rec
ICT Honoraria	Chief Exec	4,100 (A)	Non-Rec
One-Off cost of Energy Performance Certificates for Commercial Properties	Chief Exec	40,200 (A)	Non-Rec
Inflation increase GF shared legal services legal fees budgets 2% increase from 2019/20	Chief Exec	8,300 (A)	Rec
Payments processing costs due increasing number of online payments	Chief Exec	5,500 (A)	Rec
Asset Management – external recruitment costs	Chief Exec	13,000 (A)	Non-Rec
Asset Management – Furniture costs to support team restructure	Chief Exec	5,000 (A)	Non-Rec
Annual Clean of VP Tennis Courts	Culture	4,800 (A)	Rec
Fee income at Spa Centre (net of credit card costs)	Culture	40,100 (F)	Rec
The Arts- casual budgets at various sites underprovided for.	Culture	40,000 (A)	Rec
Land Charges income	Development	39,000 (A)	Rec
Land Charges- WCC share of income	Development	11,000 (F)	Rec
Changes to Reception Salaries	Finance	4,600 (A)	Rec

Temporary Benefit Assistant -	Finance	6,000 (A)	Non-Rec
VEP & RTI Grant to pay for Benefit Assistant (above)	Finance	6,000 (F)	Non-Rec
Housing Benefit Subsidy & LCTS grant	Finance	33,500 (A)	Rec
Housing Benefit – New Burdens & Welfare Reform Changes Funding	Finance	63,100 (F)	Non-Rec
Server Migration Costs - Accountancy	Finance	14,500 (A)	Non-Rec
Shared Legal Services increase	Health & CP	11,200 (A)	Rec
Housing Advice – salary changes	Housing GF	7,200 (A)	Rec
<b>Total Major Variations</b>		<b>140,000 A</b>	
<b>Total Minor Variations</b>		<b>7,500 A</b>	
<b>Total Major &amp; Minor Variations</b>		<b>147,500 A</b>	
<b>Breakdown of total variations between Recurring and one-off</b>		<b>130,000 A</b> <b>17,500 A</b>	<b>Rec One-off</b>

As it was early in the year, it was possible for the forecast outturn position to change substantially. Work was on-going by officers to access to what extent this net forecast overspend could be accommodated within the overall budget.

If it was not possible to accommodate these budget variances, it would be necessary for them to be funded from the General Fund Balance in the current year, and the Medium Term Financial Strategy in future years. Details of the Medium Term Financial Strategy was reported to members within the Fit For the Future report in July. This showed the forecast level of savings to be found:

	<b>2020/21</b>	<b>2021/22</b>	<b>2022/23</b>	<b>2023/24</b>	<b>2024/25</b>
	<b>£'000</b>	<b>£'000</b>	<b>£'000</b>	<b>£'000</b>	<b>£'000</b>
Deficit-Savings Required(+)/Surplus(-) future years	309	494	664	773	486
Change on previous year	309	185	170	69	-250

Any increase in budgets would increase the level of savings to be identified.

With regards to the HRA Revenue, the current forecast was an underspend of £8,500, made up of the variations detailed in Section 3.2 in the report.

Contingency Budget – Appendix A to the report gave details of the allocations out of this budget with a balance of £1,400 left for the rest of the year, after the top-up in the report and contingency requests elsewhere on the Executive agenda.

Major Income – Appendix B to the report showed a detailed breakdown **over several years of the Council's Major Income Budgets**. The first three **months' actuals had** been profiled to project the potential out-turn for 2019/20, based upon prior year. Where available, the **Manager's** projections were also included. Members were reminded that only three months into the new financial year, these projections might fluctuate with various other factors impacting upon income.

Capital – the following proposed changes to the Capital Budget had been identified:

- Norton Lindsey New Village Hall -Reduction in 2019/20 budget requirement of £88.8k (no slippage). Funds to be reallocated in 19/20.
- **St John's Flood Alleviation** - Slip £100k to 2020/21 due to a delay in the commencement of the project as a significant increase in cost had been identified by the Environment Agency and consequently a requirement to seek more third party contributions.
- IT Equipment for Councillors - remove £16.5k as duplicated budget (already included in the ICT desktop infrastructure programme), releasing resources for other projects.

The Final Accounts report in July reported a surplus in 2018/19 of £321,500. As part of closure, this balance was allocated to the General Fund Balance pending the subsequent review of its utilisation. Following the approvals agreed by the Executive in July and the slippage for some allocations from 2018/19, the Community Projects was forecast to be overdrawn by £184,000 and the Service Transformation Reserve by £62,000. In addition, the Contingency Budget was down to a balance of £50,900. It was recommended that £184,000 of the surplus should be allocated to the Community Projects Reserve, £62,000 to the Service Transformation Reserve and £75,500 to the Contingency Budget.

After making these appropriations, the Community Projects Reserve and the Service Transformation Reserves would be reduced to zero balance. The balance on the Contingency Budget would be £126,400. Within other reports on this Executive meeting agenda were the following requests for Contingency Budget funding:

Newbold Comyn -	£15,000
Masters House -	£25,000
Kenilworth School -	£10,000
LLP Update -	£75,000

These totalled £125,000. If these were all approved, the balance on the Contingency Budget would be reduced to £1,400.

Officers were reviewing allocations from the Contingency Budget and reserves that had not been fully utilised to confirm their requirement or if there was scope for funding to be released back to the reserves or the Contingency. In addition, Capital Budgets were being reviewed to ensure the budgets were fully utilised in the current year.

In terms of alternatives, it would be possible to adjust budgets for the variances identified now. However, being early in the financial year, officers were considering how these variances could be accommodated ahead of taking this possible course of action.

The Finance & Audit Scrutiny Committee supported the recommendations in the report.

Councillor Hales, the Portfolio Holder for Finance, proposed the report as set out.

**Resolved** that

- (1) the latest variances for the General Fund budget, and the work being undertaken by officers to see how these can be accommodated within the overall budget, and the potential impact on the savings to be found by the Council, as depicted by the Medium Term Financial Strategy, and on the General Fund Balance, should it not be possible to contain these variances, be noted;
- (2) the latest variances for the Housing Revenue Account, the projected outturn and, again, the work being undertaken by Budget Managers to see how these can be accommodated within the overall budget, and the potential impact on the contribution to the Housing Revenue Account Capital Investment Reserve should it not be possible to contain these variances, be noted;
- (3) changes to the Capital Programme, including the slippage to 2020/21 and the saving for 2019/20, as detailed in paragraph 3.5 in the report, be agreed; and
- (4) £184,000 of the 2018/19 surplus be allocated to the Community Projects Reserve, £62,000 to the Service Transformation Reserve and £75,500 to the Contingency Budget, as detailed in paragraph 3.6 in the report, be agreed.

(The Portfolio Holder for this item was Councillor Hales)  
Forward Plan Reference 1,045

### 34. **Newbold Comyn – Update and Approach to Engagement**

The Executive considered a report from Development Services providing Members with the proposed approach for the completion of the Newbold Comyn Study, with a focus on resident engagement in the master planning process.

The report also updated Members on the results of a commercial appraisal by Bruton Knowles of existing outbuildings adjacent to the Newbold Comyn Arms. The appraisal was commercially sensitive and as such, it was private and confidential. The report concluded that a mix of uses delivered the best commercial outcome for the Council.

The report also updated Members on the revised governance arrangements for the Study, following the 2019 local election.

In line with the recommendations of the Executive Report of 6 March 2019, SLC had been reappointed as consultants to support the Newbold Comyn Study. SLC would be working with landscape architects Southern Green.

The purpose of the Study was to provide the Council with a masterplan identifying and locating viable/ deliverable uses, with supporting high level business case. This masterplan should take account of the wide variety of users and high profile of the area, as demonstrated by the existing online survey.

SLC had prepared a timeline of activities to deliver the conclusion of the Study attached as Appendix 1 to the report. The proposed timeline included a number of key milestones delivered through seven stages, a number of which had been delivered since SLC were reappointed:

<b>Milestone</b>	<b>Timeframe</b>
Stage 1 Project Inception and Site Analysis (primarily desktop exercise)	May 2019
Stage 2 Needs Analysis (to begin post Executive Report): <ul style="list-style-type: none"><li>• Consultation with key stakeholders</li><li>• Launch of online survey</li><li>• Public drop-in sessions</li><li>• Consultation with potential operators</li><li>• Briefing paper on consultation results</li><li>• Workshop with Project Team (Officers) and Member Reference Group</li></ul>	August 2019 Sept 2019 Sept/ Oct 2019 August 2019 October 2019 October 2019
Stage 3 Draft Masterplan Development: <ul style="list-style-type: none"><li>• RIBA Stage 2 draft final masterplan drawing showing preferred locations of facilities.</li></ul>	November 2019

Stage 4 Development Costs and Business Planning	November 2019
Stage 5 Management Models	November 2019
Stage 6 Feasibility Report	November/ December 2019
Stage 7 Final Consultation: <ul style="list-style-type: none"> <li>• Display of final draft masterplan and site analysis</li> <li>• Review and discuss required amendments to final draft masterplan arising from consultation, with Officers and Member Reference Group.</li> </ul>	January 2020 March 2020

In addition to the above, it was anticipated that a report would be presented to the Executive prior to the final consultation to advise Members on the proposed final facility mix.

The above timeline would deliver a final Executive Report in Spring 2020.

If the final masterplan was approved by Executive, the Council would be required to resource the delivery of the masterplan including obtaining relevant permissions, potentially procuring and managing delivery partners etc.

The completed Newbold Comyn survey demonstrated how important the area was to local residents. At its meeting of 6 March 2019, the Executive supported the recommendation that a report would be brought to Members in the summer of 2019 that would set out proposals for a mix of uses, costs and funding for those uses and which would form the basis for the next round of public consultation. The report set out three masterplan options, based on the shortlist of activities presented to Executive 6 March 2019.

A high level assessment of options, on assumed most commercially favourable model (based on SLC's experience in this area) suggested that the right mix of uses in the right layout could generate a significant income for the Council. A summary of this appraisal could be found as private and confidential appendix 4 (restricted due to commercial sensitivity), Minute number 42.

This had informed three masterplan options, which could be found in appendix 3 to the report. The options were:

- Layout 1 - included a redesigned golf offer of a new par-3 golf course, driving range, adventure golf, footgolf and the reinstatement of the former pitch and putt area. It also included a new adventurous play area, a new outdoor activities area (high ropes, low ropes, zip wires, climbing etc.), an extension to the nature reserve, a new 3G artificial turf pitch, visitor centre / café and additional parking.

- Layout 2 - excluded the par-3 golf course, driving range, footgolf and pitch and putt but included a significantly larger extension to the nature reserve. It also included the other facilities shown in Layout 1 but with changes to the location of some of these.
- Layout 3 - also excluded the par-3 golf course, driving range, footgolf and pitch and putt but included an extended area for outdoor activities which occupied Observation Hill. This therefore reduced slightly the extended area of nature reserve shown in Layout 2. It also included the other facilities shown in Layout 1 but with changes to the location of some of these.

The purpose of these masterplans was to provide a framework for feedback and help illustrate the spatial implications of suggested activities. The masterplans had **been assessed by the Council's Planning Pre-Application** process to ensure that they were in keeping with planning policy. They would also be subject to a high level ecological assessment to ensure that there were no immediate ecological restrictions.

Residents would be able to inform that masterplan through a combination of drop in sessions, online survey and interviews. These would be run through September and October 2019.

Drop in sessions would run over two days, at two different locations. These would be visual and interactive. They would be split into three sections:

***What do you think?*** - this will seek feedback on the proposed facility mix.

***Where do you think?*** - this would enable participants to provide feedback on where they thought facilities should be located.

***What else do you think?*** - this was an opportunity for participants to provide any other comments.

The online survey would also enable participants to feedback on the proposed facility mix and inform the masterplan. The survey would be hosted by SLC and was based on their experience of delivering similar surveys elsewhere in the country.

SLC had worked with Officers to identify a significant list of stakeholders. They would continue to work with Officers to ensure that previously underrepresented groups were engaged through the drop in sessions and interviews.

The masterplans addressed the agreed study area, though officers were conscious of Members' concerns that the final masterplan addressed opportunities/ relationship with the river and nearby reservoir. This would be explored through stakeholder interviews. Members were reminded that the Member Reference Group (MRG, Groups Leaders invited to nominate members) would play a key role in the evaluation of engagement outputs via two planned workshops (with officers).

The detailed engagement approach could be found in appendix 2 to the report.

At its 6 March 2019 meeting, the Executive approved a commercial appraisal of existing outbuildings at Newbold Comyn. The purpose of this appraisal was to provide a benchmark commercial value to assist with the evaluation of the final masterplan proposal.

Bruton Knowles were appointed to undertake this work in April 2019. The appraisal was attached as private and confidential Appendix 5 (draft) to the report, minute number 42.

The appraisal was based on a number of assumptions:

- the Council would retain the freehold interest of the outbuildings, thereafter, letting and managing occupied space;
- the long-term sustainable use of the outbuildings, for the benefit of the community is critical; and
- the conversion of the outbuildings would be the responsibility of the Council, assuming a modest profit margin on Gross Development Value.

The appraisal provided commentary on a number of options:

- do nothing;
- standalone options: residential; offices; retail; and
- options which complemented the current and possible future use(s) of the study area (retail/ leisure) while still returning a profit to the Council.

The appraisal concluded that both do nothing and residential were not acceptable options moving forwards and had dismissed them. The appraisal suggested that standalone retail use was deliverable. It also suggested that the correct blend of uses could deliver a positive value for development.

When the study was first launched it fell within the Culture Portfolio, reflecting the previous use as a golf course. The former golf course area was currently maintained by a private contractor under the supervision of Cultural Services, **being maintained by the Council's Neighbourhood Services**. However, it was anticipated that Neighbourhood Services would have a significant role in the future management of at least part of the study area. It had therefore been agreed with the Council's **Executive that** the study should be moved from the Culture Portfolio to Neighbourhood.

It had also been agreed that a Member Reference Group should be convened. Group Leaders had been invited to nominate members and substitutes. This group would have a significant role in the evaluation of and response to consultation as detailed in Section 3.15 of the report.

The Executive approved a budget of £50,000 to procure specialist consultancy advice at its meeting of 7 March 2018. Of this, £14,979 was allocated to SLC for their initial high level appraisal. A further £10,000 was approved at its meeting of 6 March 2019 for the next phase of the Study,

to meet the estimate costs of Phase 2, based on SLC's initial fee proposal and costs of appraisal of outbuildings.

Subsequent dialogue between Officers and SLC identified the need for an additional stage of consultation (Stage 7: Final Consultation), leading to an increase in costs of £6463.75. High level ecological surveys were also expected to be slightly higher in cost than originally anticipated.

Further internal discussion had also suggested that it would be prudent to allow up to an estimated £5000 for legal services to help ensure the deliverability of the final activity mix.

There was therefore a potential shortfall of £14,175.

It was recommended that the shortfall should be funded from the 19/ 20 Contingency, plus a project contingency totalling £15,000.

In terms of alternatives, one option would be to proceed without additional engagement. This would risk the Council adopting a masterplan for Newbold Comyn that would have a negative impact on relationships with the area, leading to a decrease in use.

Another alternative option would be to reduce the engagement period. However, this would entail a risk that residents felt excluded from a key Council decision.

The Overview & Scrutiny Committee voted unanimously to support the recommendations in the report.

In the absence of Councillor Norris, Portfolio Holder for Neighbourhood Services, Councillor Day proposed the report as set out, subject to an amendment to recommendation 2.1 in the report, to add at the end of the sentence ***"to deliver the greatest public benefit"***.

**Resolved** that

- (1) the proposed approach for the completion of the Newbold Comyn Study, to deliver the greatest public benefit, be approved;
- (2) the proposed methodology for resident engagement in the preparation of a final masterplan demonstrating future uses, be approved;
- (3) the results of the commercial appraisal of existing outbuildings, be noted;
- (4) the revised governance for the Newbold Comyn Study, be noted; and

- (5) additional funding of £15,000 from the 2019/20 Contingency Budget to allow for additional consultation, procurement of the ecological survey, ensure that funds are available for legal advice on the final activity mix (should it be required) and project contingency, be approved.

(The Portfolio Holder for this item was Councillor Norris)  
Forward Plan Reference 1,022

35. **Master's House, Saltisford, Birmingham Road, Warwick (Leper Hospital site) – Section 54(1) Urgent Works Notice**

The Executive considered a report from the Deputy Chief Executive (AJ) recommending that the Executive released up to £25,000 from the Contingency Budget to ensure that funding was available to cover the cost **of an Urgent Works Notice ("the Notice") to be served pursuant Section 54(1) of the Planning (Listed Buildings and Conservations Areas) Act 1990 in relation to the St Michael's Chapel and Master's House ("the Site").**

This funding would only be utilised if the power to issue the Urgent Works Notice was authorised by the Planning Committee and in the event that the owner of the site failed to carry out the urgent works set out in the Notice of the urgent repairs (subject to the agreement of Planning Committee) should the owner of the land not undertake the repairs.

The Leper Hospital site contained **the remains of St Michael's Church (106 & 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)),** which was the subject of the report. The buildings were Grade II\* listed and were situated on a Scheduled Monument (List entry 1011035). The site was also a Designated Heritage Asset (no. 17004). It was 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** could view the archaeological evaluation via a link provided in the report. It was not possible for a Notice to be issued in relation to an ancient monument and confirmation from the contractor would be sought that none of the urgent works would impact on that part of the Site which was a scheduled ancient monument.

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 remained **undeveloped, with the Master's House exposed to the elements.** The buildings therefore remained on the Heritage at Risk Register with the

**Master's House condition described as being "very bad"; the most serious of categories.**

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 remained with the company as **at today's date.**

This Council had sought a solution for the site over many years. The site contained designated heritage assets of the highest significance yet its current state could reasonably be described as an embarrassment to the town and it had caused great concern to local Councillors and residents.

**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 into use. This programme had been successful with the old Gasworks and Printworks being redeveloped for affordable housing. The outstanding project was the Leper Hospital site.

At its meeting of 5 April 2018, the Executive agreed to release up to £530,000 from affordable housing commuted sums received by the Council in respect of housing developments in Warwick to help deliver a supported housing scheme. Unfortunately, this scheme did not progress, however, officers were hopeful that a new scheme would be presented for Members' consideration at the Executive meeting in October. This scheme would be produced by Waterloo Housing Association, West Midlands Historic Buildings Trust (WMHBT), Historic England, Architectural Heritage Fund and Warwick District Council. Nevertheless, whilst this work continued, **the Master's House remained** in a dire situation.

On 13 August 2019, Planning Committee was considering authorising the Head of Development Services to serve an Urgent Works Notice on the **owner of the land requiring the urgent repair of the Master's House. The** repair works were urgently necessary for the proper preservation of this listed heritage asset. The Notice required the owner to take action within seven days of receipt of the Notice, after which the Council might undertake the work in default and serve notice on the Owner to pay the **Council's costs.**

If the landowner entered into a suitable contract for the works to be completed and if works were seriously underway within the next month, then the Council might not need to undertake the works and the funds would not be required.

**The process for recovery of the Council's costs incurred** in carrying out the work would be as set out in Section 55 of the Planning (Listed Buildings and Conservation Areas) Act 1990. This involved the Council serving a notice on the landowner that required him to reimburse the Council for

the cost of the works. The Owner might then appeal this notice to the Secretary of State on any of the following grounds:

- (a) that some or all of the works were unnecessary for the preservation of the building; or
- (b) in the case of works for affording temporary support or shelter, that the temporary arrangements have continued for an unreasonable length of time; or
- (c) that the amount specified in the notice is unreasonable; or
- (d) that the recovery of that amount would cause him hardship.

Grounds (a), (c) and (d) were likely to present the most risk to the Council. The risk of a successful challenge on Grounds (a) was mitigated by the fact that the works specified in the repair schedule were the minimum necessary to safeguard the structure, in accordance with the **professional views of the Council's Officers, and an expert consultant** engineer. The risk of challenge under (c) was mitigated by the fact the Council followed due process and entered into a competitive tender exercise to ensure best value. Ground (d) was a risk that was beyond the control of the Council and could potentially result in it not recouping the expenditure.

The Council would be able to apply for a charge to be placed on the Site if the debt remained unpaid; this would follow after the notice was served, and after any appeal was **determined in the Council's favour**. Whilst this charge was of little value given the state of the building, should the scheme referenced earlier come forward, it might have some value then.

A structural survey and assessment of the building had been compiled by specialist surveyors following an inspection on 9 May 2019. This concluded that the building was in poor condition and in urgent need of works to stabilise and protect it from the elements to avoid further deterioration and loss of an important heritage asset within the District. The report identified lateral movement of the building in Bay 1 and the lack of a stable structure at foundation level because of the condition of timbers at low level and the condition of the stone/brick plinth.

Several previous attempts had been made by the owner to stabilise the building. However, these did not follow a particular strategy and were predominantly reactive measures. The building had until recently been cocooned in a tarpaulin which had been blown off by the wind.

The survey recommended that internal scaffolding should be erected that supported the roof structure, relieving the load at lower levels and stabilising the building laterally. It was not necessary to dismantle existing scaffolding as this could disturb the various props supporting the structure. It was also recommended that a protective tarpaulin or other suitable protection should be reinstated as soon as possible in order to limit any further damage to the historic fabric from the elements.

Eight specialist contractors were contacted to see if they were interested in the work, but unfortunately only two quotations were received. The

chosen contractor quoted a cost of £16,649.62 plus VAT. However, this quote had been received without the benefit of a site investigation and it was therefore recognised that should the contractor be required on site, the price might need to be revisited. Consequently, significant contingency was being requested from the Contingency Budget.

In terms of other options, the only alternative was to do nothing as the land owner would not proactively undertake the repairs. Given the **condition of the Master's House**, this option was rejected.

Councillor Cooke, the Portfolio Holder for Development Services, expressed his concerns that over the years, the state of the building had been deteriorating significantly, and proposed the report as set out.

**Resolved** that

- (1) 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, be noted; and
- (2) subject to the Planning Committee authorising the issue of the Notice, the Executive agrees to release £25,000 from the Contingency Budget to cover the cost of the Council carrying out the works to be set out in the Section 54(1) Urgent Works Notice, served under the Planning (Listed Building and Conservation Areas) Act **1990, in relation to the Master's House** should the owner of the building not undertake the said works.

(The Portfolio Holder for this item was Councillor Cooke)  
Forward Plan Reference 1,062

(Councillor Hales left the room.)

### 36. **Relocation of Kenilworth School**

The Executive considered a report from the Deputy Chief Executive (AJ) seeking Executive approval to enter into commercial arrangements with Kenilworth School thereby facilitating their relocation.

Members had previously received a total of five reports on the subject of **Kenilworth School's relocation and consequently a** complete history of the scheme was available in the background papers. However, mindful of the fact that a new Council with many new Members had been elected in May 2019, the latest report of 6 June 2019 provided a summary of the latest position. That report specifically covered the Housing Infrastructure Fund (HIF) grant of c£9.6m that Homes England had made available to the School. Officers could now advise that contracts had been entered into between Homes England and the Council (the primary agreement), and

the Council and the School (the back-to-back agreement) enabling that funding to be drawn down.

In confidential Appendix 1 to the report, Minute number 45, Members would find the cashflow model that had been developed by Arup (built environment consultants supporting the School) detailing the financial deliverability of the School. This model was provided purely for information as it provided context for recommendations 2.2 and 2.3 in the report.

The negotiations for the purchase of the new school site at South Crest Farm were still continuing and there was therefore a likelihood that the cashflow model would need to be updated. Officers would examine the revised model when considering the issues inherent in recommendation 2.3 in the report.

In the report of 31 May 2018, the Executive gave its agreement to officers entering into negotiations for the purchase of the land allocated in the **Local Plan for housing at Rouncil Lane (currently the School's Sixth Form site)** and possibly Leyes Lane (**currently the School's main site**). Members were reminded that the Council had agreed to purchase the Rouncil Lane site, Council having made the necessary funding available and that contracts would be exchanged when the School had exchanged contracts for its new site at South Crest Farm.

Officers had also progressed discussions with the School in respect of the Leyes Lane site and the School had concluded that if the Council could **meet the site's market valuation (current estimate** was contained within the confidential cashflow), then it would **not "take the land to market"** and would deal exclusively with the Council. This approach gave the School certainty about the covenant of the buyer and increased certainty around its cashflow model, and the Council a further opportunity to deliver Council housing as part of a mixed tenure development.

To determine whether the Council could meet the market valuation of the Leyes Lane site, its appointed consultants would be tasked with undertaking a masterplanning exercise which could be paid for from within current budgets. This masterplan would **then be used by the Council's** valuers, Bruton Knowles, to arrive at a market valuation of the site. **Should the valuation meet the School's requirements, a further report** would be submitted to the Executive with a recommendation that Council should be asked to make the necessary funding available, subject to officers confirming that the enterprise was affordable.

To assist the School with its objectives, the Executive had previously agreed to make two loans available. The first loan for £1m had been fully utilised and had enabled the School to submit a planning application which was currently expected to be submitted to the September Planning Committee meeting. Members were reminded that this loan could be fully recovered from the HIF agreement. A further loan of £2m had not yet been utilised, and indeed the terms of that loan had not yet been

discussed due to other priorities with the scheme, but Members would note from the cashflow that the School would need to use it.

The cashflow also showed that a further loan of £5m was expected to be required in June 2020 as the profile of Section 106 payments was uncertain and the School needed to mitigate this uncertainty. It was currently envisaged that the loan facility would be made available by the ESFA, however, there was no certainty of this and it might be that the School had **to go to "the market" to secure the funding.**

Members were reminded of the significance of the **School's relocation** in the context of the delivery of the Local Plan. The scheme also gave the Council a once-in-a-generation opportunity with the potential to purchase two prime greenfield/brownfield sites and undertake a programme of Council house building. Therefore, if the Council could help to de-risk the relocation project by using its various powers, these should be considered carefully.

Members were therefore asked to agree to make a further loan of up to £5m available to the School, however, this should only be made if the School gave a binding commitment to contract with the Council for the land at Leyes Lane, **should it meet the School's site valuation. Officers** would need to ensure that the loan was on commercial terms to ensure that State Aid rules were complied with, and that the Council had an acceptable level of security: Officers would need to be satisfied that development was progressing as envisaged in the Local Plan and viability arguments were not being advanced by developers. If officers were comfortable on these points, the School would have a source of income available to repay the loan through the Section 106 payments that would come forward from the various Kenilworth sites.

The alternative option was for Members not to be asked to consider making a loan. For the reasons laid out above, this option was rejected.

The Finance & Audit Scrutiny Committee supported the recommendations in the report, with a request that the Deputy Chief Executive (AJ) would request of ARUP, the developers, a clear description of the building design standards they were **working towards, in view of the District's Climate Emergency.**

In response to the comments received from the Finance & Audit Scrutiny Committee, the Portfolio Holder for Development Services, Councillor Cooke, proposed the report as laid out, subject to an additional recommendation 2.4, to read: ***"2.4 That Executive recognises the need to make the scheme deliverable and supports the ambitions of the school, however, it would like some reassurance regarding the building design standards and requests that a meeting be arranged with the Portfolio Holders for Environment & Business and Development Services and the trustees of the school."***

**Resolved** that

- (1) the confidential cashflow model at Appendix 1 to the report, Minute number 45, detailing the scheme to relocate Kenilworth School from its current split sites to a single site at South Crest Farm, be noted;
- (2) the School is prepared to enter into a contract with Warwick District Council for the sale of its main school site at Leyes Lane and that officers have commissioned valuations and surveys to determine whether the School's valuation can be met, be noted;
- (3) should the Education and Skills Funding Agency (ESFA) not make a loan facility available to the School and subject to the School agreeing to enter into a contract with the Council for the sale of Leyes Lane, a further Council loan facility agreement of up to £5m be made available to provide the certainty the School needs for its relocation and that the facility is made available on commercial terms to be determined by the Head of Finance in consultation with the Leader of the Council following receipt of commercial and legal advice; and
- (4) the need to make the scheme deliverable is recognised and the ambitions of the school are supported, however, the Executive would like some reassurance regarding the building design standards and requests that a meeting be arranged with the Portfolio Holders for Environment & Business and Development Services and the trustees of the school.

(The Portfolio Holders for this item were Councillors Cooke)  
Forward Plan Reference 1,034

(Councillor Hales re-joined the meeting.)

37. **Risk Management Annual Report 2018/19**

The Executive considered a report Finance updating the Risk Management Strategy and advising on the progress being made in implementing and developing risk management throughout the organisation.

**As part of their responsibility for overseeing the organisation's risk management arrangements, Members were responsible for the Council's**

Risk Management Strategy (Recommendation 2.1) and for developing risk management within the Council (Recommendation 2.2).

The overriding objective for risk management was to embed it within the organisation so that it was a seamless, but fundamental, part of the **organisation's processes and not viewed as a separate bureaucratic** activity with little value. However, as with all objectives of this nature, there was no specific picture of what a fully risk-embedded organisation looked like and the goal of embedding risk management was an ongoing journey rather than one with a definite ending.

To help achieve the objective of embedding risk management throughout the organisation, the Council had a Risk Management Strategy. This was set out as Appendix A to the report.

Evidence of the application of risk management and of a risk management culture was set out as Appendix B to the report.

The Finance & Audit Scrutiny Committee supported the recommendations in the report.

In answer to a question from Councillor Nicholls, the Chair of the Finance & Audit Scrutiny Committee, it was clarified by the Chief Executive that the possibility of a no-deal Brexit was an emerging risk, and that the Council had a nominated Lead Officer regarding Brexit Preparations.

Councillor Hales, the Portfolio Holder for Finance, commended the work of the Audit and Risk Manager and proposed the report as set out.

**Resolved** that

- (1) **the Council's Risk Management Strategy** be reaffirmed, including the responsibilities of Members to oversee the risk management framework attached as Appendix A to the report; and
- (2) the progress being made in establishing risk management in the Council and the activities undertaken during the year that provide evidence of a risk management culture attached as Appendix B to the report, be noted.

(The Portfolio Holders for this item were Councillors Day and Hales.)  
Forward Plan Reference 1,058

38. **Rural/Urban Capital Improvement Scheme (RUCIS) Application**

The Executive considered a report from Finance providing details of a Rural/Urban Capital Improvement Scheme grant application by Lowsonford Village Hall to replace the toilets, install a new kitchen, sand and seal the floor and install a sound/projector system.

The Council operated a scheme to award Capital Improvement Grants to organisations in rural and urban areas. The grants recommended were in **accordance with the Council's agreed scheme** and would provide funding to help the projects progress.

The project contributed **to the Council's Fit for the Future Strategy**; without the village hall, there would be fewer opportunities for the community to enjoy and participate in fitness, arts, cultural and social activities which could potentially result in an increase in anti-social behaviour, an increase in obesity and disengage and weaken the community. If the project work was not carried out in the near future, the hall might eventually become unusable, which would then decrease opportunity for the community to enjoy and participate in fitness, arts, cultural and social activities. The project would also provide disabled toilet and baby changing facilities which would increase the access to the hall and the activities held there.

In terms of alternatives, the Council had only a specific capital budget to provide grants of this nature and therefore there were no alternative sources of funding if the Council was to provide funding for Rural/Urban Capital Improvement Schemes.

Members might choose not to approve the grant funding, or to vary the amount awarded.

Councillor Hales, the Portfolio Holder for Finance, proposed the report as laid out.

**Resolved** that

- (1) a Rural/Urban Capital Improvement Grant from the rural cost centre budget be approved for Lowsonford Village Hall of 49% of the total project costs to replace the toilets, install a new kitchen, sand and seal the floor and install a sound/projector system, as detailed above, up to a maximum of £30,000 including vat subject to receipt of written confirmation from the Garfield Weston Foundation (or an alternative grant provider) to approve a capital grant of £10,000, as supported by Appendix 1 to the report.

(The Portfolio Holder for this item was Councillor Hales)  
Forward Plan Reference 1,043

**39. Update on Action Plan following Review of Closure of Accounts**

The Executive considered a report from the Deputy Chief Executive (AJ) setting out the progress on the action plan that was agreed in the report on the Review of the Closure of 2017/18 Accounts in October 2018.

Appendix 1 set out the monthly progress report on the action plan agreed following the Review of the Closure of the 2017/18 Accounts. Progress was to be noted and for the Executive and the Finance and Audit Scrutiny Committee to make any comments.

Members were aware **that the Council's auditor had** signed-off audited accounts by the statutory deadline of 31 July 2019. This was a significant turn-around given the issues revealed by the failure to comply with the sign-off requirements last year. Much praise must go to the Finance team for responding so positively to that setback. A detailed report would be submitted to the November Executive meeting describing the steps that would be taken to ensure that compliance was achieved again next year and for each subsequent year.

In terms of alternatives, various actions were considered in the development of the action plan but what was proposed was considered to be an appropriate response to the issues which had been identified.

The Finance & Audit Scrutiny Committee supported the recommendations in the report.

Councillor Hales, the Portfolio Holder for Finance, was grateful for the extremely beneficial discussions with the Shadow Portfolio Holders, and passed his thanks for the fantastic work that the Head of Finance and his team did.

**Resolved** that

- (1) the content of the action plan at Appendix 1 to the report, be noted; and
- (2) **the Council's audited accounts for 2018/19** were signed-off by the statutory deadline of 31st July 2019, be noted.

(The Portfolio Holder for this item was Councillor Hales)  
Forward Plan Reference 1,060

40. **Public and Press**

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

Minute Nos.	Para Nos.	Reason
43, 44	1	Information relating to an individual
43, 44	2	Information which is likely to reveal the identity of an individual
41, 42, 45, 46, 47	3	Information relating to the financial or business affairs of any particular person (including the authority holding that information)

The items below were considered in confidential session and the full details of these were included in the confidential minutes of this meeting.

41. **2nd Warwick Sea Scouts Headquarters**

The Executive considered a confidential report from Development Services.

The Finance & Audit Scrutiny Committee supported the recommendations in the report. Further details were provided in the confidential Summary of Comments.

The recommendations in the report were approved, subject to an additional recommendation 2.4 to read:

***"2.4 The Council will develop a policy for the award of large grants for community schemes for consideration"***, and an additional bullet point to recommendation 2.2, to read:

- ***"The Executive require a community access agreement to be implemented."***

(The Portfolio Holders for this item were Councillors Grainger and Norris)  
Forward Plan Reference 1,056

42. **Private & Confidential Appendices 4 and 5 to Agenda Item 5, Minute number 34- Newbold Comyn – Update and Approach to Engagement**

The Executive considered two confidential appendices from Development Services.

The appendices were approved.

(The Portfolio Holder for this item was Councillor Norris)  
Forward Plan Reference 1,022

43. **Restructure of the Contract Services Management Team**

The Executive considered a confidential report from Neighbourhood Services.

The recommendations in the report were approved.

(The Portfolio Holder for this item was Councillor Norris)

Forward Plan Reference 1,057

44. **Urgent Decision made under Delegation CE(16)i & CE(4)**

The Executive considered a confidential report from Human Resources.

The recommendations in the report were approved.

(The Portfolio Holder for this item was Councillor Day)

45. **Confidential Appendix 1 to Item 8 - Relocation of Kenilworth School**

The Executive considered Confidential Appendix 1 to Item 8, Minute number 36 – Relocation of Kenilworth School.

The appendix was approved.

(The Portfolio Holder for this item was Councillor Cooke)

Forward Plan Reference 1,034

46. **PSP Warwick Limited Liability Partnership**

The Executive considered a confidential report from the Deputy Chief Executive (BH).

The Finance & Audit Scrutiny Committee supported the recommendations in the report. Further details were provided in the confidential Summary of Comments.

(The Portfolio Holders for this item were Councillors Cooke, Day and Rhead)

47. **Minutes**

The confidential minutes of 10 July 2019 were approved and signed by the Chairman as a correct record.

(The meeting ended at 8.04pm)

CHAIRMAN  
3 October 2019



# EXECUTIVE 3 October 2019

**Agenda Item No.**

**3**

<b>Title</b>	Fees and Charges 2020/21
<b>For further information about this report please contact</b>	Andy Crump (01926 456810) Andrew Rollins (01926 456013)
<b>Wards of the District directly affected</b>	N/A
<b>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?</b>	No
<b>Date and meeting when issue was last considered and relevant minute number</b>	
<b>Background Papers</b>	Executive 26 September 2018 - Fees and Charges 2019/20

<b>Contrary to the policy framework:</b>	No
<b>Contrary to the budgetary framework:</b>	No
<b>Key Decision?</b>	No
<b>Included within the Forward Plan? (If yes include reference number)</b>	
<b>Equality Impact Assessment Undertaken</b>	Yes/No (If No state why below)

Officer/Councillor Approval		
Officer Approval	Date	Name
Chief Executive/Deputy Chief Executive		
Head of Service	23/8/19	Mike Snow
CMT	30/8/19	
Section 151 Officer	23/8/19	Mike Snow
Monitoring Officer	30/8/19	Andrew Jones
Finance	23/8/19	Finance Report
Portfolio Holder(s)		Councillor Hales
Consultation & Community Engagement		
Local Business Groups and Town Councils have been updated on the proposed parking charges.		
Final Decision?		Yes
Suggested next steps (if not final decision please set out below)		

## **SUMMARY**

- 1.1 The report details the proposals for discretionary Fees and Charges in respect of the 2020 calendar year. It also shows the latest Fees and Charges 2019/20 income budgets, initial 2020/21 and the actual out-turn for 2018/19.

## **2. RECOMMENDATIONS**

- 2.1 Executive recommends to Council the Fees and Charges proposals set out in Appendix A, to operate from 2nd January 2020 unless stated otherwise.
- 2.2 That Executive recommends to Council that provided the changes proposed by Everyone Active to the core products and prices from January 2020 are within the September RPI, that the Heads of Culture and Finance, in consultation with the relevant portfolio holders (Cllrs Grainger and Hales), can accept the changes.

## **3. REASONS FOR THE RECOMMENDATION**

- 3.1 The Council is required to update its Fees and Charges in order that the impact of any changes can be fed into the setting of the budget for 2020/21. Discretionary Fees and Charges for the forthcoming calendar year have to be approved by Council.
- 3.2 In the current financial climate, it is important that the Council carefully monitors its income, eliminates deficits on service specific provisions where possible and therefore minimises the forecast future General Fund revenue deficit.
- 3.3 Some additional fees have been created to generate additional income for the service areas concerned and others in response to new legislation. (Animal Welfare – boarding, pet shops, hiring of horses), Bowls (Commonwealth Games related). These are highlighted in Appendix A and also in paragraphs 11.4, 12.4, 12.5 and 13.1. Other charges have been deleted due to legislation changes or changes in the way the service is provided. A 2% increase in Fees and Charges income has been allowed for in the Medium Term Financial Strategy (MTFS). Budget Managers have been tasked with seeking to achieve additional income of 3%.
- 3.4 The Regulatory Manager has to ensure that licensing fees reflect the current legislation. The fees charged should only reflect the amount of officer time and associated costs needed to administer them. New fees are also being proposed to cover new responsibilities.
- 3.5 Bereavement – new cremation fees are proposed to meet potential new or differing customer requirements.
- 3.6 Land Charges and Building Control fees are ring fenced accounts: Income levels for Land Charges have reduced due to the transfer of the LLC1 fee to the Land Registry Service. There has been a corresponding fall in staffing costs and payments to WCC to reflect this. Income and expenditure is carefully monitored to avoid creating a large surplus (or deficit) on the Land Charges Control Account, which should break even.

Building Control is subject to competition from the private sector and has to set charges that are competitive with this market.

- 3.7 Management of **the Council's** Leisure Centres is now by Everyone Active. The contract definition states that '**The Contractor shall review the** (following) core products and prices each year and submit any proposed **changes to the Authority for approval (the "Fees and Charges Report")**'. Everyone Active are expected to request an increase on some of these prices in line with the Retail Prices Index (RPI). The current prices for the core products and prices are shown at Appendix B. Previously, when the leisure centres were operated by the Council, most years the charges were increased by around RPI. It is recommended, that provided the changes proposed by Everyone Active to the core products and prices are within the September RPI, that the Heads of Culture and Finance, in consultation with the relevant portfolio holders, can accept the changes. In reviewing the proposed increases, officers will consider previous years increases to avoid automatic year on year increases in prices.
- 3.8 Not all of the new parking locations, that were being opened for the proposed closure of Covent Garden car park, have come into operation, due to the delay in the closure of Covent Garden (although extra spaces have been created at Court Street, Bedford Street and Chandos Street). However, Riverside House has been opened at weekends to provide additional parking for the town. Consideration is being given to the introduction of free parking for electric vehicles in council car parks. This will be subject to a future report to the Executive, which should include details of how this will be funded.

#### 4. **POLICY FRAMEWORK**

##### 4.1 **Financial Strategy**

This report is in accordance with the Council's Financial Strategy as last approved by the Executive in February and the proposed increases outlined in the Budget Review Report in August 2019.

##### 4.2 **Fit for the Future**

"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."

<b>FFF Strands</b>		
<b>People</b>	<b>Services</b>	<b>Money</b>
<b>External</b>		
<b>Health, Homes, Communities</b>	<b>Green, Clean, Safe</b>	<b>Infrastructure, Enterprise, Employment</b>
<u>Intended outcomes:</u> Improved health for all Housing needs for all met	<u>Intended outcomes:</u> Area has well looked after public spaces	<u>Intended outcomes:</u> Dynamic and diverse local economy Vibrant town centres

Impressive cultural and sports activities Cohesive and active communities	All communities have access to decent open space Improved air quality Low levels of crime and ASB	Improved performance/ productivity of local economy Increased employment and income levels
<b>Impacts of Proposal</b>		
Fees and Charges provide income towards the cost of providing excellent services which support, for example, health, sporting and cultural activities for which this District is renown.	The introduction of Environmental Enforcement charges will ensure that litter, fly tipping etc. is reduced, making open spaces more attractive to residents and visitors.	Markets help to contribute to our vibrant town centres and this is taken into account when stall charges are set. The Enterprise team is active in encouraging local employment.
<b>Internal</b>		
<b>Effective Staff</b>	<b>Maintain or Improve Services</b>	<b>Firm Financial Footing over the Longer Term</b>
<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 <b>customers' needs</b> 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
<b>Impacts of Proposal</b>		
<i>None</i>	Generating income ensures services can invest in modern processes and equipment to meet customer needs and provide the service in an efficient and effective way.	This has always been one of the key drivers of the fees and charges process and this continues to be the case.

### 4.3 Community Engagement

- 4.3.1 Local councils and Chamber of Trades have been consulted as part of the Fees and Charges process with regard to the proposed parking charges. Some fees are only meant to cover the cost of providing the service and these are reviewed on a regular basis and the cost recovery analysis is available to the user if required.

#### 4.4 **Changes to Existing Policies**

- 4.4.1 There are no changes proposed to existing policies.

#### 4.5 **Impact Assessments**

- 4.5.1 The impact of Fees and charges (and possible increases) are assessed by Service Area managers, with concessions offered to ensure all residents are able to access these services, if required.

### 5. **BUDGETARY FRAMEWORK**

- 5.1 **The Council's Medium Term Financial Strategy assumes an** increase of 2% in income from discretionary fees and charges for 2020/21. Budget Managers have been tasked with seeking to achieve additional income of 3%. This is intended to make a contribution towards the savings that council needs to make in its overall budget over future years.
- 5.2 The 2% additional income within the MTFS equates to £118,100. The actual estimated increase from the charges proposed within this report is some £326,100, meaning, potentially, additional income of £208,000 to be incorporated into the MTFS. This excludes the additional income from certain the ring fenced charges (Building Control, Cemetery surcharge, Licensing and Land Charges).
- 5.3 The above projected income levels assumes a fall in income from Covent Garden Car Park for 2019/20 and 2020/21. When a decision is made about the redevelopment of the Covent Garden site and the closure of the car park during this period, there will be a period when there is no income for this car park. The reduced income is likely to affect several years. The Car Park Displacement Reserve, created in July 2018, has been used to create additional parking in Court Street and Riverside House (other proposals did not receive planning permission). When members are asked to confirm the Covent Garden redevelopment, funding from the parking reserve to make good the income shortfall may also be sought from members.

- 5.4 The revenue effects of the proposed Fees and Charges are summarised in the following table (ring fenced accounts have been removed).

	<b>Actual 2018/19</b>	<b>Original Estimate 2019/20</b>	<b>Latest Estimate 2019/20</b>	<b>Estimate 2020/21</b>	<b>Change 2019/20 Original to 2020/21</b>
	<b>£</b>	<b>£</b>	<b>£</b>	<b>£</b>	
<b>GENERAL FUND SERVICES</b>					
Chief Executive's Office	42,300	45,000	45,000	45,000	0.0%
Culture	209,800	206,000	209,600	212,500	3.16%
Development	361,100	367,900	368,200	378,700	2.94%
Health & C.P.	2,884	4,800	3,700	6,300	31.25%
Housing	84,800	84,800	84,800	84,800	0.0%
Neighb'rhood	5,076,600	5,196,600	5,164,900	5,503,900	5.91%
<b>TOTAL GENERAL FUND SERVICES</b>	<b>5,777,547</b>	<b>5,905,100</b>	<b>5,876,200</b>	<b>6,231,200</b>	<b>5.52%</b>

#### HOUSING REVENUE ACCOUNT

Housing	434,000	433,700	433,700	453,700
---------	---------	---------	---------	---------

#### Ring-fenced Accounts

Land Charges/B Control	886,049	981,000	947,200	951,000
------------------------	---------	---------	---------	---------

Health & Community Protection	219,037	216,800	218,300	225,400
----------------------------------	---------	---------	---------	---------

Burial Rights			13,400	13,400
---------------	--	--	--------	--------

#### Reserve Account

Parking			100,000	
---------	--	--	---------	--

- 5.5 Increased income from Fees and Charges will reduce the net cost of General Fund Services to the Council Tax Payer and seek to generate income to cover the costs of the provision of respective services. Any increases above the 2% per annum assumed within the Strategy will

reduce the ongoing savings target. Anything below the 2% will increase the savings target.

- 5.6 The current forecasts for 2019/20 and 2020/21 will be reviewed within both the Base Budget Report (November) and Budget setting Report (February 2020). Managers will also continue to review their projections on a monthly basis.

## **6 RISKS**

- 6.1 Increasing prices could deter usage where the take up is discretionary. Customers may choose to use the service less frequently or use an alternative supplier where one is available.
- 6.2 An inflationary increase has been assumed **within the Council's Medium Term Financial Strategy** for increases to discretionary fees and charges. However, inflation may prove to be higher than this in 2020, with the **Council's costs of providing the service increasing more than** inflation.
- 6.3 Future economic changes cannot be foreseen and the implications of Brexit add to any uncertainty. Any potential future recession would probably see a decline in the **Council's income**, which if not replaced, would have implications for the MTFS. However, there may be opportunities to be grasped that could also generate extra income.
- 6.4 Mitigation - Managers will review activity levels over the next few months, with any revised forecasts being built into the Final 2020/21 Budgets presented to Members in February 2020. Budgets are monitored and reviewed by Managers on at least a monthly basis during 2019/20.

## **7 ALTERNATIVE OPTION CONSIDERED**

- 7.1 The various options affecting individual charges are outlined in the main body of the report, sections 8 to 16.
- 7.2 Fees and Charges for 2020/21 remain static i.e. remain at the same level as for 2019/20, which would increase the savings to be found over the next five years unless additional activity could be generated to offset this.

## **8. BACKGROUND**

### **8.1 Fees and Charges Preparation**

- 8.1.1 Alongside these pieces of work, Managers have undertaken some fee comparisons as part of the usual annual Fees and Charges review.
- 8.1.2 Managers also spoke to users of their services to ascertain their views on price increases.

## **9. FEES AND CHARGES GUIDELINES**

- 9.1 In accordance with the Financial Strategy and Code of Financial Practice it is appropriate to consider certain other factors when deciding what the Council's Fees and Charges should be:
- (a) The impact of the Fees and Charges levels on the implementation of Fit for the Future.
  - (b) The level of prices the market can bear including comparisons with neighbouring and other local authorities.
  - (c) The level of prices to be sufficient to recover the cost of the service and the impact on Council Finances, where this is not the case.
  - (d) The impact of prices on level of usage.
  - (e) The impact on the Council's future financial projections.

## **10 CHIEF EXECUTIVE'S DEPARTMENT**

- 10.1 The GIS section of ICT has proposed amendments to the Street Name Numbering charges so as to ensure consistency. Details are shown in Appendix A.

## **11. CULTURAL SERVICES**

- 11.1 Appendix A now reflects that the fees and charges for the Pump Room Annexe fees are under the control of the contractor and are not set by the Council.
- 11.2 Fees and charges at the Leisure Centres that WDC can influence are now limited to a list of Core Charges. These can be seen in Appendix B. The contract stipulates that they will be increased by up to the September RPI figure in the following year.
- 11.3 Cricket
- Charges for cricket facilities are no longer being offered due to a lack of demand.
- 11.4 Bowls New rates are being introduced in recognition of non-profit and Commonwealth Nations booking the facilities in relation to the 2022 Commonwealth Games.

## **12. DEVELOPMENT**

- 12.1 Building Control

- 12.1.1 Building Control is subject to competition from the private sector and has

to set charges that are competitive, otherwise they will lose customers to the private sector. The proposed charges for domestic properties are considered to be fair in the current competitive market. Fees for commercial projects are done on a bespoke basis, taking into account how many inspections will be needed, how long the project is likely to take and whether any additional professional services need to be brought in. Building Control fees were increased by 10% in April 2019 to address increasing costs of providing the service. It proposed that fees are not increased again in 2020 to ensure that the service continues to maintain competitive fee rates and maintains (or improves) market share. (This is a ring-fenced account and income is shown separately)

## 12.2 Local Land Charges

12.2.1 This account is similar to Building Control, and should break even over a rolling three-year period. The income levels shown for Land Charges for 2020/21 reflect recent changes. The LLC 1 charges has now transferred to the Land Registry, therefore, the Council can no longer charge for this. Thus, income is forecast to be down by £34,000 in 2019/20 and £30,000 in 2020/21. However, there will be a corresponding falling in expenditure (staffing costs and payments to WCC) to reflect the reduction in the number of searches. It is not proposed to increase these fees because tight control over costs has been maintained. (This is a ring-fenced account and income is shown separately).

## 12.3 Events in Parks and Open Spaces

12.3.1 The responsibility for this has transferred to the Events team from Cultural Services. WDC receives some income from commercial events in 2019/20 it has received £10,000; this is estimated to climb to £14,000 in 2020/21 and £18,000 in 2021/22. (not currently shown as Fees & Charges income – will be a favourable variance in the next budget review report).

## 12.4 Self-Build Register and Custom Housebuilding

12.4.1 The Self-Build and Custom Housebuilding Act 2015 (as amended by the Housing and Planning Act 2016) requires all planning authorities to maintain a register of people who are seeking to acquire a serviced plot of land for their own self-build and custom housebuilding.

12.4.2 Warwick District Council maintains such a register but did not **charge any fee. A report to August's Executive sought approval to make** changes to the process, including adding a local connection test and to charge a fee for applicants to enter the register and an annual fee to remain on it. This was agreed and the charges below approved.

12.4.3 To be included on the register, there will be an entry charge of £50 for Part 1 and £25 for Part 2. People entered on Part 1 of the register are to pay a higher fee as there is duty for local authorities to meet the demand on this part of the register. The fee is outside of the scope of VAT. After 12 months, entrants in part 1 are required to pay a renewal fee of £20 and re-register otherwise they will be removed.

12.4.4 Income in the first full year is likely to be around £1,000.

## 12.5 **COWork - Arch 4 (new project) and Althorpe Hub**

12.5.1 A new desk hire initiative is being introduced at the Court Street Arches as market research has shown to be strong demand for this type of service.

12.5.2 Demand for the Workstation and Subscription packages at the Althorpe Hub has fallen significantly so these services are now being withdrawn. The area will be repurposed as office space, for which there is demand, and generate more income from that.

## **13. HEALTH AND COMMUNITY PROTECTION**

### 13.1 Licensing and Registration

13.1.1 Licensing income fees and charges have been subject to some significant amendments due to recent legislation changes. Exercises continue to be undertaken, to cost each fee individually and this means that some increase, some stay the same and some reduce. Each fee should now be based on what it costs, in officer time and support costs, to produce that licence. Each licence should not contain a profit element and should breakeven over 3 years. (These are ring-fenced accounts and income is shown separately).

13.1.2 Income from these areas have been removed from the main report and is shown as a separate item, along with other ring-fenced and reserve accounts.

13.1.3 Animal Welfare Licensing Fees (see separate report to this Executive)

The Animal Welfare (Licensing of Activities Involving Animals) (England) Regulations 2018 (The 2018 Regulations) came into force on 1 October 2018. Under these regulations the former licensing schemes for animal boarding establishments, pet shops, riding establishments and dog breeders were repealed and replaced by a new single licensing scheme that regulates all these activities and incorporated the licensing of those who train or exhibit performing animals.

The new regulations are very prescriptive in how matters should be conducted particularly in the granting and monitoring of compliance but also how appeals and requests for re-inspections must be processed. There is also new suspension, variation, refusal and revocation processes with the welfare of the animals concerned at the very heart of any action to be taken. Due to the very rigid nature of the regulations, the Licensing authority is under strict limitations in respect of how it deals with each application lending the new regime to a much more administrative approach to animal licensing than previously.

**March's Employment Committee agreed the present staff** resource needed to be increased so that the Council is able to meet its statutory duties in licensing.

There will be report to Executive later in the year detailing the costs of this and that potentially some of the Animal Licences will need to change, from what is proposed in this report.

## 14. HOUSING

### 14.1 Houses in Multiple Occupation Licensing

14.1.1 HMO licensing fees are required to be set to recover costs. It is proposed to increase these charges by inflation to ensure that income generated meets the cost of providing the service, whilst not making a profit.

## 15. NEIGHBOURHOOD

### 15.1 Car Parking

15.1.1 The table below shows the following situation with car park income:

<b>Income Summary: (Net of V.A.T.)</b>	<b>Actual 2018/19 £</b>	<b>Estimate 2019/20 £</b>	<b>Latest 2019/20 £</b>	<b>Estimate 2020/21 £</b>	<b>%</b>
Car Parking	2,770,600	2,789,700	2,776,000	2,963,000	6.21
Season Tickets	274,300	275,400	250,000	257,500	-6.5
Excess Charges	138,000	107,000	146,000	150,000	40.0
Other Income	36,300	48,000	48,000	48,000	0.00
<b>Total Income</b>	<b>3,219,200</b>	<b>3,220,100</b>	<b>3,220,000</b>	<b>3,418,500</b>	<b>6.16</b>

15.1.2 For 2020/21 car park income levels are forecast to increase by 6.16%.

15.1.3 In accordance with the resolution of Council in February 2016, any surplus income over the amounts budgeted will be allocated to the Car Parks Repairs and Maintenance Reserve (an extra £100k now for 2019/20).

15.1.4 The car park stock requires substantial funds on an ongoing basis to maintain and improve it. All the costs of operating, maintaining and supporting the car park service have been brought together in a Car Parking Memorandum Account. This demonstrated that the car parks are operating at a substantial deficit. With continued financial restraint by Central Government upon Local Authorities there is a requirement for Warwick District Council to seek to recover the full costs of the service. Charges for this year have been devised to take into account the need to reduce the net cost of the service whilst understanding the parking needs associated with each town.

15.1.5 Parking Services have introduced new ways to pay for parking in WDC Car Parks e.g. Ringo, Credit Card/Debit cards and Apple Pay. There are some small costs associated with these initiatives but they could

potentially reduce cash collection costs and increase usage. The initiative is not just about income but also designed to encourage people to shop and stay in **WDC's** Town Centres.

15.1.6 The fees proposed will be at least comparable, if not cheaper than on street parking run by WCC, in order to encourage people to park off-street **and to help traffic flow in the District's towns.** (the availability of off-street parking may also assist with air pollution issues by encouraging drivers not to drive around looking for spaces on-street or leaving engines idling during traffic congestion).

15.1.7 Consideration is being given to the introduction of free parking for electric vehicles in council car parks. This will be subject to a future report to the Executive, which should include details of how this will be funded.

## 15.2 Season Tickets and Penalty Charge Notices

15.2.1 Season ticket income has not performed as well as previous years and this trend is expected to continue **until the uncertainty around WDC's car parks is removed.**

15.2.2 Penalty Charge Notice (PCN) income well exceeded its target for 2018/19 and is forecast to generate over £145k in 2019/20 and 2020/21. However, increased income cannot be guaranteed to continue at that level.

## 15.3 Bereavement

### 15.3.1 Interment and Cremation fees

Historically predicting the death rate for any particular year has proven impossible, and therefore a calculation based on a 5 year rolling average has previously been established. There have been unusual factors affecting the burial, specifically the Exclusive Right of Burial and interments (EROB) income; in recent years, section 119 was reaching its capacity, many families who wanted to be buried near their relatives have **"purchased for future use" the grave plot, this has distorted historical figures and (because they now own the plot) when they are buried only the interment income is realised.** In addition, because of the scarcity of land, particularly in Kenilworth cemetery, action was taken through the fees and charges to deter non-residents in order to be able to continue to provide a burial service for Warwick District Council residents, with the additional income being set aside in reserves.

The Bereavement Manager has identified a reduction in the number of EROB and interments (and subsequent income), in some way although this is not good news for the budget, it is good news for the cemeteries themselves as an asset. Graves are a finite resource with a permanent liability for maintenance; fewer graves being sold now means capital investment for a new cemetery will be further into the future.

It is not possible to address the shortfall in the cemeteries income wholly from the cemeteries fees, therefore the cremation fee has been increased above the desired 3% to balance the books. Assuming the fees and charges are accepted this will only affect Q4 of 2019/20 so the shortfall in the overall service budget will be £37,900 against the original budget,

however this will be compensated for by a £42,300 increase over the 3% in 20/21 based on this current year's original budget.

The Woodland burial fees will remain at the 2019/20 rates, as there is very little Local Authority provision for this green burial option, most facilities are privately owned. In the first instance to remain competitive the market will not sustain an increase, the number of customers for this option is lower than the mainstream traditional cemeteries (approx. 10 per year) so any increase has a very marginal impact on the overall budget position; and in the second instance, of the funeral options WDC provides, woodland burial offers the least impact on the environment. Making woodland burial a more attractive option is in line with the Councils climate emergency agenda.

Although a 11% increase in cremation fees to £800, is proposed, it still puts Warwick District Council approximately mid-point in the league of cremation fees; benchmarking against our neighbours, Warwick is more affordable than Coventry, Nuneaton, Rugby, Banbury and Pershore; but more expensive than Solihull, Coleshill and Redditch, however the effect on this affordability table of their 2020/21 increases is unknown.

15.3.2 Details of some minor changes in charges are shown in Appendix A; these have been done to remove anomalies and to respond to market conditions.

15.3.3 Income details (exclusive of surcharge premium) for, both the Cemeteries and Crematorium for, 2019/20 & 2020/21 are shown below. (The Burial Rights and Interments Surcharge is NOT included in the figures below.)

	<b>Original 2019/20</b>	<b>Latest 2019/20</b>	<b>Original 2020/21</b>
	£	£	£
Cemeteries	445,300	388,100	412,900
Crematorium	1,385,200	1,410,800	1,521,700
Total	<b>1,830,500</b>	<b>1,798,900</b>	<b>1,934,600</b>

#### 15.4 Refuse Collection

15.4.1 In terms of the charges for receptacles the "Refuse Collection", the Executive agreed to charges for these items purely to cover the cost of the expenditure for the all of items. Therefore, there should be no change to individual charges for bins and boxes etc. unless we have a change in supplier as these costs increase. As this has not happened, the budget to "Additional Bins/Bags etc." will remain the same.

15.4.2 There has been an increasing usage of the existing bulky waste collection Service, which accounts for the increased income.

## **HOUSING REVENUE ACCOUNT**

### **16 Warwick Response**

#### 16.1 Lifelines and other charges

16.1.1 The income generated from the Warwick Response Fees and Charges is credited to the Housing Revenue Account, from where the costs of this service are met. Details of the charges are shown in Appendix A.

#### 16.2 Charging structures for tenants who live in age-designated properties within the district.

16.2.1 There is a report on the same Executive Agenda which is proposing to make consistent the service provision and the charging structures for tenants who live in age-designated properties within the district. This will generate additional income for the service in future years.

**FEES and CHARGES 2020/21**

		Actual 2018/19 £	Estimate 2019/20 £	Latest Estimate 2019/20 £	Estimate 2020/21 £
<b>GENERAL FUND SERVICES</b>					
<a href="#">CHIEF EXECUTIVE'S DEPT</a>	(App A2)	42,345	45,000	45,000 <b>0.00%</b>	45,000 <b>0.00%</b>
<a href="#">CULTURE</a>	(App A3)	209,837	206,000	209,600 <b>1.75%</b>	212,500 <b>3.16%</b>
<a href="#">DEVELOPMENT</a>	(App A14)	361,112	367,900	368,200 <b>0.08%</b>	378,700 <b>2.94%</b>
<a href="#">HEALTH&amp;COM PROTECTION</a>	(App A31)	2,884	4,800	3,700 <b>-22.92%</b>	6,300 <b>31.25%</b>
<a href="#">HOUSING</a>	(App A40)	84,800	84,800	84,800 <b>0.00%</b>	84,800 <b>0.00%</b>
<a href="#">NEIGHBOURHOOD</a>	(App A42)	5,076,569	5,196,600	5,164,900 <b>-0.61%</b>	5,503,900 <b>5.91%</b>
<b>TOTAL GENERAL FUND SERVICES</b>		<b>5,777,547</b>	<b>5,905,100</b>	<b>5,876,200</b>	<b>6,231,200</b>
<b>HOUSING REVENUE ACCOUNT</b>					
<a href="#">HOUSING &amp; PROPERTY</a>	(App A57)	433,996	433,700	433,700 <b>0.00%</b>	453,700 <b>4.61%</b>
<b><u>Ring Fenced or reserve accounts</u></b>					
<b>Land charges</b>		117,416	145,000	111,000	115,000
<b>Building Control</b>		768,633	836,000	836,000	836,000
<b>Health &amp; Community Protection</b>		219,037	216,800	218,300	225,400
<b>Burial Rights Surcharge</b>				13,400	13,400
<b>Parking reserve contribution</b>				100,000	
		<b>1,105,086</b>	<b>1,197,800</b>	<b>1,278,700</b>	<b>1,189,800</b>
		6,882,633	7,102,900	7,154,900	7,421,000

## NOTES :

- i) Recommended charges to operate from 1st January 2020 (unless otherwise stated).
- ii) Charges inclusive of VAT where applicable (unless otherwise stated).
- iii) Juniors are regarded as persons under 18 years of age (unless otherwise stated)

**CHIEF EXECUTIVE'S DEPARTMENT****ICT - GIS section****Street Naming and Numbering**

	<b>Current Charge £</b>	<b>Proposed Charge From 2/1/20 £</b>	
Rename/number existing property	39.00	40.00	2.56%
Amend a Development Layout	79.00	80.00	1.27%
Add a name to existing numbered property	Nil	Nil	
Naming of a New Street	128.00	130.00	1.56%
<b><u>Numbering of New Development -</u></b>			
1-10 plots	£79 per plot	£80 per plot	
11+plots	£790 plus £22 per plot	£800 plus £22 per plot	
Additional copies of 'Confirmation of Address' letters	30.00	Upon request	
Renaming of a street	Price upon request	Upon request	

	<b>Actual 2018/19 £</b>	<b>Estimate 2019/20 £</b>	<b>Latest Estimate 2019/20 £</b>	<b>Estimate 2020/21 £</b>
<b>ICT - GIS section</b>				
<b><u>Street Naming and Numbering</u></b>	42,345	45,000	45,000	45,000
<b>Total ICT GIS Section</b>	<b>42,345</b>	<b>45,000</b>	<b>45,000</b>	<b>45,000</b>

**CULTURE**

	Actual 2018/19 £	Estimate 2019/20 £	Latest Estimate 2019/20 £	Estimate 2020/21 £
<b>Culture and Heritage:</b>				
<a href="#">Royal Spa Centre</a>	79,248	77,000	77,000	78,000
<a href="#">Royal Pump Room</a>	780	100	1,100	1,100
<a href="#">Town Hall Room Hire</a>	66,076	64,500	66,000	66,000
	<hr/>	<hr/>	<hr/>	<hr/>
<b>Total Culture and Heritage</b>	<b>146,104</b>	<b>141,600</b>	<b>144,100</b>	<b>145,100</b>
	<hr/>	<hr/>	<hr/>	<hr/>
<b>Recreation and Sport:</b>				
<a href="#">Tennis</a>	2,290	4,200	2,000	2,100
<a href="#">Bowls</a>	12,568	16,600	15,500	15,900
<a href="#">Football, Rugby, Hockey Pitches</a>	15,749	16,500	17,500	17,900
<a href="#">Edmondscote Track</a>	21,713	15,500	17,000	17,500
<a href="#">Miscellaneous Charges</a>	5,831	5,500	5,500	5,600
<a href="#">Lillington Recreation Centre</a>	5,582	6,100	8,000	8,400
	<hr/>	<hr/>	<hr/>	<hr/>
<b>Total Recreation and Sport</b>	<b>63,733</b>	<b>64,400</b>	<b>65,500</b>	<b>67,400</b>
	<hr/>	<hr/>	<hr/>	<hr/>
<b>TOTAL CULTURE</b>	<b>209,837</b>	<b>206,000</b>	<b>209,600</b>	<b>212,500</b>
	<hr/>	<hr/>	<hr/>	<hr/>

**CULTURE****CULTURE and HERITAGE****ROYAL SPA CENTRE**

(Free of V.A.T. unless otherwise stated)

**AVON HALL:****Charge  
From 2/1/19****Proposed  
Charge  
From 2/1/20****With the exception of below, all charges are by negotiation****Catering:**

When light refreshments are required, these shall be provided by the Arts Section's Customer Services Team  
, with whom arrangements should be made

When the premises are booked for functions requiring licensed refreshments, the Bar be provided by and .  
under the control of the Council.

**MAIN AUDITORIUM**

by negotiation

by negotiation

The service of the Duty Manager and/or member of the Technical Staff are included in all the hire charges.

**BALCONY / CONSERVATORY:**

by negotiation

by negotiation

The service of the Duty Manager and/or member of the Technical Staff are included in all the hire charges.

**STUDIO/CINEMA**

	<b>Actual</b>	<b>Estimate</b>	<b>Latest</b>	<b>Estimate</b>
<b>INCOME (Net of V.A.T.)</b>	<b>2018/19</b>	<b>2019/20</b>	<b>Estimate</b>	<b>Estimate</b>
	<b>£</b>	<b>£</b>	<b>2019/20</b>	<b>2020/21</b>
			<b>£</b>	<b>£</b>
Events	78,462	75,000	75,000	76,000
Additional Facilities	786	2,000	2,000	2,000
<b>Total Royal Spa Centre</b>	<b>79,248</b>	<b>77,000</b>	<b>77,000</b>	<b>78,000</b>

**CULTURE**  
**CULTURE and HERITAGE**

	Charge From 2/1/19 £	Proposed Charge From 2/1/20 £
<b><u>ROYAL PUMP ROOM</u></b>		
(All prices inclusive of V.A.T. unless otherwise stated)		

**ASSEMBLY ROOM:****(Charges for Local Community Groups non-commercial hire)**

- Private hire (per hour or part thereof)	N/A	N/A
- Preparation / rehearsal (per hour or part thereof)	N/A	N/A
- Commercial hire (per hour or part thereof)	N/A	N/A
- Preparation / rehearsal (per hour or part thereof)	N/A	N/A

**ANNEXE:****(Charges for Local Community Groups non-commercial hire)**

- Private hire (per hour or part thereof)	N/A	N/A
- Preparation / rehearsal (per hour or part thereof)	N/A	N/A
- Commercial hire (per hour or part thereof)	N/A	N/A
- Preparation / rehearsal (per hour or part thereof)	N/A	N/A

Saturdays, Sundays and Bank Holidays	+ 50%	+ 50%
--------------------------------------	-------	-------

All commercial promotions by negotiation in first instance

Minimum 2 hour hire charge for evening events

Non-returnable deposit of 25% or all of any minimum income

Commercial Hire is defined as private individuals or private sector commercial promotions.

A contractor manages the Assembly Room and Annexe on behalf of the Council and offers a full range of catering services. They will negotiate all-inclusive rates for special events, dinners and conferences.

**EDUCATION ROOM:**

Schools, Colleges & Educational Groups:

- per day	41.00	42.50	3.66%
- per session (Half day)	31.00	32.00	3.23%

Commercial or non-educational hirers - by negotiation with the Head of Cultural Services with a minimum charge of £10 per hour)

Additional Facilities :

Piano (Per booking)	78.00	78.00	0.00%
	+ VAT	+VAT	

**ART GALLERY AND MUSEUM:****Art Exhibitions :**

- commission on pictures sold	10%	30%
-------------------------------	-----	-----

	Actual 2018/19 £	Estimate 2019/20 £	Latest Estimate 2019/20 £	Estimate 2020/21 £
<b>INCOME (Net of V.A.T.)</b>				
Assembly Room, Annexe, Education Room	780	1,000	1,000	1,000
Art Exhibitions - Commission on sales	0	100	100	100

<b>Total Royal Pump Room</b>	<b>780</b>	<b>100</b>	<b>1,100</b>	<b>1,100</b>
	<u>          </u>	<u>          </u>	<u>          </u>	<u>          </u>

**CULTURE**  
**CULTURE and HERITAGE**

<b><u>TOWN HALL ROOM HIRE</u></b>	<b>Charge</b>	<b>Charge</b>
(Free from V.A.T.)	<b>From 2/1/19</b>	<b>From 2/1/20</b>
	<b>£</b>	<b>£</b>

**All charges are by negotiation**

**PRIVATE, NON-COMMERCIAL BOOKINGS:** 80% 80%

**COMMERCIAL BOOKINGS:** 100% 100%

**VOLUNTARY ORGANISATIONS:** 65% 65%

	<b>Actual</b>	<b>Estimate</b>	<b>latest</b>	
<b>INCOME (Net of V.A.T.)</b>	<b>2018/19</b>	<b>2019/20</b>	<b>Estimate</b>	<b>Estimate</b>
	<b>£</b>	<b>£</b>	<b>2019/20</b>	<b>2020/21</b>
			<b>£</b>	<b>£</b>
<b>Town Hall Room Hire</b>	<b>66,076</b>	<b>64,500</b>	<b>66,000</b>	<b>66,000</b>

**CULTURE****RECREATION and SPORT****TENNIS**

	<b>Charge From 2/1/19 £</b>	<b>Proposed Charge From 2/1/20 £</b>
Per court per hour (Excluding All Weather Pitch)	See note	See note

**Casual Usage**

Senior Citizens	See note	See note
Under 18's / Disabled / Unemployed	See note	See note
Under 5s	See note	See note

Floodlit Tennis Hire - Victoria Park

Casual Usage	See note	See note
Senior Citizens	See note	See note
Under 18's / Disabled / Unemployed	See note	See note
Club Member	See note	See note

	<b>Actual 2018/19 £</b>	<b>Estimate 2019/20 £</b>	<b>latest Estimate 2019/20 £</b>	<b>Estimate 2020/21 £</b>
<b>INCOME (Net of V.A.T.)</b>				
<b>Total Tennis</b>	<b>2,290</b>	<b>2,700</b>	<b>2,000</b>	<b>2,100</b>

**BOWLS**

	<b>Charge From 2/1/19 £</b>	<b>Proposed Charge From 2/1/20 £</b>	
Per person - per hour	4.60	4.80	4.35%
Senior Citizens	2.30	2.40	4.35%
Under 18's / Disabled / Unemployed	2.30	2.40	4.35%
Under 5s	Free	Free	
Season Ticket	67.00	68.00	1.49%
Club Season Ticket	34.00	35.00	2.94%
Club Member Season Ticket	34.00	35.00	2.94%
Commonwealth Games Rate for 1 green plus function Room per hour	40.00	40.00	0.00
Commonwealth Games Rate for 1/2 green plus function Room per hr	20.00	20.00	0.00
Commonwealth Rate room hire	39.30	39.30	0.00

Hire of Green (for morning, afternoon or evening session) by negotiation by negotiation

Club Bookings Subject to negotiation and agreement by Heads of Finance and Cultural Services

New rates introduced in recognition of non profit making organisations and Commonwealth Nations

booking the bowls in in relation to the 2022 Commonwealth Games

CULTURERECREATION and SPORT

	Actual	Estimate	latest Estimate	Estimate
INCOME (Net of V.A.T.)	2018/19	2019/20	2019/20	2020/21
	£	£	£	£
Individuals	589	2,200	2,200	2,300
Clubs, bookings etc.	2,979	4,300	4,300	4,400
Local club rentals	9,000	9,000	9,000	9,200
	<hr/>	<hr/>	<hr/>	<hr/>
<b>Total Bowls</b>	<b>12,568</b>	<b>15,500</b>	<b>15,500</b>	<b>15,900</b>
	<hr/> <hr/>	<hr/> <hr/>	<hr/> <hr/>	<hr/> <hr/>

	<b>CHARGE 2019/20 SEASON</b>		<b>PROPOSED CHARGE 2020/21 SEASON</b>	
	<b>Adult £</b>	<b>Junior £</b>	<b>Adult £</b>	<b>Junior £</b>
<b><u>FOOTBALL</u></b>				
<b>Hire of Pitch:</b>				
a) Pitch only	38.00	21.00	40.00	22.00
b) With Dressing Room / Showers	62.00	39.00	64.00	40.00
<b>Hire of Pitch for Season (Once a week):</b>				
a) Pitch only *	545.00	284.00	555.00	290.00
b) With Dressing Room / Showers *	984.00	493.00	1,005.00	500.00
<b>Hire of Pitch for Season (Once fortnightly):</b>				
a) Pitch only *	272.00	142.00	277.00	145.00
b) With Dressing Room / Showers *	492.00	247.00	503.00	250.00
<b>Rounders Pitch</b>			N/A	
	<b>Actual</b>	<b>Estimate</b>	<b>latest Estimate</b>	<b>Estimate</b>
<b>INCOME (Net of V.A.T.)</b>	<b>2018/19</b>	<b>2019/20</b>	<b>2019/20</b>	<b>2020/21</b>
	<b>£</b>	<b>£</b>	<b>£</b>	<b>£</b>
<b>Total Football, Rugby, Hockey Pitches</b>	<b>15,749</b>	<b>17,500</b>	<b>17,500</b>	<b>17,900</b>

\* Exclusive of VAT. However, if bookings do not fulfil Customs and Excise criteria for VAT free charge, VAT must be added.

Summary of requirements for VAT free hire of sports facilities:

- i) User must be a club, school or similar body.
- ii) Clear evidence of agreement required, e.g. exchange of letters.
- iii) Payment to be made in full whether or not hire takes place.
- iv) Hire must be for a sports season or three months, whichever is less.
- v) Hirer must have exclusive use of the facility for hire period.

**CULTURE**  
**RECREATION and SPORT**

<b><u>EDMONDSCOTE ATHLETIC TRACK</u></b>	<b>Charge From 2/1/19 £</b>	<b>Proposed Charge From 2/1/20 £</b>	
<b>Athletic Track:</b>			
<b>Day Tickets:</b>			
- Adults	4.70	4.80	2.13%
- Juniors / Senior Citizens	2.70	2.80	3.70%
<b>Season Tickets:</b>			
- Adults *	122.00	125.00	2.46%
- Juniors / Senior Citizens *	61.00	63.00	3.28%
* Season Tickets - charges are reduced from 1st October to March 31st by 60%			
<b>Reservation of Track for Group Sessions:</b>			
<b>Training:</b>			
- Session not exceeding 4 hours	53.50	55.00	2.80%
- Schools / Junior	41.50	42.00	1.20%
<b>Sports Meetings - per session of four hours or part thereof:</b>			
<b>Weekdays:</b>			
- Schools / Junior	61.00	62.00	1.64%
each additional hour or part thereof	21.00	21.50	2.38%
- Others	92.50	95.00	2.70%
each additional hour or part thereof	31.00	32.00	3.23%
<b>Saturdays:</b>			
- Schools / Junior	87.00	90.00	3.45%
each additional hour or part thereof	31.00	32.00	3.23%
- Others	134.00	138.00	2.99%
each additional hour or part thereof	46.00	47.00	2.17%
<b>Sundays:</b>			
- Schools / Junior	110.00	112.00	1.82%
each additional hour or part thereof	41.00	42.00	2.44%
- Others	170.00	174.00	2.35%
each additional hour or part thereof	60.00	62.00	3.33%
Use Of Floodlighting - per hour or part thereof	41.00	10.00	-75.61%
Use of P.A. System - per period	25.00	25.00	0.00%
Use of Pavilion Facilities - per 4 hour period	45.00	45.00	0.00%
- each additional hour (or part)	18.50	18.50	0.00%
		<b>latest</b>	
	<b>Actual</b>	<b>Estimate</b>	<b>Estimate</b>
<b>INCOME (Net of V.A.T.)</b>	<b>2018/19</b>	<b>2019/20</b>	<b>2020/21</b>
	<b>£</b>	<b>£</b>	<b>£</b>
<b>Total Edmondscote Track</b>	<b>21,713</b>	<b>17,000</b>	<b>17,500</b>

\* The Floodlighting rate has never been applied as it would be unaffordable to all clubs and the condition of the  
Item 3 / Appendix A / Page 11

lighting was poor. We have now improved the lighting and wish to apply a rate that is considered affordable.

### CULTURE

#### RECREATION and SPORT

#### MISCELLANEOUS CHARGES

	Charge From 2/1/19 £	Proposed Charge From 2/1/20 £	
<b><u>PAVILION HIRE:</u></b>			
Hire of Vic Park Bowls Pavilion -external hirers per hr up to 3 hrs)	41.50	42.00	1.20%
Hire of Victoria Park Bowls Pavilion - internal hirers per day	51.50	52.00	0.97%
Hire of Victoria Park Bowls Pavilion - internal hirers up to 3 hrs	39.50	40.00	1.27%

	Actual 2018/19 £	Estimate 2019/20 £	Estimate 2019/20 £	Estimate 2020/21 £
<b>INCOME (Net of V.A.T.)</b>				
Sporting Events in Parks	5,831	5,500	5,500	5,600

#### COMMUNITY SPORTS DEVELOPMENT

Various courses of a variety of durations and at many locations from basic children's participation and learning up to adult advanced coaching / training.

Prices from free of charge up to £50 per day dependent on the location, need and subsidy.

### CULTURE

#### RECREATION and SPORT

#### LILLINGTON RECREATION CENTRE

	Proposed Charge From 2/1/19 £	Proposed Charge From 2/1/20 £	
<b>Sporting and Youth Organisations:</b>			
- per morning / afternoon	22.00	23.00	4.55%
- per evening / weekend (per 2 hour session)	22.00	23.00	4.55%
- each additional hour or part thereof	11.00	11.50	4.55%

**Other Organisations:** by negotiation

	Actual 2018/19 £	Estimate 2019/20 £	latest Estimate 2019/20 £	Estimate 2020/21 £
<b>INCOME (Net of V.A.T.)</b>				

<b>Total Lillington Recreation Centre</b>	<b>5,582</b>	<b>8,000</b>	<b>8,000</b>	<b>8,400</b>
---	--------------	--------------	--------------	--------------

**CULTURE****RECREATION and SPORT****FACILITIES FOR PERSONS IN RECEIPT OF UNEMPLOYMENT BENEFIT AND INCOME  
SUPPORT AND STUDENTS**

1. Facilities available free of charge during times shown. If no time is shown it is during all normal hours the activity is available.

Tennis (Beauchamp Gardens)

Edmondscote Athletic Track - Monday to Thursday: 9 a.m. to 5.30 p.m., Friday : 9 a.m. to 4.00 p.m.  
(sometimes restricted by bookings)

Newbold Hall / Jephson Room, Spa Centre

2. Facilities available at reduced charges during times shown.

Bowls - Casual usage 10 a.m. to 5 p.m.

-Senior citizens rates

Edmondscote Athletic Track - Monday to Thursday 5.30 onwards  
and Sunday mornings

-Junior rate

Coaching Courses

-Reduced price on selected courses  
(see local press for details)

Art Gallery / Craft Courses

-Reduced price on selected courses  
(see local press for details)

Royal Spa Centre

-Reduced ticket prices at  
selected performances  
(see local press for details)

-Standby tickets for some  
concerts and shows, 50%  
reduction, dependant upon  
availability

Tickets will only be sold 30  
minutes prior to start of  
performance.

\* At least 50% of players must fulfil eligibility criteria

**CULTURE****RECREATION and SPORT****FACILITIES FOR PERSONS IN RECEIPT OF UNEMPLOYMENT BENEFIT AND INCOME  
SUPPORT AND STUDENTS**

3. The department operates a whole range of other facilities which are offered without charge (such as paddling pools, playgrounds, parks, Jephson Gardens) and activities (such as Sunday Band concerts, plays in the parks) which are advertised in the local press as appropriate. Play schemes during the summer holidays are also free.

For full details of our services, or for further information on leisure opportunities, please ring the Cultural Services Department on 01926 456207

**NOTE:**

- (a) Use of the above facilities free or at a reduced charge is conditional upon production of a current :

E.S. 40 (Job Seekers Allowance)

**OR**

Benefits Agency decision notice or book for Income Support

**OR**

Benefits Agency decision notice or book for Family Credit

**OR**

Students Association (Union) Card specifying Full time status or

Students Association (Union) Card, non-specific and Student aged under 25 years

- (b) Children of the above may receive discounts on certain holiday courses

Every Active also offer discounts – please contact the Centres for further details

**DEVELOPMENT**

	Actual 2018/19 £	Estimate 2019/20 £	latest Estimate 2019/20 £	Estimate 2020/21 £
<b>Building Control</b>				
<a href="#">Building Control Fees</a>	768,633	836,000	836,000	836,000
<b>Total Building Control</b>	<b>768,633</b>	<b>836,000</b>	<b>836,000</b>	<b>836,000</b>
<b>Development Control</b>				
<a href="#">Development Control</a>	58,072	67,700	68,000	70,000
<b>Total Development Control</b>	<b>58,072</b>	<b>67,700</b>	<b>68,000</b>	<b>70,000</b>
<b>Self building section</b>	0	0	500	1,000
<b>Enterprise Team</b>				
<a href="#">Enterprise Team</a>	250,800	247,800	247,800	255,300
<b>Total Enterprise Team</b>	<b>250,800</b>	<b>247,800</b>	<b>247,800</b>	<b>255,300</b>
<b>Markets</b>				
<a href="#">Markets</a>	30,800	31,000	31,000	31,000
<b>Total Markets</b>	<b>30,800</b>	<b>31,000</b>	<b>31,000</b>	<b>31,000</b>
Bowls Championship - Parking	16,300	16,800	16,300	16,300
Events Team - Open Spaces	5,140	4,600	4,600	5,100
<b>Land Charges</b>				
Local Land Charges	117,416	145,000	111,000	115,000
<b>Total Land Charges</b>	<b>117,416</b>	<b>145,000</b>	<b>111,000</b>	<b>115,000</b>
<b>TOTAL DEVELOPMENT</b>	<b>1,247,161</b>	<b>1,348,900</b>	<b>1,315,200</b>	<b>1,329,700</b>

**DEVELOPMENT****THE BUILDING (LOCAL AUTHORITY CHARGES) REGULATIONS 2010****TABLE 1: NEW BUILD OF HOUSES OR FLATS (Dwellings / flats up to 300m<sup>2</sup>)****Notes:**

1. For a 'full plans' application, the plan fee is required immediately to process the application. This is followed by an inspection fee which is payable on commencement of the building work.
2. For a 'building notice' application the entire fee is required immediately to process the application.

<b>Number Of Dwellings</b>	<b>Charge From 1/4/19 £</b>	<b>Proposed Charge From 1/4/20</b>	
<b><u>Full Plans Applic: Submission Fee</u></b>			
1	£330.00	£330.00	0.00%
2	£390.00	£390.00	0.00%
3	£450.00	£450.00	0.00%
4	£510.00	£510.00	0.00%
5	£570.00	£570.00	0.00%
6	£630.00	£630.00	0.00%
<b><u>Full Plans Applic: Inspection Fee</u></b>			
1	£600.00	£600.00	0.00%
2	£770.00	£770.00	0.00%
3	£950.00	£950.00	0.00%
4	£1,130.00	£1,130.00	0.00%
5	£1,300.00	£1,300.00	0.00%
6	£1,480.00	£1,480.00	0.00%
<b><u>Building Notice</u></b>			
1	£930.00	£930.00	0.00%
2	£1,160.00	£1,160.00	0.00%
3	£1,400.00	£1,400.00	0.00%
4	£1,640.00	£1,640.00	0.00%
5	£1,870.00	£1,870.00	0.00%
6	£2,110.00	£2,110.00	0.00%

For sites with more than 6 dwellings please contact us for a quote

For the fee for new houses with floor areas in excess of 300m<sup>2</sup> please contact Building Control.  
The fee for a new house or flat includes the garage whether attached or detached.

For full plans applications the fees are split. The submission fee must be paid with the application. The  
Item 3 / Appendix A / Page 17

Inspection fee can also be paid at the same time or be invoiced once the works have started.

## **DEVELOPMENT**

### **THE BUILDING (LOCAL AUTHORITY CHARGES) REGULATIONS 2010**

#### **TABLE 2: CERTAIN BUILDING WORK IN DWELLINGS**

##### **Notes:**

1. In a domestic property if alterations (up to £5,000 value, window replacement, replacement roof or garage conversions) are taking place at the same time as an extension (not including loft or basement conversions) there is a 50% discount in the fees for the alterations.
2. If there is more than one extension on a single dwelling, the floor areas for each extension are added together for a single overall fee.
3. Where work is concerned with the provision of access or facilities for a disabled person, in certain circumstances there are exemptions from fees. Please contact Building Control .
4. For a 'full plans' application, the plan fee is required immediately to process the application. This is followed by an inspection fee which is payable on commencement of the building work.
5. The floor area is internal, not including the area of the external walls.

**DEVELOPMENT****TABLE 2: CERTAIN BUILDING WORK IN DWELLINGS (Continued)**

		Charge From 1/4/19 £	Charge From 1/4/20	
<u>Full Plans Application: Submission Fee</u>				
1	Full (or part) garage conversion	£305.00	£305.00	0.00%
1	Replacement windows	£135.00	£135.00	0.00%
1	Domestic Re-roofing up to £10,000 value	£200.00	£200.00	0.00%
	Solar panels and replacement thermal elements	£200.00	£200.00	0.00%
2	Erection of a garage or car port up to 60m <sup>2</sup>	£305.00	£305.00	0.00%
	Domestic extensions up to 40m <sup>2</sup>	£180.00	£180.00	0.00%
3	Domestic extensions from 40m <sup>2</sup> - 60m <sup>2</sup>	£220.00	£220.00	0.00%
3	Loft or basement conversions up to 40m <sup>2</sup>	£180.00	£180.00	0.00%
3	Loft or basement conversion from 40m <sup>2</sup> - 60m <sup>2</sup>	£220.00	£220.00	0.00%
4	Underpinning	£400.00	£400.00	0.00%
<u>Full Plans Application: Inspection Fee</u>				
1	Full (or part) garage conversion	Nil	Nil	
1	Replacement windows	£135.00	£135.00	0.00%
1	Domestic Re-roofing up to £10,000 value	£200.00	£200.00	0.00%
	Solar panels and replacement thermal elements	£200.00	£200.00	0.00%
2	Erection of a garage or car port up to 60m <sup>2</sup>	Nil	Nil	
	Domestic extensions up to 40m <sup>2</sup>	£300.00	£300.00	0.00%
3	Domestic extensions from 40m <sup>2</sup> - 60m <sup>2</sup>	£400.00	£400.00	0.00%
3	Loft or basement conversions up to 40m <sup>2</sup>	£300.00	£300.00	0.00%
3	Loft or basement conversion from 40m <sup>2</sup> - 60m <sup>2</sup>	£400.00	£400.00	0.00%
4	Underpinning	Nil	Nil	
<u>Building Notice</u>				
1	Full (or part) garage conversion	£305.00	£305.00	0.00%
1	Replacement windows	£135.00	£135.00	0.00%
1	Domestic Re-roofing up to £10,000 value	£200.00	£200.00	0.00%
	Solar panels and replacement thermal elements	£200.00	£200.00	0.00%
2	Erection of a garage or car port up to 60m <sup>2</sup>	£305.00	£305.00	0.00%
	Domestic extensions up to 40m <sup>2</sup>	£480.00	£480.00	0.00%
3	Domestic extensions from 40m <sup>2</sup> - 60m <sup>2</sup>	£620.00	£620.00	0.00%
3	Loft or basement conversions up to 40m <sup>2</sup>	£480.00	£480.00	0.00%
3	Loft or basement conversion from 40m <sup>2</sup> - 60m <sup>2</sup>	£620.00	£620.00	0.00%
4	Underpinning	£400.00	£400.00	0.00%

- 1 There is a 50% discount for replacement windows, replacement roof, garage conversion or other works up to £5,000 value (not including loft or basement conversions) if these works are taking place at the same time as a domestic extension

- 2 Garages in excess of 60m<sup>2</sup> should be calculated using Table 3.

- 3 Domestic extensions over 60m<sup>2</sup> should be calculated using Table 3. There is a minimum fee of £470.

- 4 The fees for loft and basement conversions in excess of 60m<sup>2</sup> should be calculated using Table 3.
- 5 For full plans applications the fees are split. The submission fee must be paid with the application. The Inspection fee will be invoiced once the works have started or alternatively it can be paid with the submission fee.

### **DEVELOPMENT**

## **THE BUILDING (LOCAL AUTHORITY CHARGES) REGULATIONS 2010**

### **TABLE 3: ALL OTHER BUILDING WORK**

#### **Notes:**

1. For loft / basement conversions there is a minimum fee of £470
2. For domestic extensions over 60m<sup>2</sup> there is a minimum fee of £470
3. If a 'full plans' application is being made for work requiring a fee of £270 or less the whole fee is payable upon application. Otherwise, 40% of the total fee will be required with the application form as the plan fee. An invoice will be sent on commencement of the work for the remaining 60%, which forms the 'inspection fee'.
4. The estimated cost should be in line with recommended RICS rates, not including VAT or fees paid to architects, etc.
5. Where work is concerned with the provision of access or facilities for a disabled person, in certain circumstances there are exemptions from fees. Please contact Building Control
6. If electrical works are part of a larger project, no further fee is payable. The fee for an application purely for electrical works should be calculated on the basis of Table 3, however a BS7671 completion certificate will need to be issued by an electrician registered with an approved 'competent person' scheme. This electrician should be appointed by the applicant.

**DEVELOPMENT****THE BUILDING (LOCAL AUTHORITY CHARGES) REGULATIONS 2010****TABLE 3: ALL OTHER BUILDING WORK (Continued)**

<b>Estimated Cost of Building Work</b>	<b>Charge From 1/4/19 £</b>	<b>Charge From 1/4/20 £</b>	
<b><u>Full Plans Application: Submission Fee</u></b>			
£0 to £5,000	£240.00	£240.00	0.00%
£5,001 to £10,000	£305.00	£305.00	0.00%
£10,001 to £15,000	£140.00	£140.00	0.00%
£15,001 to £20,000	£170.00	£170.00	0.00%
£20,001 to £30,000	£200.00	£200.00	0.00%
£30,001 to £40,000	£230.00	£230.00	0.00%
£40,001 to £50,000	£260.00	£260.00	0.00%
£50,001 to £60,000	£290.00	£290.00	0.00%
For works valued over £60,000 please contact us			
<b><u>Full Plans Application: Inspection Fee</u></b>			
£0 to £5,000	Nil	Nil	
£5,001 to £10,000	Nil	Nil	
£10,001 to £15,000	£230.00	£230.00	0.00%
£15,001 to £20,000	£270.00	£270.00	0.00%
£20,001 to £30,000	£310.00	£310.00	0.00%
£30,001 to £40,000	£350.00	£350.00	0.00%
£40,001 to £50,000	£390.00	£390.00	0.00%
£50,001 to £60,000	£430.00	£430.00	0.00%
For works valued over £60,000 please contact us for a quote			
<b><u>Building Notice</u></b>			
£0 to £5,000	£240.00	£240.00	0.00%
£5,001 to £10,000	£305.00	£305.00	0.00%
£10,001 to £15,000	£370.00	£370.00	0.00%
£15,001 to £20,000	£440.00	£440.00	0.00%
£20,001 to £30,000	£510.00	£510.00	0.00%
£20,001 to £40,000	£580.00	£580.00	0.00%
£40,001 to £50,000	£650.00	£650.00	0.00%
£50,001 to £60,000	£720.00	£720.00	0.00%

For works valued over £60,000 please contact us for a quote

There is a 50% discount for replacement windows, replacement roof, garage conversion or other works up to £5,000 value if these works are taking place at the same time as a domestic extension.

For full plans applications the fees are split. The submission fee must be paid with the application.

The Inspection fee will be invoiced once the works have started or alternatively it can be paid with the submission fee.

Fees are inclusive of V.A.T.

	<b>Actual</b>	<b>Estimate</b>	<b>Estimate</b>	<b>Estimate</b>
<b>INCOME (Net of V.A.T.)</b>	<b>2018/19</b>	<b>2019/20</b>	<b>2019/20</b>	<b>2020/21</b>
<b>Building Control Fees</b>	<b>768,633</b>	<b>836,000</b>	<b>836,000</b>	<b>836,000</b>

**DEVELOPMENT****DEVELOPMENT CONTROL**

		<b>Charge From 2/1/19 £</b>	<b>Proposed Charge From 2/1/20 £</b>	
Permitted Development Enquiries (Self Assessment online free)		50.00	50.00	0.00%
Local Plan 2011-2029 Publication Draft		N/A	N/A	
<b>NEW:</b> Written requests relating to the Planning History of a Site		150.00	200.00	33.33%
<b><u>Pre-Application Advice Fees</u></b>				
<b>Tier 1:</b> Self service advice via the WDC website		No Charge	No charge	
<b>Tier2A:</b> Written response request if plan permission is required		50.00	100.00	100.00%
<b>Tier2B:</b> Request for a written response as to acceptability of a minor proposal	Householders	65.00	100.00	53.85%
	Other proposals	200.00	250.00	25.00%
<b>Tier2C:</b> Provision of verbal advice at the Development Management / Building Control householder drop in session		No Charge	No Charge	
<b>Tier 3:</b> Provision of pre-application advice for small scale non-householder proposals which do not fall with tiers 4 - 6				
	per meeting	200.00	300.00	50.00%
	written response	200.00	300.00	50.00%
	both	400.00	600.00	50.00%
<b>Tier 4:</b> Provision of pre-application advice for proposals which fall within the "minor" development category: i.e. residential proposals of 1 - 9 dwellings or involving a site area up to 0.5 ha; commercial proposals involving less than 1,000 sq. m of floor space or a site area of less than 1 ha				
	per meeting	400.00	600.00	50.00%
	written response	400.00	600.00	50.00%
	both	800.00	1,200.00	50.00%
<b>Tier 5:</b> Provision of pre-application advice for proposals which fall within the "small scale major" development category: i.e. residential proposals of 10 - 199 dwellings or involving a site area of 0.5 - 4 ha; commercial proposals involving between 1,000 and 9,999 sq. m of floor space or a site of 1 - 2 ha				
	per meeting	800.00	1,200.00	50.00%
	written response	800.00	1,200.00	50.00%
	both	1,600.00	2,400.00	50.00%
<b>Tier 6:</b> Provision of pre-application advice for proposals which fall within the "large scale major" development category: i.e. residential proposals of 200 or more dwellings or involving a site area of 4 ha or more; commercial proposals involving between 10,000 sq. m or more of floor space or a site of 2 ha				
	per meeting	1,200.00	1,800.00	50.00%
	written response	1,200.00	1,800.00	50.00%

both  
**DEVELOPMENT**

2,400.00

3,600.00

50.00%

**DEVELOPMENT CONTROL**

All fees are inclusive of V.A.T.

A fee will be charged for advice which:

- and apply to all development proposals including those following both the grant of outline planning permission (i.e. prior to the submission of reserved matters applications) and the refusal of planning permission.
- *For any specific development proposal, a fee will not be charged for the first round of advice (provided by means of either a written response or meeting) relating to proposals which:-*
  - are brought forward by small charitable organisations that are based within Warwick District where the proposal either i. falls within tiers 2 to 3 or ii where larger schemes falling within tiers 4 to 6 are proposed to directly benefit the users of *the charity*;
  - are for residential development and include *the provision of at least 90% affordable housing*.
  - assist disabled people: for example, proposals involving modifications to make a more accessible or user friendly.
  - require Listed Building consent (not including redevelopment schemes where the work to a Listed Building is part of a wider proposal).
  - are for employment development falling within the B use class.

	Actual	Estimate	Latest Estimate	Estimate
INCOME (Net of V.A.T.)	2018/19	2019/20	2019/20	2020/21
	£	£	£	£
Development Control	58,072	67,700	68,000	70,000

**DEVELOPMENT****Self-Build Homes Register**

To be included on the register, there will be an entry charge of £50 for Part 1 and £25 for Part 2. People entered on Part 1 of the register are to pay a higher fee as there is duty for local authorities to meet the demand on this part of the register. The fee is outside of the scope of VAT.

5.1 If an application to join the register is unsuccessful then the fee will be refunded in full.

5.2 After 12 months, entrants in part 1 are required to pay a renewal fee of £20 and re-register otherwise they will be removed.

	<b>Actual 2018/19 £</b>	<b>Estimate 2019/20 £</b>	<b>Estimate 2019/20 £</b>	<b>Estimate 2020/21 £</b>
<b>INCOME (Net of V.A.T.)</b>				
Self-build register	0	0	500	1,000

**ENTERPRISE TEAM**

Charge	Proposed Charge
From 1/4/19	From 1/4/20
£	£

**Court Street Creative Arches**

Annual Rent Excluding V.A.T. - which should be added at the prevailing rate.

All Units	Single or Double Arch	by negotiation	by negotiation
-----------	-----------------------	----------------	----------------

**Althorpe Enterprise Hub**

Office Tariff: Monthly Licence Fee (excluding V.A.T. - which should be added at the prevailing rate)

Includes Service Charge

Unit Number	No of Desks			
1	3	475	490	3.00%
2	3	497	512	3.00%
3	4	607	626	3.00%
4	3	541	557	3.00%
5	2	396	408	3.00%
6	2	362	372	3.00%
7	2	362	373	3.00%
8	2	362	373	3.00%
9	2	396	408	3.00%
10	3	541	557	3.00%
11	4	607	626	3.00%
12	3	453	466	3.00%
13	12	1,949	2,007	3.00%
14	3	534	550	3.00%
15	3	520	535	3.00%
16	3	534	550	3.00%
17	12	1,986	2,045	3.00%

Fees include service charge and 1 parking space - except Unit 12 which does not have parking allocated

**Conference Room Hire Charges (excluding V.A.T. - which should be added at the prevailing rate)****Althorpe Enterprise Hub Tenants:**

Per Hour		16.25	16.75	3.08%
Half Day	Morning 9.00 am to 12.30 pm	48.75	50.25	3.08%
	Afternoon 1.00 pm to 4.30 pm	48.75	50.25	3.08%

Full Day	9.00 am to 5.00 pm	97.50	100.50	3.08%
----------	--------------------	-------	--------	-------

**DEVELOPMENT**  
**ENTERPRISE TEAM**

<b>Charge From 1/4/19 £</b>	<b>Proposed Charge From 1/4/20 £</b>
-------------------------------------	--

Althorpe Enterprise Hub Other Organisations:

Half Day	Morning 9.00 am to 12.30 pm	65.00	67.00	3.08%
	Afternoon 1.00 pm to 4.30 pm	65.00	67.00	3.08%
Full Day	9.00 am to 5.00 pm	130.00	134.00	3.08%

NOTE: Times above are for guidance only and can be negotiated

Work Station Tariff (excluding V.A.T.- which should be added at the prevailing rate)

Daily Licence	22	NA
Weekly Licence	80	NA
Monthly Licence	290	NA

Subscription Packages (including V.A.T.)

Option 1 (16 hours per month)	31.00	NA
Option 2 (32 hours per month with added facilities)	74.00	NA
Option 3 (Unlimited hours with added facilities)	250.00	NA

	<b>Actual 2018/19 £</b>	<b>Estimate 2019/20 £</b>	<b>Latest Estimate 2019/20 £</b>	<b>Estimate 2020/21 £</b>
<b>INCOME (Net of V.A.T.)</b>				
<b>Enterprise Team</b>	<b>250,800</b>	<b>247,800</b>	<b>247,800</b>	<b>255,300</b>

**DEVELOPMENT****26 H.T.**

		<b>Charge</b>	<b>Proposed</b>	
		<b>From 1/4/19</b>	<b>Charge</b>	
		<b>£</b>	<b>From 1/4/20</b>	
			<b>£</b>	
Includes service charge				
Unit Number	No.of Desks			
1	8	871.17	897.31	3.00%
2	8	944.40	972.73	3.00%
3	3	394.94	406.79	3.00%
4	10	1,032.23	1,063.20	3.00%
5	5	514.15	529.57	3.00%
6	4	498.33	513.28	3.00%
7	4	498.33	513.28	3.00%

**COWork - Arch 4 (new project)**

		<b>Charge</b>	<b>Proposed</b>	
		<b>From 1/4/19</b>	<b>Charge</b>	
		<b>£</b>	<b>From 1/4/20</b>	
			<b>£</b>	
Pricing tariff - (including V.A.T.)				
Monthly subscription (cost per month)				
Dedicated desk package		270.00	270.00	0.00%
P.A.Y.G				
Per day		15.00	15.00	0.00%
Per half day		9.00	9.00	0.00%
Per hour		3.50	3.50	0.00%

**DEVELOPMENT  
MARKETS**

**MARKETS**

(Free of V.A.T. unless otherwise stated)

Farmers' Market charge per stall per market to stallholders:

- Warwick (4-5 per year)	33.00	33.00	0.00%
- Leamington	33.00	33.00	0.00%

Market Contractor charge per stall per market to stallholders:

- Leamington and Warwick	33.00	33.00	0.00%
- Kenilworth	29.25	29.25	0.00%

% of stall income due to Warwick District Council:

Number of Stalls:	%	%
Up to 29	20%	20%
Up to 39	25%	25%
Up to 49	30%	30%
Up to 59	35%	35%
60-79	40%	40%
Over 80	50%	50%

**INCOME (Net of V.A.T.)**

	<b>Actual 2018/19 £</b>	<b>Estimate 2019/20 £</b>	<b>Latest Estimate 2019/20 £</b>	<b>Estimate 2020/21 £</b>
<b>Total Markets</b>	<b>30,800</b>	<b>31,000</b>	<b>31,000</b>	<b>31,000</b>

<b><u>MISCELLANEOUS CHARGES</u></b>	<b>Charge From 2/1/19 £</b>	<b>Proposed Charge From 2/1/20 £</b>	
Ticketed Commercial Events (Exempt from VAT)	By negotiation	By negotiation	
Set-up and break-down days- percentage of day rates above (Exempt from VAT)	35%	35%	0.00%
Additional cleansing recharged at cost			
- per 6 cubic yard skip	56.00	56.00	0.00%
	+ VAT	+ VAT	
- per additional litter pick	20.50	20.50	0.00%
	+ VAT	+ VAT	
<b>Deposits:</b> (VAT not applicable)			
Charitable/Community events <250 people	100.00	100.00	0.00%
Other Charitable/Community events	250.00	250.00	0.00%
Commercial with 15 or under trading units	250.00	250.00	0.00%
Commercial with over 15 trading units	500.00	500.00	0.00%
Fairs with 5 or fewer rides	500.00	500.00	0.00%
Fairs with over 5 rides	1,000.00	1,000.00	0.00%
Deposits should be paid in advance and repaid after the event less cleaning/reinstatement costs (if appropriate)			
<b><u>CIRCUSES AND FAIRS - up to seven days</u></b>	1,850.00	1,850.00	0.00%
(Exempt from V.A.T.)			
Each additional day or part thereof (subject to negotiation and agreement by Heads of Finance and Cultural Services).	310.00	310.00	0.00%
<b><u>PUMP ROOM GARDENS CORNER SITE (per day):</u></b>	175.00	175.00	0.00%
(Exempt from V.A.T.)	minimum	minimum	
(Subject to negotiation and agreement by Heads of Finance & Cultural Services)			
Hire of North and South Lodges, Jephson Gardens (Per 3 Hours) (V.A.T. not applicable)	by negotiation	by negotiation	

	<b>Actual 2018/19 £</b>	<b>Estimate 2019/20 £</b>	<b>latest Estimate 2019/20 £</b>	<b>Estimate 2020/21 £</b>
<b>INCOME (Net of V.A.T.)</b>				
Circuses and Fairs	5,140	4,600	4,600	5,100
<b>Total Miscellaneous Charges</b>	<b>5,140</b>	<b>4,600</b>	<b>4,600</b>	<b>5,100</b>

<b><u>BOWLS - CHAMPIONSHIP PARKING</u></b>	<b>Charge From 2/1/19 £</b>	<b>Proposed Charge From 2/1/20 £</b>	
<b>Victoria Park:</b>			
Car Parking:			
- National Championship Bowls Events - per day	5.00	5.00	0.00%
- 5 Day Parking Pass	20.00	20.00	0.00%

	<b>Actual 2018/19 £</b>	<b>Estimate 2019/20 £</b>	<b>latest Estimate 2019/20 £</b>	<b>Estimate 2020/21 £</b>
<b>INCOME (Net of V.A.T.)</b>				
<b>Car Parking - Victoria Park -Bowls</b>	<b>16,300</b>	<b>16,800</b>	<b>16,300</b>	<b>16,300</b>

**DEVELOPMENT****LOCAL LAND CHARGES**

	Actual 2018/19 £	Estimate 2019/20 £	Latest Estimate 2019/20 £	Estimate 2020/21 £
Local Land Charges (ringfenced account)				
<a href="#">Local Land Charges</a>	117,416	145,000	111,000	115,000
<b>TOTAL LOCAL LAND CHARGES</b>	<b>117,416</b>	<b>145,000</b>	<b>111,000</b>	<b>115,000</b>

	Charge From 2/1/19 £	Proposed Charge From 2/1/20 £	
<b><u>Search Fee (non-electronic)</u></b>			
Full Search Fee (LLC1 & CON29R) LLC1	0.00	N/a	
CON29R Official Search (includes VAT)	96.00	96.00	0.00%

**Part II - Optional Enquiries**

CON290 (PARTII)	12.00	12.00	0.00%
CON290 (PARTII) Enquiry 22 (refer direct to County Council)	0.00	0.00	0.00%

**Other Work**

Additional (Non-standard) Questions	24.00	24.00	0.00%
Additonal land parcel (all search types)	12.00	12.00	0.00%

All of the above fees are outside the scope of V.A.T. unless otherwise stated.

	Actual 2018/19 £	Estimate 2019/20 £	latest Estimate 2019/20 £	Estimate 2020/21 £
<b>INCOME (Net of V.A.T.)</b>				
Local Land Charges (ringfenced account)	117,416	145,000	111,000	115,000

**DEVELOPMENT**

**LEGAL SERVICES**

	<b>Charge From 2/1/19 £</b>	<b>Proposed Charge From 2/1/20 £</b>
<b><u>CHARGES FOR LOCAL AUTHORITY LEGAL WORK</u></b>		
<b><u>Disposals, Licences, Easements, etc.</u></b>		
Disposals (excluding those on the open market)	At cost	At cost
Leases	At cost	At cost
Licences	At cost	At cost
Licence to plant in Highway - Initial Fee	At cost	At cost
Rights of Way / Easements	At cost	At cost
Licenses to Assign (Commercial / Residential)	At cost	At cost

(refer to County Council if possible)

**Mortgages**

Supply of Epitome and Abstract of Title: Photocopy charge	see below	see below	
Redemption of Mortgages	No charge	No charge	
Council entering into Conveyance releasing part of mortgaged property	At cost	At cost	
Postponement of Council's Discount provisions	85.00	88.00	3.53%
Release of one party to mortgage	240.00	250.00	4.17%
Applic for retrospective consents to Property Alterations	62.00	65.00	4.84%

**Miscellaneous Agreements concerning the Development of Land**

Sect 106 Agreements - Town & Country Plan Act 1990      available via website

**Photocopying (Inclusive of V.A.T.)**

A4 Single sided	0.10	0.11	10.00%
A4 Single sided - colour	0.80	0.88	10.00%
A4 Double sided	0.20	0.22	10.00%
A4 Double sided - colour	1.45	1.50	3.45%
A3 Single sided	0.20	0.22	10.00%
A3 Single sided - colour	1.65	1.80	9.09%
A3 Double sided	0.40	0.44	10.00%
A3 Double sided - colour	2.80	3.00	7.14%
A0 Plans	16.00	17.50	9.38%

A0 Plans - colour	58.25	60.00	3.00%
-------------------	-------	-------	-------

**HEALTH & COMMUNITY PROTECTION****LICENSING**

	Actual 2018/19 £	Estimate 2019/20 £	latest Estimate 2019/20 £	Estimate 2020/21 £
<b>Licensing and Registration (ringfenced account)</b>				
<a href="#">Licensing and Registration</a>	201,863	205,100	204,800	207,000
<b>Total Licensing and Registration</b>	<b>201,863</b>	<b>205,100</b>	<b>204,800</b>	<b>207,000</b>

**HEALTH & COMMUNITY PROTECTION****LICENSING**

<b><u>LICENSING and REGISTRATION:</u></b>	current Charge from 1/1/19 £	Total Charge From 2/1/20 £	
(V.A.T. not applicable)			
Hackney Carriage / Private Hire Licence +Horse Drawn Vehicles:			
Vehicle Licence (PH) - Application Fee	47.24	49.00	3.73%
Vehicle Licence (PH)	79.88	82.50	3.28%
Vehicle Licence (PH) Renewal- Application Fee	46.46	49.00	5.47%
Vehicle Licence Renewal (PH)	76.20	78.50	3.02%
2nd Vehicle Licence Renewal (PH) -	46.46	49.00	5.47%
2nd Vehicle Licence Renewal (PH) - licence	39.00	40.50	3.85%
Vehicle Licence (HC) - Application Fee	48.00	50.00	4.17%
Vehicle Licence (HC)	80.00	82.50	3.13%
Vehicle Licence (HC) Renewal- Application Fee	47.00	50.00	6.38%
Vehicle Licence Renewal (HC)	77.00	80.00	3.90%
2nd Vehicle Licence Renewal (HC) - app	47.00	50.00	6.38%
2nd Vehicle Licence Renewal (HC) - licence	38.50	40.00	3.90%
Vehicle Licence (PH) with Dispensation- Application Fee	49.48	51.00	3.07%
Vehicle Licence (PH) with Dispensation- Licence Fee	79.90	83.00	3.88%
2nd annual (PH) renewal with dispensation - app	47.07	51.00	8.35%
2nd annual (PH) renewal with dispensation - lic	39.95	42.00	5.13%
Renewing Vehicle Licence with Dispensation (PH)- app	47.07	51.00	8.35%
Renewing Vehicle Licence with Dispensation (PH)- licence	76.20	80.50	5.64%
2nd Vehicle Licence Renewal with Dispensation (HC) - New char	78.10	83.50	6.91%
Vehicle Licence - Transfer of Vehicle	38.00	40.75	7.24%
Medical Administration fee (included with new/renewal applicat	17.00	18.00	5.88%
Annual Medical (without Application)	19.00	20.00	5.26%
HC/PH driver licence - grant 3years (new) -application	102.00	106.00	3.92%
HC/PH driver licence - grant 3years (new) - licence	244.41	252.00	3.11%
HC/PH driver licence - renewal 3years (new) -application	90.30	92.00	1.88%
HC/PH driver licence - renewal 3years (new) - licence	245.00	252.00	2.86%
Replacement Driver's Badge	30.00	32.00	6.67%
Replacement Driver's or Vehicle's Paper Licence	18.00	20.00	11.11%
Replacement Drivers Dashboard ID	35.00	37.00	5.71%
Replacement Vehicle Plate	22.00	25.00	13.64%

New Driver's Knowledge Test	70.00	72.00	2.86%
Private Hire Operator's Licence (5year) - New Application	101.00	105.00	3.96%
Private Hire Operator's (5year) -Licence	765.00	780.00	1.96%
Private Hire Operator's Licence (5year) -renew Application	46.00	55.00	19.57%
Private Hire Operator's (5year) - Renew Licence	765.00	780.00	1.96%

**HEALTH & COMMUNITY PROTECTION**

**LICENSING**

	<b>current Charge</b>	<b>Total Charge From 2/1/20</b>	
<b><u>LICENSING and REGISTRATION:</u></b>			
(V.A.T. not applicable)	<b>£</b>		<b>£</b>
DBS Check	68.00	75.00	10.29%
Local Government (Misc. Provisions) Act 1982			
Sex Establishments Licence - new Application	2,300.00	2,450.00	6.52%
Sex Establishments Licence - new Licence	4,500.00	4,650.00	3.33%
Sex Establishments Licence -renewal Application	2,150.00	2,300.00	6.98%
Sex Establishments Licence -renewal Licence	4,500.00	4,650.00	3.33%
Transfer	2,100.00	2,250.00	7.14%
Variation	2,100.00	2,250.00	7.14%
Street Trading Consent Licence:			
Static Pitch - new application	68.00	75.00	10.29%
Static Pitch - licence	200.00	210.00	5.00%
Touring Pitch - new application	64.00	70.00	9.38%
Touring Pitch - licence	190.00	200.00	5.26%
Day Trading	56.00	60.00	7.14%
Group Trading			
Category 1 (up to 20)	84.00	100.00	19.05%
Category 2 (21 to 49)	100.00	125.00	25.00%
Category 3 (50 to 75)	114.00	150.00	31.58%
Category 4 (76 to 99)	128.00	175.00	36.72%
Category 5 (over 100 traders)	137.00	200.00	45.99%
Transfer of Consent	39.00	40.00	2.56%
Variation to Consent	57.00	60.00	5.26%
Replacement Badge	18.00	25.00	38.89%
Replacement Paper Consent	17.00	20.00	17.65%
Additional Employee	38.00	40.00	5.26%
Small Lotteries - renewal	20.00	20.00	0.00%
Small Lotteries -new	40.00	40.00	0.00%
Scrap Metal			
Site Licence (3 year)	767.00	795.00	3.65%
Additional Site licence	643.00	665.00	3.42%
Renewal of Site licence	642.00	666.00	3.74%
Variation of Site licence	71.00	75.00	5.63%
Collectors licence (renewal) -	594.00	615.00	3.54%
Collectors Licence (3 year)	619.00	640.00	3.39%
Variation Collectors Licence	71.00	75.00	5.63%
Replace or copy licences	18.00	20.00	11.11%

**APPENDIX A36**

Change of licence details (trading name, address etc.)	15.00	30.00	100.00%
Change of site manager	63.00	70.00	11.11%
Change of site	151.00	155.00	2.65%
Replacement ID Badge	19.00	30.00	57.89%

**HEALTH & COMMUNITY PROTECTION**

	Actual 2018/19 £	Estimate 2019/20 £	latest Estimate 2019/20 £	Estimate 2020/21 £
<b>INCOME (Net of V.A.T.)</b>				
Sex Establishments	14,262	6,600	6,600	7,000
Consent for Street Trading	8,465	6,500	6,500	7,000
Small Lotteries	1,940	2,000	2,000	2,000
Hackney Carriages / Private Hire	176,167	189,000	189,000	190,000
Scrap Metal	1,029	1,000	700	1,000
<b>Total Licences</b>	<b>201,863</b>	<b>205,100</b>	<b>204,800</b>	<b>207,000</b>

**HEALTH & COMMUNITY PROTECTION**

	<b>Actual 2018/19 £</b>	<b>Estimate 2019/20 £</b>	<b>latest Estimate 2019/20 £</b>	<b>Estimate 2020/21 £</b>
<b>Licensing</b>	<b>201,863</b>	<b>205,100</b>	<b>204,800</b>	<b>207,000</b>
<b>Environmental Health:</b>				
<a href="#">Pest Control</a>	1,427	3,200	2,100	2,100
<a href="#">Food Safety</a>	0	100	100	2,700
<a href="#">Pollution Control</a>	1,457	1,500	1,500	1,500
<a href="#">Licensing</a>	17,174	11,700	13,500	18,400
<b>Total Environmental Health</b>	<b>20,058</b>	<b>16,500</b>	<b>17,200</b>	<b>24,700</b>
<b>TOTAL HEALTH &amp; COMM PROT</b>	<b>221,921</b>	<b>221,600</b>	<b>222,000</b>	<b>231,700</b>

**HEALTH & COMMUNITY PROTECTION****ENVIRONMENTAL HEALTH****PEST CONTROL**

(Inclusive of V.A.T.)

Charge From 2/1/19 £	Proposed Charge From 2/1/20 £
----------------------------	--

**RODENT CONTROL:**

(Control of Rat &amp; Mice Infestation)

**Non Domestic Premises (without contract):**

- One man and van per hour	87.00	90.00	3.45%
- Two men and van per hour	115.00	119.00	3.48%

**Domestic Premises:**

<u>Rat Infestation</u>	Free	78.00	New
------------------------	------	-------	-----

**Mice Infestation:**

- Standard Charge	76.00	78.00	2.63%
- Persons in receipt of Inc Support or Job seekers Allowance	Free	Free	
Persons in receipt of a State pension/Pension Credits	38.00	39.00	2.63%
Persons Registered Disabled	38.00	39.00	2.63%

**TREATMENT FOR OTHER PESTS:**

- Standard Charge			
- Bedbugs	81.00	84.00	3.70%
- Fleas and Cockroaches	81.00	84.00	3.70%
- Persons in receipt of Inc Support or Job seekers Allowance	Free	Free	
Persons in receipt of a State pension/Pension Credits	41.00	42.00	2.44%
Persons Registered Disabled	41.00	42.00	2.44%

**STRAY DOGS:**

- Administration charge for processing stray dogs	26.00	27.00	3.85%
- Dog fouling fixed penalty - <b>this is a fixed Statutory charge</b>	50.00	50.00	0.00%

	Actual 2018/19 £	Estimate 2019/20 £	latest Estimate 2019/20 £	Estimate 2020/21 £
<b>INCOME (Net of V.A.T.)</b>				
Pest Control	1,427	3,200	2,100	2,100
Stray Dogs processing- administration	325	800	500	500
Dog Fouling Fixed Penalty	0	300	100	100

Total Pest Control	1,752	4,300	2,700	2,700
--------------------	-------	-------	-------	-------

**HEALTH & COMMUNITY PROTECTION****ENVIRONMENTAL HEALTH**

	Charge From 2/1/19 £	Proposed Charge From 2/1/20 £	
<b><u>FOOD SAFETY:</u></b>			
Food Inspection:			
- Non-Statutory Inspections	126.00	180.00	42.86%

	Actual 2018/19 £	Estimate 2019/20 £	latest Estimate 2019/20 £	Estimate 2020/21 £
<b>INCOME (Net of V.A.T.)</b>				
Total Food Safety Charges	0	100	100	2,700

	Charge From 2/1/19 £	Proposed Charge From 2/1/20 £	
<b><u>POLLUTION CONTROL:</u></b>			
Contaminated Land Search	101.00	104.00	2.97%

	Actual 2018/19 £	Estimate 2019/20 £	latest Estimate 2019/20 £	Estimate 2020/21 £
<b>INCOME (Net of V.A.T.)</b>				
Total Pollution Control Charges	1,457	1,500	1,500	1,500

**HEALTH & COMMUNITY PROTECTION****ENVIRONMENTAL HEALTH**

	<b>Charge From 2/1/19 £</b>	<b>Proposed Charge From 2/1/20 £</b>	
<b><u>LICENSING</u></b>			
(V.A.T. not applicable)			
Dangerous Wild Animals Act	428.40	441.00	2.94%
New Zoo Licence (5yr)	1,400.00	1,442.00	3.00%
Renewal Zoo Licence (6 years)	1,600.00	1,648.00	3.00%
<b><u>Animal Health Licence -from 1/10/18</u></b>	from 1/10/18		
Animal Health Application Fee	100.00	see below	
plus licence fee x no of years(+ vets fees if applicable)	100.00	see below	
Home Boarding Licence	100.00	see below	
Commercial Boarding Licence (1-25 cats/dogs)	150.00	see below	
Commercial Boarding Licence (26 or more cats/dogs)	200.00	see below	
Pet Shop Licence	200.00	see below	
Exhibition Licence	120.00	see below	
<b><u>Riding/breeding Licences - from 1/10/18</u></b>	from 1/10/18	see below	
Animal Health Application Fee + vets fees	125.00	see below	
Horse Riding Establishments Licence (1-15 horses)	150.00	see below	
Horse Riding Establishments Licence (16 or more horses)	170.00	see below	
Dog Breeding Licence (1 to 10 bitches)	110.00	see below	
Dog Breeding Licence (11 or more bitches)	150.00	see below	
<b>Animal Welfare Licence</b>	2019	Proposed 2020	
<b>Home/Day Boarder</b>			
Application fee	100	150	50.00%
Licence Fee 1 yr	100	100	0.00%
Licence Fee 2 yr	200	140	-30.00%
Licence Fee 3 yr	300	180	-40.00%
Additional Host (franchise) added to Application fee		60	
<b>Commercial Boarding (A) (1-25 dogs)</b>			
Application fee	100	200	100.00%
Licence Fee 1 yr	150	130	-13.33%
Licence Fee 2 yr	300	170	-43.33%
Licence Fee 3 yr	450	210	-53.33%
<b>Commercial Boarding (B) (more than 25 dogs)</b>			
Application fee	100	250	150.00%
Licence Fee 1 yr	200	130	-35.00%
Licence Fee 2 yr	400	170	-57.50%
Licence Fee 3 yr	600	210	-65.00%

Application fee	100	300	200.00%
Licence Fee 1 yr	200	130	-35.00%
Licence Fee 2 yr	400	170	-57.50%
Licence Fee 3 yr	600	210	-65.00%

**Exhibition & Performance Licence**

Application fee	100	200	100.00%
Licence Fee 3 yr	120	100	-16.67%

**Hiring of Horses A (1-16)**

Application fee	125	200	60.00%
Licence Fee 1 yr	150	130	-13.33%
Licence Fee 2 yr	300	230	-23.33%
Licence Fee 3 yr	450	330	-26.67%

**Hiring of Horses B (17 or more)**

Application fee	125	250	100.00%
Licence Fee 1 yr	170	130	-23.53%
Licence Fee 2 yr	340	230	-32.35%
Licence Fee 3 yr	510	330	-35.29%

**Dog Breeding Licence A (1 to 10 bitches)**

Application fee	125	200	60.00%
Licence Fee 1 yr	110	130	18.18%
Licence Fee 2 yr	220	170	-22.73%
Licence Fee 3 yr	330	210	-36.36%

**Dog Breeding Licence B (11 or more bitches)**

Application fee	125	250	100.00%
Licence Fee 1 yr	150	130	-13.33%
Licence Fee 2 yr	300	170	-43.33%
Licence Fee 3 yr	450	210	-53.33%

Variations (charge depends on nature of variation and if a visit is required)from

40

Requests for re-inspections

180

**Any vets charges accrued are charged back to the applicant**

Local Government (Misc. Provisions) Act 1982

Premises Registration Ear Piercing, Tattooing (Application)	140.00	150.00	7.14%
Premises Registration Ear Piercing, Tattooing (Licence Fee)	110.00	120.00	9.09%
Personal Registration Electrolysis, Acupuncture (Application)	100.00	110.00	10.00%
Personal Registration Electrolysis, Acupuncture (Licence Fee)	110.00	120.00	9.09%
Temporary Tattoo Events - Cost per Day			
Temp Event Premises registration (per business) -Applic	60.00	70.00	16.67%
Temp Event Premises reg (per business at event) -Licence	110.00	120.00	9.09%

Variations to above licences (From) - new charge	30.00	35.00	16.67%
--	-------	-------	--------

	Actual 2018/19 £	Estimate 2019/20 £	latest Estimate 2019/20 £	Estimate 2020/21 £
<b>INCOME (Net of V.A.T.)</b>				
Total Licensing - Skin Piercing/Tattooing	5,564	2,800	4,500	3,500
Riding Establishments	2,130	2,600	2,600	4,000
Zoos	0	0	0	0
Animal Boarding Establishments	6,608	5,100	5,100	9,000
Animal Breeding	1,952	400	500	1,000
Pet Shops	600	400	400	500
Exhibit/Performing Animals	320	400	400	400
<b>Total Licensing</b>	<b>17,174</b>	<b>11,700</b>	<b>13,500</b>	<b>18,400</b>

**HOUSING**

	<b>Actual 2018/19 £</b>	<b>Estimate 2019/20 £</b>	<b>latest Estimate 2019/20 £</b>	<b>Estimate 2020/21 £</b>
<b>Private Sector Housing Renewal</b>				
<a href="#">Improvement Grants Admin</a>	84,800	84,800	84,800	84,800
<b>TOTAL HOUSING and PROPERTY</b>	<b>84,800</b>	<b>84,800</b>	<b>84,800</b>	<b>84,800</b>

	<b>Proposed Charge From 2/1/19 £</b>	<b>Proposed Charge From 2/1/20 £</b>
Charges for The Administration of Improvement Grants	at cost	at cost
Home Improvement Agency fee	12.5% of cost + 12.5% of cost of works (w.e.f 1/4/17)	
Immigration Inspection Fee	£133.80 + VAT	137.8 + VAT
Statutory Notice Administrative Fee	at cost	at cost

	<b>Actual 2018/19 £</b>	<b>Estimate 2019/20 £</b>	<b>latest Estimate 2019/20 £</b>	<b>Estimate 2020/21 £</b>
<b>INCOME (Net of V.A.T.)</b>				
<b>Improvement Grant Admin. Charges</b>	<b>84,800</b>	<b>84,800</b>	<b>84,800</b>	<b>84,800</b>

**HOUSING****Housing in Multiple Occupation Licensing**

		Charge From 2/1/19 £	Charge From 2/1/20 £	
<b><u>New Applications:</u></b>	<b><u>Number of Occupants</u></b>			
Full Fee	5 only	832.00	857.00	3.00%
	6 to 12	963.00	992.00	3.01%
	13 to 20	1,103.00	1,136.00	2.99%
	21+	1,275.00	1,313.00	2.98%
Multiple Discounted Fee *				
	5 only	801.00	825.00	3.00%
	6 to 12	924.00	952.00	3.03%
	13 to 20	1,067.00	1,099.00	3.00%
	21+	1,233.00	1,270.00	3.00%
<b><u>Licence Renewal Fees:</u></b>				
Full Fee	5 only	616.00	634.00	2.92%
	6 to 12	707.00	728.00	2.97%
	13 to 20	814.00	838.00	2.95%
	21+	936.00	964.00	2.99%
Multiple Discounted Fee *	5 only	577.00	594.00	2.95%
	6 to 12	671.00	691.00	2.98%
	13 to 20	777.00	800.00	2.96%
	21+	900.00	927.00	3.00%

\* Payable for any application beyond initial application

Late Licence Application Fee (after initial reminder letter)	107.00	110.00	2.80%
--	--------	--------	-------

Appointment of Manager Fee:	Manager Fee	55.60	57.20	2.88%
	Discounted Fee**	29.60	30.50	3.04%

\*\* Payable where manager has been 'fit and proper person' checked in the last 5 years

Administrative Charges:				
Repeat requests for documents		53.90	55.50	2.97%
Finder's Fee for unlicensed HMO (penalty)		159.00	163.00	2.52%
(If the landlord/owner has failed to notify wdc of the licensable HMO)				
Photocopying Charges:	Additional copying	5.40	5.50	1.85%
	(Per Document)			

**Mobile Homes Act 2013 Fees****Mobile Home Site New Application/Variation Fee**

sites with up to 10 units	274.00	282.00	2.92%
sites with 11 to 50 units	306.00	315.00	2.94%
sites with 51 to 100 units	339.00	349.00	2.95%
sites with more than 100 units	at cost		

**Mobile Home Site Annual Inspection Fee**

sites with up to 10 units	219.00	225.00	2.74%
sites with 11 to 50 units	252.00	259.00	2.78%
sites with 51 to 100 units	283.50	292.00	3.00%
sites with more than 100 units			

Mobile Home Site Re-inspection Fee	81.00	83.00	2.47%
Mobile Home Site Administrative Fee	32.50	33.50	3.08%

**NEIGHBOURHOOD**

	<b>Actual 2018/19 £</b>	<b>Estimate 2019/20 £</b>	<b>latest Estimate 2019/20 £</b>	<b>Estimate 2020/21 £</b>
<b>Car Parking</b>				
<a href="#">Car Parking</a>	3,219,200	3,220,100	3,220,000	3,418,500
<b>Total Car Parking</b>	<u>3,219,200</u>	<u>3,220,100</u>	<u>3,220,000</u>	<u>3,418,500</u>
<b>Waste Collection:</b>				
<a href="#">Refuse Collection</a>	166,341	146,000	146,000	150,800
<b>Total Waste Collection</b>	<u>166,341</u>	<u>146,000</u>	<u>146,000</u>	<u>150,800</u>
<b>Bereavement Services:</b>				
<a href="#">Cemeteries</a>	331,415	445,300	388,100	412,900
<a href="#">Crematorium</a>	1,359,613	1,385,200	1,410,800	1,521,700
<b>Total Bereavement Services</b>	<u>1,691,028</u>	<u>1,830,500</u>	<u>1,798,900</u>	<u>1,934,600</u>
<b>TOTAL NEIGHBOURHOOD</b>	<u>5,076,569</u>	<u>5,196,600</u>	<u>5,164,900</u>	<u>5,503,900</u>

**BEREAVEMENT SERVICES**

**CEMETERIES**

(Free of V.A.T. unless otherwise stated)

**SALE OF BURIAL RIGHTS \* (For a period of 50 years)**

	<b>Charge From 2/1/19 £</b>	<b>Proposed Charge From 2/1/20 £</b>	
Each Grave - Area without kerbstones	see below		
Each Grave - Area with kerbstones	see below		
Standard grave with/without kerbstone for coffin/casket 6'9" x 25"	1,200.00	1,320.00	10.00%
Large Grave	1,550.00	1,700.00	9.68%
Selection Fee (Grave space chosen out of rotation)	360.00	370.00	2.78%
Selection Fee (Grave space chosen out of rotation) for child	135.00	150.00	11.11%
Child's grave	530.00	550.00	3.77%
Half size grave for Cremated Remains	530.00	550.00	3.77%
Exclusive Burial Rights - Garden of Remembrance	225.00	250.00	11.11%
Extension of expired rights (standard* grave 5 year extension)	120.00	124.00	3.33%

\* extension of expired rights for non-standard size graves will be calculated pro-rata per square foot.

Graves purchased for future use will be charged out of rotation fee in addition to the fee for the exclusive right of burial

**INTERMENT \***

Person aged 17 years and above :			
Adult interment (irrespective of depth)	830.00	900.00	8.43%
Cremated Remains	160.00	190.00	18.75%
Cremated Remains - St. Nicholas Church Yard	160.00	190.00	18.75%
Interment in Existing Vault	220.00	230.00	4.55%
Children :			
Still-born to not exceeding 1 month (Parents are resident in WDC area no charge			
Still-born to not exceeding 1 month (Parents NOT resident in WDC are	110.00	115.00	4.55%
Child aged between 1 month & 16 years (parents resident in WDC are: no charge			
Child aged between 1 month & 16 yrs (parents not resident in WDC are:	110.00	115.00	4.55%
Woodland Burial (Oakley Wood)	1,300.00	1,300.00	0.00%
Surcharge of 50% for non-residents			

**MEMORIAL FEES :**

Headstone and other memorials up to 3' 6" - incl 1st inscript	210.00	220.00	4.76%
Vase and other memorials under 1' 0" - incl 1st inscript	210.00	220.00	4.76%
Additional Inscription	80.00	100.00	25.00%
Kerbstones			
Kerbset memorials (including the first inscription)	410.00	420.00	2.44%

**OTHER CHARGES:**

Manual search of Burial Registers (per 30mins or part thereof			
	40.00	45.00	12.50%
- Includes email confirmation of details.			
	55.00	65.00	18.18%
- Includes confirmation of details sent by post			

**BEREAVEMENT SERVICES**

<b><u>CEMETERIES</u></b>	<b>Charge From 2/1/19</b>	<b>Proposed Charge From 2/1/20</b>	
Use of Kenilworth Cemetery Chapel	110.00	115.00	4.55%
Late arrival(charged after 10mins + for every subsequent 15mins)	140.00	150.00	7.14%
Transfer exclusive right of burial	70.00	80.00	14.29%
Preparing documents for relinquish of grant (new fee)	70.00	80.00	14.29%
Marking out grave (new fee)	45.00	50.00	11.11%
Temporary grave marker (request delegated authority to Head of Service in conjunction with portfolio holder)			
Late deliv of burial paperwork (after 10am,3 working days prior to buria	50.00	55.00	10.00%
Late cancellation of burial (after 10am, 3 working days prior to burial)	180.00	200.00	11.11%
Very Late cancellation of burial-if excavation has already been carried full cost of interment			
Late notification of coffin size or incorrect coffin size supplied (after 10am, 3 working days prior to burial)	180.00	200.00	11.11%
<b>Personal Delivery of cremated remains to Cemetery</b>		<b>100.00</b>	
<b>* Surcharge of 200% for non-residents on sale of burial rights and interments</b>			

	<b>Actual 2018/19 £</b>	<b>Estimate 2019/20 £</b>	<b>latest Estimate 2019/20 £</b>	<b>Estimate 2020/21 £</b>
<b>INCOME (Net of V.A.T.)</b>				
Burial Rights	132,545	234,700	176,500	187,900
Interments	156,675	170,900	160,000	170,000
Memorials	42,195	39,700	44,200	46,900
Cemeteries - other	6,718	6,300	7,400	8,100
<i>Interments Addit Surcharge (Reserve Item)</i>	7,179	N/A	N/A	N/A
<i>Burial Rights Add Surcharge (Reserve Item)</i>	6,135	N/A	N/A	N/A
<b>Total Cemeteries</b>	<b>331,415</b>	<b>445,300</b>	<b>388,100</b>	<b>412,900</b>

**BEREAVEMENT SERVICES**

	<b>Charge From 2/1/19 £</b>	<b>Proposed Charge From 2/1/20 £</b>	
<b><u>CREMATORIUM</u></b>			
(Free of V.A.T. unless otherwise stated)			
<b><u>CREMATION FEE: (Including use of music system and/or Organ)</u></b>			
Foetal remains and still-born to 1 month ( parent resident in WDC)	No charge	No charge	
Foetal remains and still-born to 1 month (parent NOT resident in WDC)	130.00	135.00	3.85%
Child - aged between 1 month and 16 years ( parent resident in WDC)	No charge	No charge	
Child - aged between 1 month and 16 years (parent not resident in WDC)	130.00	135.00	3.85%
Person aged 17 years and above	720.00	800.00	11.11%
Person aged 17 years and above - non-resident	720.00	800.00	11.11%
Body Parts	130.00	135.00	3.85%
Additional Service Time - per half hour	125.00	150.00	20.00%
Late arrival	140.00	180.00	28.57%
Communal cremation of foetal remains (PER COFFIN)	130.00	135.00	3.85%
Cremation where there is no service	535.00	555.00	3.74%
Premium on top of cremation fee for Saturday service	180.00	190.00	5.56%
Child - aged between 1 month and 16 years (parent resident in WDC)	No charge	No charge	
Child- aged between 1 month and 16 years (parent NOT resident in WDC)	130.00	135.00	3.85%

**CASKETS AND CONTAINERS**

Full size caskets (excluding name plate)

Miniature keepsake urns (From)

**Request delegated authority to Head of Service in conjunction with Portfolio Holder****OTHER SERVICES**

Disposal of remains from other Crematoria	78.00	85.00	8.97%
Certified copy of an entry in the Cremation register	11.00	12.00	9.09%
Temporary retention of Cremated Remains (per month) - chargeable from the third month following Cremation service	26.00	27.00	3.85%
Despatch of Cremated Remains by courier	190.00	200.00	5.26%
Duplicate certificate for cremated remains	11.00	12.00	9.09%
Late arrival of paperwork (after 10am, 2 working days prior to cremation)	50.00	55.00	10.00%
Late cancellation of service (after 10am, 2 working days prior to cremation)	180.00	200.00	11.11%

**BOOK OF REMEMBRANCE (inclusive of VAT)**

2 Line Inscription	100.00	110.00	10.00%
5 Line Inscription	140.00	150.00	7.14%
8 Line Inscription	180.00	200.00	11.11%
Crests, etc.	80.00	85.00	6.25%

**REMEMBRANCE CARDS (inclusive of VAT)**

With 2 Line Inscription	50.00	55.00	10.00%
With 5 Line Inscription	70.00	75.00	7.14%
With 8 Line Inscription	90.00	100.00	11.11%
Crests, etc.	80.00	85.00	6.25%

**BEREAVEMENT SERVICES****CREMATORIUM**

(Free of V.A.T. unless otherwise stated)

**MEMORIAL GARDEN (inclusive of VAT):**

	<b>Charge From 2/1/19 £</b>	<b>Proposed Charge From 2/1/20 £</b>	
Sanctum 2000 Unit	- Supply and 10 year lease including inscription of up to 80 letters	835.00	900.00 7.78%
	- Additional 10 year lease	265.00	300.00 13.21%
	- New plaque ( up to 80 letters)	265.00	325.00 22.64%
	- Inscribed designs A	150.00	180.00 20.00%
	- Inscribed designs B	200.00	225.00 12.50%
	- each additional letter	2.80	3.50 25.00%
	- refurbish existing plaque	145.00	200.00 37.93%
	- 2nd interment -80 letters inscrip	265.00	280.00 5.66%
Refurbished columbaria with new plaque and 10 year lease		630.00	660.00 4.76%
Vase Block and Inscribed relief tablet -Supply and 10 year lease		460.00	500.00 8.70%
	- Additional 10 year lease	140.00	150.00 7.14%
	New plaque (relief)	145.00	155.00 6.90%
	new plaque (gilded)	150.00	160.00 6.67%
	- refurbish existing plaque	Cost + 20%	
Refurbished vase with new plaque and 10 year lease		285.00	310.00 8.77%
Wooden Memorial Benches		1,250.00	1,300.00 4.00%
Granite Memorial Benches (with one plaque)		1,150.00	1,250.00 8.70%
Granite Memorial Bench (with two plaques)		1,250.00	1,350.00 8.00%
Granite Memorial Bench (with three plaques)		1,350.00	1,450.00 7.41%
Plaque on communal memorial bench		300.00	350.00 16.67%
Refurbish memorial bench	Cost + 20%	Cost + 20%	
Memorial tree	Cost + 20%	Cost + 20%	
Habitat memorial (eg bird or bat box)		120.00	150.00 25.00%
Sustainable plaque scheme		300.00	330.00 10.00%

Any other type of commemoration

**Request delegated authority to Head of Service in conjunction with Portfolio Holder**

**BEREAVEMENT SERVICES**

	Actual	Estimate	latest Estimate	Estimate
<b>INCOME (Net of V.A.T.)</b>	<b>2018/19</b>	<b>2019/20</b>	<b>2019/20</b>	<b>2020/21</b>
	<b>£</b>	<b>£</b>	<b>£</b>	<b>£</b>
Cremation	1,329,041	1,346,200	1,374,100	1,482,800
Book of Remembrance & Rememb Cards	18,855	28,500	24,600	26,100
Memorial Garden	11,717	10,500	12,100	12,800
<b>Total Crematorium</b>	<b>1,359,613</b>	<b>1,385,200</b>	<b>1,410,800</b>	<b>1,521,700</b>
<b>Bereavement Services:</b>				
<a href="#">Cemeteries</a>	331,415	445,300	388,100	412,900
<a href="#">Crematorium</a>	1,359,613	1,385,200	1,410,800	1,521,700
<b>Total Bereavement Services</b>	<b>1,691,028</b>	<b>1,830,500</b>	<b>1,798,900</b>	<b>1,934,600</b>

**NEIGHBOURHOOD**  
**PARKING SERVICES**

**LEAMINGTON**

	Charge From 1/4/19 £	Proposed Charge From 2/1/20 £	
<b>Linear charges - - 6 minutes for £0.10 still active from minimum vend</b>			
Bedford St, Chandos St, Covent Garden Surface			
7 Day a week charges			
30 minutes	0.50	0.50	0.00%
1 Hour	1.00	1.00	0.00%
2 hours (new minimum charge)	2.00	2.00	0.00%
3 hours	3.00	3.00	0.00%
4 hour Maximum	4.00	4.00	0.00%
Overnight Charge	1.00	1.50	50.00%
Adelaide Bridge has no overnight charge and free on Sundays			
Rosefield St except free on Sundays			
30 minutes	0.50	0.50	0.00%
1 Hour	1.00	1.00	0.00%
2 hours	2.00	2.00	0.00%
3 hours	3.00	3.00	0.00%
4 hours	4.00	4.00	0.00%
4.5 to all day	4.50	5.00	11.11%
Overnight Charge	1.00	1.50	50.00%
<b>Linear charges -old town - 12minutes for £0.10</b>			
(Bath Place, Court St, Packington Place car parks, free on Sundays)			
30 minutes	0.30	0.30	0.00%
1 Hour	0.50	0.50	0.00%
2 hours	1.00	1.00	0.00%
3 hours	1.50	1.50	0.00%
4 hours	2.00	2.00	0.00%
24 hours	4.50	4.50	0.00%
Overnight Charge	1.00	1.50	50.00%
Sundays	Free	Free	
<b>Multi-storey: Royal Priors</b>			
up to 3 hours	2.00	2.00	0.00%
3 to 4 hours	3.50	3.50	0.00%
4 to 6 hours	5.50	5.50	0.00%
15-24 hours	8.00	8.00	0.00%
Sundays	1.20	1.20	0.00%

**PARKING SERVICES**

	<b>Charge From 1/4/19 £</b>	<b>Proposed Charge From 2/1/20 £</b>	
<b>Linear charges - Pay on foot</b>			
<b>Pay on Foot: Covent Garden multi-storey car park - 7 days a week charging</b>			
30 minutes	0.50	0.50	0.00%
1 Hour	1.00	1.00	0.00%
2 hours	2.00	2.00	0.00%
All day charge	3.00	3.00	0.00%
Overnight Charge	1.00	1.50	50.00%
 Linear charges - Pay on foot - 30 minutes for £0.50			
<b>Pay on Foot: St. Peter's multi-storey car park - 7 days a week charging</b>			
30 minutes	0.50	0.50	0.00%
1 hour	1.00	1.00	0.00%
2 hours	2.00	2.00	0.00%
3 hours	3.00	3.00	0.00%
4 hours	4.50	4.50	0.00%
4.5 to 24 hours	4.50	5.00	11.11%
Overnight Charge 6pm until 8am	1.00	1.50	50.00%
 Station Approach (Lower Road)			
30 minutes	0.30	0.30	0.00%
1 Hour	0.50	0.50	0.00%
2 hours	1.00	1.00	0.00%
3 hours	1.50	1.50	0.00%
4 hours	2.00	2.00	0.00%
4.5 to all day	4.50	4.50	0.00%
Overnight Charge	1.00	1.50	50.00%

**PARKING SERVICES**

	<b>Charge</b>	<b>Proposed</b>	
	<b>From 1/4/19</b>	<b>Charge</b>	
	<b>£</b>	<b>From 2/1/20</b>	
		<b>£</b>	

**KENILWORTH**

**Linear charges - Kenilworth - was 12minutes for £0.10 now 10minutes for 10p**

**Abbey End & Square West car parks - Free on Sundays**

30 minutes	0.30	0.40	33.33%
1 Hour	0.60	0.80	33.33%
2 hours	1.20	1.50	25.00%
3 hours	1.80	2.00	11.11%
4 hours	2.40	2.50	4.17%
All day	4.00	4.50	12.50%
Overnight Charge 6pm to 8am	1.00	1.50	50.00%
Sundays	Free	Free	

**ABBEY FIELDS (Linear Charge was 12 minutes for 10p now 10minutes for 10p) Free on Sundays**

Up to 2 hours	Free		
3 hours	1.80	2.00	11.11%
4 hours	2.40	2.50	4.17%
All day	4.00	4.50	12.50%
Overnight Charge 6pm to 8am	1.00	1.50	50.00%
Sundays	Free	Free	

**WARWICK**

**St. Nicholas Park: (Charges apply 8am - 6pm)**

**Linear charges: 6 minutes for £0.10**

30 minutes	0.50	0.50	0.00%
1 hour	1.00	1.00	0.00%
2 hours	2.00	2.00	0.00%
3 hours	3.00	3.00	0.00%
4.5 hours	4.00	4.00	0.00%
4.5 to 24 hours	4.50	5.00	11.11%

**Castle Lane, The Butts, Priory Road and West Rock**

**Linear Charges: 6 minutes for £0.10**

30 minutes	0.50	0.50	0.00%
1 hour	1.00	1.00	0.00%
2 hours	2.00	2.00	0.00%
3 hours	3.00	3.00	0.00%
4 hours	4.00	4.00	0.00%
4.5 to 24 hours	4.50	5.00	11.11%

**Linen Street, West Rock, West Gate, New Street, The Butts, Priory Road, Castle Lane car parks:**

Overnight charges (6pm - 8 am)	1.00	1.50	50.00%
--------------------------------	------	------	--------

**PARKING SERVICES**

	Charge From 1/4/19 £	Proposed Charge From 2/1/20 £		
<b>SHORT STAY: Linen Street</b>				
<b>Linear charges: 6 minutes for £0.10</b>				
30 minutes	0.50	0.50	0.00%	
1 hour	1.00	1.00	0.00%	
2 hours	2.00	2.00	0.00%	
3 hours	3.00	3.00	0.00%	
4 hours	4.00	4.00	0.00%	
4.50 to 24 hours	4.50	5.00	11.11%	
Overnight charges (6pm - 8 am)	1.00	1.50	50.00%	
<b>LIMITED STAY (up to 3 hours): New Street / Westgate</b>				
<b>Linear charges - - 6 minutes for £0.10</b>				
30 minutes	0.50	0.50	0.00%	
1 hour	1.00	1.00	0.00%	
2 hours	2.00	2.00	0.00%	
3 hours	3.00	3.00	0.00%	
4 hours	4.00	4.00	0.00%	
Overnight charges (6pm - 8 am)	1.00	1.50	50.00%	
<b>St. Mary's Lands Area 2</b>				
30 minutes	0.50	0.50	0.00%	
24 hours	1.00	1.00	0.00%	
Overnight Charge	1.00	1.50	50.00%	
<b>ST. MARY'S LANDS - Area 3</b>				
2 hours	Free	Free	0.00%	
3 hours	2.00	2.00	0.00%	
3 to 4 hours	3.00	3.00	0.00%	
<b>ST. MARY'S LANDS - Area 4</b>				
30 minutes	0.50	0.50	0.00%	
1 hours	1.00	1.00	0.00%	
2 hours	2.00	2.00	0.00%	
3 hours	3.00	3.00	0.00%	
4 hours	4.00	4.00	0.00%	
All day -	4.50	4.50	0.00%	
Overnight Charge	1.00	1.50	50.00%	
<b>MYTON FIELDS PICNIC AREA</b>				
up to 4 hours	3.00	3.00	0.00%	
All day	4.50	4.50	0.00%	
Overnight charges (6pm - 8 am)	1.00	NA	0.00%	
<b>Barrack Street</b>				
1 hours	0.70	0.70	0.00%	
2 hours	1.20	1.20	0.00%	
3 hours	2.00	2.00	0.00%	
4 hours	2.80	2.80	0.00%	
All day -	4.00	4.00	0.00%	
<b>COACHES</b>	- Designated Car Parks only	5.00	5.00	0.00%

	<b>Charge From 2/1/19 £</b>	<b>Proposed Charge From 2/1/20 £</b>	
<b><u>PENALTY CHARGE NOTICES</u></b> (Exempt from V.A.T.)			
<b>(Set by Central Government)</b>			
Higher Rate (50% disc if paid in 14 days)	70.00	70.00	0.00%
Lower Rate (50% disc if paid in 14 days)	50.00	50.00	0.00%
<b><u>SEASON TICKETS</u></b> (One vehicle registration per ticket)			
Charges exclude V.A.T. which should be added at the prevailing rate			
<u>Leamington Spa, Warwick &amp; Kenilworth</u>			
Long Stay ONLY (Excluding Pay on Foot Car Parks)			
- Per Annum	656.25	675.83	2.98%
- Per Month	67.50	69.50	2.96%
<u>Leamington Spa Restricted Locations</u>			
St. Peter's Pay on Foot (200 spaces only)			
- Per Annum	506.25	521.67	3.05%
- Per Month	60.00	62.00	3.33%
<u>Leamington Spa Restricted Locations</u>			
Covent Garden Pay on Foot (200 spaces only)			
- Per Annum	275.00	283.25	3.00%
- Per Month	40.00	41.25	3.13%
Royal Priors Multi Storey (50 spaces only)			
-Per Month	106.67	106.67	0.00%
Adelaide Road (20 passes only)			
- Per Annum	412.50	425.00	3.03%
- Per Month	60.00	62.00	3.33%
Rosefield Street (20 spaces only)			
- Per Annum	412.50	425.00	3.03%
- Per Month	60.00	62.00	3.33%
<u>Leamington Spa Old Town (Packington Place, Court St &amp; Bath Place)</u>			
- Per Annum	425.00	425.00	0.00%
- Per Month	60.00	60.00	0.00%
<b>Leamington Spa -Riverside House)</b>			
- Per Annum	91.67	91.67	0.00%
- Per Month	13.33	13.33	0.00%
<u>Warwick Restricted Location Car Parks</u>			
St. Nicholas Park, Warwick (100 spaces only)			
- Per Annum	412.50	425.00	3.03%
- Per Month	60.00	62.00	3.33%
West Rock (40 spaces only)			
- Per Annum	412.50	425.00	3.03%
- Per Month	60.00	62.00	3.33%
St Mary's Lands Area 2 (150 spaces)			
- Per Annum	91.67	91.67	0.00%
- Per Month	13.33	13.33	0.00%

St Mary's Lands Area 4 (60 spaces)			
- Per Annum	412.50	425.00	3.03%
- Per Month	60.00	62.00	3.33%

**NEIGHBOURHOOD  
PARKING SERVICES**

	<b>Charge From 2/1/19 £</b>	<b>Proposed Charge From 2/1/20 £</b>	
<b><u>SEASON TICKETS</u></b>			
Linen Street Multi Storey (100 spaces)			
- Per Annum	506.25	521.50	3.01%
- Per Month	60.00	62.00	3.33%
Priory Road, Warwick (10 spaces only)			
- Per Annum	412.50	425.00	3.03%
- Per Month	60.00	62.00	3.33%
<b><u>Kenilworth Restricted Location Car Parks</u></b>			
Square West (75 spaces only)			
- Per Annum	366.67	378.00	3.09%
- Per Month	53.33	55.00	3.13%
Abbey End (50 spaces only)			
- Per Annum	366.67	378.00	3.09%
- Per Month	53.33	55.00	3.13%
Abbey Fields (50 spaces only)			
- Per Annum	366.67	378.00	3.09%
- Per Month	53.33	55.00	3.13%
-resident 12 month permit	25.00	25.75	3.00%
<b><u>Overnight Parking Permits</u></b> -Park specific (Available for car parks -excludes Royal Priors/Myton Fields/The Brays)			
- Overnight Parking: 6 pm to 9am only	41.66	41.66	0.00%
Administration charge for Season Ticket Amend / Refunds	6.00	6.00	0.00%
<b>Release of vehicles from Multi-Storey car parks</b>	50.00	50.00	0.00%
<b>Special Event Charge</b>	6.00	6.00	0.00%
<b>Skips and Scaffolds on car parks:</b>			
per day	50.00	50.00	0.00%
per week	200.00	200.00	0.00%

**Disabled Drivers**

Vehicles displaying a valid 'Blue' Disabled Persons badge may park free of charge on any of the Council's Pay and Display car parks. Car Park Regulations and Orders apply. Those parking in pay on foot car parks will need to have their ticket endorsed by the inspector.

All of the above charges are inclusive of V.A.T. unless otherwise stated

**NEIGHBOURHOOD**  
**PARKING SERVICES**

<b>Income Summary:</b> (Net of V.A.T.)	<b>Actual</b> <b>2018/19</b> <b>£</b>	<b>Estimate</b> <b>2019/20</b> <b>£</b>	<b>latest</b> <b>Estimate</b> <b>2019/20</b> <b>£</b>	<b>Estimate</b> <b>2020/21</b> <b>£</b>
Car Parking Charges	2,770,600	2,789,700	2,776,000	2,963,000
Season Tickets	274,300	275,400	250,000	257,500
Excess Charges	138,000	107,000	146,000	150,000
Other Income	36,300	48,000	48,000	48,000
<b>Total Income</b>	<b>3,219,200</b>	<b>3,220,100</b>	<b>3,220,000</b>	<b>3,418,500</b>
<b>Contribution to parking reserve</b>			<b>100,000</b>	

**NEIGHBOURHOOD****WASTE COLLECTION**

	<b>Charge From 2/1/19 £</b>	<b>Proposed Charge From 2/1/20 £</b>	
<b><u>REFUSE COLLECTION:</u></b>			
(V.A.T. not applicable)			
Standard wheeled bin (grey and green)	25.00	25.00	0.00%
Recycling box and lid	5.00	5.00	0.00%
Recycling box lid only	1.50	1.50	0.00%
Recycling bag	2.50	2.50	0.00%
Food caddy	0.00	0.00	0.00%
Delivery charge	5.00	5.00	0.00%
Bulk Bin 660litre	250.00	250.00	0.00%
Bulk Bin 900litre	275.00	275.00	0.00%
Bulk Bin 1100litre	275.00	275.00	0.00%

**Replacement waste container charge - waiver**

Any resident who informs the council that they are unable to pay for receptacles, and who are eligible for the Council Tax Reduction Scheme, may have the charges waived (w.e.f. October 2017)

**Bulky Refuse Tickets:**

Collection of 1 item	35.00	35.00	0.00%
Collection of 2 items	35.00	35.00	0.00%
Collection of 3 items	35.00	35.00	0.00%
Collection of 4 items	45.00	45.00	0.00%
Collection of 5 items	45.00	45.00	0.00%

- Senior Citizens / Persons in receipt of Income Support or addition to state pension and Registered Disabled Persons

Collection of 1 item	17.00	17.00	0.00%
Collection of 2 items	20.00	20.00	0.00%
Collection of 3 items	23.00	23.00	0.00%
Collection of 4 items	26.00	26.00	0.00%
Collection of 5 items	31.00	31.00	0.00%

<b>Income Summary:</b> (Net of V.A.T.)	<b>Actual 2018/19 £</b>	<b>Estimate 2019/20 £</b>	<b>latest Estimate 2019/20 £</b>	<b>Estimate 2020/21 £</b>
Additional Bins/Bags etc	63,040	88,000	88,000	90,800
Bulky Refuse Tickets	103,301	58,000	58,000	60,000
<b>Total Refuse Collection</b>	<b>166,341</b>	<b>146,000</b>	<b>146,000</b>	<b>150,800</b>

**NEIGHBOURHOOD**  
**WASTE COLLECTION**

<b>Fixed Penalty Notices</b>	<b>Legislation</b>	<b>Fixed Penalty</b>	<b>Maximum</b>	<b>Discount</b>
<b>Depositing Litter -</b>	S87/88 Env Protection Act (EPA) 1990	£80	£2,500	£50
<b>Graffiti &amp; fly-posting -</b>	S3-47 Anti-Soc Behaviour Act 2003	£80	£2,500	£50
<b>Failure to Furnish documentation - (Waste Carriers Licence)</b>	s5B(2) Control of Pollution(Amend) Act 1989	£300	£5,000	none
<b>Failure to Produce authority (Waste Transfer Notes)</b>	S34A(2) EPA 1990	£300	£5,000	none
<b>Failure to comply with Waste Receptacle Notice</b>	S46 & S47 EPA 1990	£100	£1,000	£60
<b>Community Protection Notices</b>	-S52 ASB Crime& Policing  Act 2014	£100	£2,500  unlimited in case of a 14 days to pay body	£75  if paid in 10 days
<b>Fly-Tipping</b>	-Unauthorised deposit of Waste(Fixed Penalties) Regulations 2016	£400	unlimited	£300

**HOUSING REVENUE ACCOUNT**

	<b>Charge</b>	<b>Proposed Charge</b>	
	<b>From 2/1/19</b>	<b>From 2020</b>	
	<b>£</b>	<b>£</b>	
<b><u>WARWICK RESPONSE</u></b>			
WDC tenants living in designated or sheltered schemes VAT exempt			
Disabled tenants VAT zero rated			
All other customers should have VAT added to their charges at the prevailing rate.			
Weekly charges			
Monitoring Service only	1.85	1.85	0.00%
Monitoring Service and Equipment Rental	3.70	3.65	-1.35%
Discretionary services (New Tenants only):			
Supply and Install Lifeline	Cost + £50	Cost + £50	
Supply and Install Keysafe	Cost + £35	Cost + £35	
Moving Lifeline (i.e. to a different room)	35.00	35.00	
Service call out (faults) *	35.00	35.00	
per hour			
Replacement batteries *	Cost + £35	Cost + £35	
Replace lost cables *	Cost + £35	Cost + £35	
Replace pendant *			
program / post	Cost + £22	Cost + £22	
program / deliver	Cost + £35	Cost + £35	
Replace Lifeline	Cost + £35	Cost + £35	

\* Charge will be made once the product's warranty expires

**Lifeline Services Equipment and Products:**

<u>Lifeline Vi and My Amie pendant</u>			
posted	125.00	NA	
installed	150.00	NA	
<u>My Ami</u>			
posted	60.00	60.00	0.00%
installed	75.00	85.00	13.33%
<u>Neck Cord</u>			
posted	3.00	5.00	66.67%
<u>Thin wrist strap</u>			
posted	3.00	5.00	66.67%
<u>Thick wrist strap</u>			
posted	3.00	5.00	66.67%
<u>Easy press adapter</u>			
installed	30.00	30.00	0.00%
posted	15.00	10.00	-33.33%
<u>Belt clip</u>			
posted	3.00	5.00	66.67%
<u>Key ring</u>			
posted	3.00	5.00	66.67%
<u>Minuet watch</u>			

posted	95.00	95.00	0.00%
installed	125.00	110.00	-12.00%
<b><u>HOUSING REVENUE ACCOUNT</u></b>			
	<b>Charge From 2/1/19 £</b>	<b>Charge From 2/1/20 £</b>	
<b><u>Lifeline Services Equipment and Products:</u></b>			
<u>Ivi Intelligent Pendant Fall detector</u>			
posted	95.00	NA	
installed	130.00	NA	
<u>Cair pendant</u>			
posted	50.00	NA	
installed	70.00	70.00	0.00%
<u>Cair brooch adapter</u>			
posted	3.00	5.00	66.67%
<u>Cair clip adapter</u>			
posted	3.00	5.00	66.67%
<u>Cair wrist strap</u>			
posted	12.00	12.00	0.00%
<u>Cair neck chain</u>			
posted	12.00	12.00	0.00%
Footprint configured and posted			Price per week (rental option only)
	4.95	4.95	
<u>Bogus caller/panic button</u>			
posted	55.00	55.00	0.00%
installed	80.00	80.00	0.00%
<u>Supra Keysafe</u>			
install only	95.00	95.00	0.00%
<u>Keyguard XL keysafe</u>			
install only (WDC tenant)	50.00	45.00	-10.00%
install only (private client)	70.00	65.00	-7.14%
<u>Pivotell medication dispenser</u>			
posted	210.00	210.00	0.00%
installed	235.00	235.00	0.00%
<u>Smoke detector</u>			
installed with Lifeline only	50.00	50.00	0.00%
<u>Guest room</u>			
Guest/Relatives of residents - per night	10.00	10.00	0.00%
Homelessness - per night	15.00	15.00	0.00%

<b>Actual 2018/19 £</b>	<b>Estimate 2019/20 £</b>	<b>Estimate 2019/20 £</b>	<b>Estimate 2020/21 £</b>
<hr/>	<hr/>	<hr/>	<hr/>
<b>433,996</b>	<b>433,700</b>	<b>433,700</b>	<b>453,700</b>
<hr/>	<hr/>	<hr/>	<hr/>

**Controllable Fees and Charges - Leisure Contract**

Contract Definition –

The Contractor shall review the following core products and prices in September of each year and submit any proposed changes to the Authority for approval (the “Fees and Charges Report”):


1. Concessionary Swim (based on the list of concessions listed in paragraph 10.2 below)
  - a. Those in receipt of a disability benefit
  - b. Those in receipt of Job Seekers Allowance and those not working and in receipt of Universal Credit
  - c. Juniors (5 – 18yrs)\* Note this should have been 5 – 17yrs; ie pay full price from 18yrs
  - d. Individuals in receipt of state pension
  - e. Students – full time of any age; any student under 25yrs
  - f. Exercise Referral clients
2. Junior swimming lesson
3. Casual concession gym session
4. Casual concession fitness class
5. School swimming lesson (currently calculated as a price per child)
6. Exercise Referral session

Free admission for:

- a. Children aged 4 and under
- b. Individuals in receipt of Carers Allowance when accompanying the person for whom they care
- c. Children accompanying an adult in receipt of Job Seekers Allowance or Universal Credit.

### **Current 2019 Core Controllable Prices**

<b>Concession Swim To the following groups at the facilities</b>		<b>NCLC and St Nix's</b>	With EA concess card	Abbey Fields	With EA concess card
	Those in receipt of disability benefit	£3.60		£3.20	
	Those in receipt of Job Seekers allowance or universal credit	£3.60		£3.20	
	Juniors 5 -17yrs	£3.00	£2.25	£2.50	£1.90
	Individuals in receipt of state pension	£3.00	£2.25	£3.00	£1.90
	Students fulltime any age, any student under 25years	£3.50		£3.10	
	Exercise Referral Session	As per fitter futures scheme			
Swim Lesson Fee	Junior Lesson Fee	£6.15		£6.15	
	Concessionary Junior Lesson fee	£4.45		£4.45	
	School swimming lesson	£36.16	half pool £18.00	£36.18	half pool £18.00
Fitness	Casual Concession Gym Session	£4.50		CFarm £4.50	
	Casual concession fitness class	£4.65		C Farm £4.00	
Exercise Referral	Exercise Referral Session	As per fitter futures scheme.			

 <b>Executive</b> <b>3 October 2019</b>		<b>Agenda Item No.</b> <b>4</b>
<b>Title</b>	Safeguarding Adults and Children Policy	
<b>For further information about this report please contact</b>	<a href="mailto:Lisa.barker@warwickdc.gov.uk">Lisa.barker@warwickdc.gov.uk</a> 01926 456043 <a href="mailto:Marianne.rolfe@warwickdc.gov.uk">Marianne.rolfe@warwickdc.gov.uk</a> 01926 456700 <a href="mailto:Jane.rostron@warwickdc.gov.uk">Jane.rostron@warwickdc.gov.uk</a> 01926 456445	
<b>Wards of the District directly affected</b>	N/A	
<b>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?</b>	No	
<b>Date and meeting when issue was last considered and relevant minute number</b>	N/A	
<b>Background Papers</b>	N/A	

<b>Contrary to the policy framework:</b>	No
<b>Contrary to the budgetary framework:</b>	No
<b>Key Decision?</b>	Yes
<b>Included within the Forward Plan? (If yes include reference number)</b>	Yes (ref 1033)
<b>Equality Impact Assessment Undertaken</b>	Yes
Equality Impact Assessments have been started. The safeguarding policy is designed to ensure that the most vulnerable in society are referred for support.	

Officer/Councillor Approval		
Officer Approval	Date	Name
Chief Executive/Deputy Chief Executive	22/8/19	Chris Elliott, Bill Hunt, Andrew Jones
Head of Service	19/8/19	Lisa Barker
CMT	4/9/19	Chris Elliott, Bill Hunt, Andrew Jones
Section 151 Officer	N/A	N/A
Monitoring Officer	4/9/19	Andrew Jones
Finance	N/A	N/A
Portfolio Holder(s)	22/8/19	Judith Falp
Consultation & Community Engagement		
Not applicable		
Final Decision?		Yes
Suggested next steps (if not final decision please set out below)		

## 1. **Summary**

- 1.1 This report seeks Executive approval for a new Safeguarding Adults and Children policy (see Appendix 1 to this report).

## 2. **Recommendations**

- 2.1 That Executive approve the Safeguarding Adults and Children policy at Appendix 1 and agrees that approval for any future minor changes is delegated to the Head of Housing and/or the Head of Health and Community Protection, in consultation with the Member Champions for Safeguarding.

## 3. **Reasons for the Recommendation**

- 3.1 The Council has an existing safeguarding policy which includes adults but not children. Cultural Services has its own separate safeguarding policy for adults and children but it is specific for that service area. The new policy has been developed to include comprehensive safeguarding guidance for adults and children in one document.
- 3.2 As the new policy will need to be updated from time to time with minor changes to reflect changes in legislation and good practice, it is recognised that it would be more practical for these changes to be agreed by the Head of Housing and/or the Head of Health and Community Protection following consultation with the Member Champions for Safeguarding, rather than formal approval by Executive.

## 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.

<b>FFF Strands</b>		
<b>People</b>	<b>Services</b>	<b>Money</b>
<b>External</b>		
<b>Health, Homes, Communities</b>	<b>Green, Clean, Safe</b>	<b>Infrastructure, Enterprise, Employment</b>
<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

<b>Impacts of Proposal</b>		
Ensuring that adults and children are safeguarded contributes to better health	Ensuring that adults and children are safeguarded contributes to better services	None
<b>Internal</b>		
<b>Effective Staff</b>	<b>Maintain or Improve Services</b>	<b>Firm Financial Footing over the Longer Term</b>
<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 <b>customers' needs</b> 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
<b>Impacts of Proposal</b>		
As safeguarding is <b>everyone's business</b> , all staff know how to report a safeguarding concern.	We ensure a consistent approach to safeguarding by adopting a corporate policy.	None

#### 4.2 **Supporting Strategies**

Each strand of the FFF Strategy has several supporting strategies and the relevant ones for this proposal are the Service Area Plan 2019-20 which gives an overview of managing service delivery, including safeguarding and the Housing and Homelessness Strategy 2017-2020 which promotes health and well-being, safer communities and sustainability.

#### 4.3 **Changes to Existing Policies**

It is proposed that the new policy for adults and children will replace the current policy.

#### 4.4 **Impact Assessments**

This report does not propose any changes to existing strategies therefore no new or significant changes are proposed in respect of equalities.

### 5. **Budgetary Framework**

5.1 This report has no financial or budgetary implications for this council.

### 6. **Risks**

6.1 If we fail to deliver safeguarding, children and adults would be at risk of harm.

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

7.1 No other options have been considered.

8. **Background**

8.1 The current safeguarding policy had originally been produced in conjunction with four other Warwickshire district and borough councils, with the latest revision in August 2015. This policy included guidance and procedures for safeguarding adults with care and support needs only.

8.2 The need to develop one corporate safeguarding policy for both adults and children, rather than having separate service-specific policies, has become apparent given that **safeguarding is everyone's business and a high-profile** issue.

8.3 The council has a statutory duty to co-operate with section 11 of the Children Act 2004 to safeguard and promote the welfare of children. The Care Act 2014 also places a duty to protect adults at risk of abuse or neglect.

8.5 The new policy has been developed after consultation with Warwickshire **County Council's Legal Services team**, Prevent Officer, Safeguarding Warwickshire (this is a new partnership which combined Warwickshire Safeguarding Children Board and Warwickshire Safeguarding Adults Board), **together with feedback from the council's Safeguarding Group** and the four local district and borough councils.

8.6 A set of comprehensive procedures is being developed for use by officers and councillors.

# Warwick District Council

## Safeguarding adults and children policy



1. Introduction	3	
2. Policy Statement	3	
3. Child Safeguarding	4	
4. Adult Safeguarding	4	
5. Definitions	5	
6. Safeguarding Responsibilities	5	
7. Lines of Accountability	6	
8. Service Delivery	7	
• Housing		
• Health and Community Protection		
• Cultural Services		
• Neighbourhood Services		
9. Recognising Potential Abuse	9	
10. Indicators of Abuse	9	
11. Equality	11	
12. Good Practice for Staff, Elected Members and Volunteers	11	
• Duty of Care		
• Professional Curiosity		
• Safe Working Practices		
13. Good Practice for Warwick District Council	13	
• The Role of the Authority		
• Use of Contractors		
• Recruitment and Selection of Staff and Volunteers		
• Supervision and Appraisal		
14. Induction and Training	14	
15. Complaints and Whistleblowing	15	
16. Monitoring and Review	15	
Appendix A	Child Sexual Exploitation	16
Appendix B	Cultural Abuse	19
Appendix C	Domestic Abuse	20
Appendix D	Mobile Families	24
Appendix E	Modern Slavery and Human Trafficking	27
Appendix F	PREVENT and Channel	29
Appendix G	Training and Development Framework	33
Appendix H	County Lines	36
Appendix I	Useful Contacts	37
Appendix J	Change Log	38

## 1. Introduction

Children, young people and adults with needs for care and support have the right to participate and be safe in accessing services provided for them. We are committed to ensuring that the needs and welfare of the people we have a duty to keep safe are considered by our staff, Members, volunteers and contractors in the provision of services and our decision-making.

### **This policy should be read alongside the:**

- Coventry and Warwickshire Safeguarding Children Board (WSCB) Procedures Manual  
<https://www.safeguardingwarwickshire.co.uk/safeguarding-children/i-work-with-children-and-young-people/interagency-safeguarding-procedures>
- Warwickshire Adult Social Care Safeguarding Policy and Procedures  
<https://www.safeguardingwarwickshire.co.uk/safeguarding-adults/i-work-with-adults/policy-and-procedures>

## 2. Policy statement

The purpose of this policy is to help Warwick District Council meet its legal duty to safeguard and promote the welfare of children and to safeguard adults with needs for care and support who may be experiencing or at risk of abuse or neglect. In addition to direct service delivery **for children, young people and adults, the wide ranging nature of the council's work gives** many staff substantial access to vulnerable individuals.

We will safeguard and promote the welfare of children and adults by:

- raising the awareness of the duty of care responsibilities relating to children, young people and adults throughout Warwick District Council
- actively encouraging good practice amongst all staff, Members and volunteers throughout the Council and promoting wider awareness wherever possible, i.e. partnership organisations and user groups
- creating a safe and healthy environment within all our services, avoiding situations where abuse or allegations of abuse may occur
- respecting and promoting the rights, wishes and feelings of children, young people and adults
- listening to children, young people and adults, minimising dangers and working closely with other agencies
- recruiting, supervising and supporting staff and volunteers and also supporting elected Members who work with, or come into contact with children, young people and adults to adopt best practice to safeguard and protect children, young people and adults from abuse, and themselves against false allegations.
- ensuring that staff and volunteers who work with children, young people and adults with needs for care and support undergo appropriate Disclosure and Barring checks
- providing appropriate training for staff, Members and volunteers to enable them to recognise the potential signs and indicators of abuse
- responding to any allegations appropriately and implementing the necessary disciplinary and appeals procedures in accordance with internal procedure and WSCB and WSAB
- ensuring that any contractors who undertake work for the Council that involves, or impacts on, the lives of children, young people or adults have equivalent or better safeguarding arrangements than those contained within this policy

This policy applies to all staff, Members, contractors and volunteers who may come into contact with children, young people and adults with needs for care and support in the course **of their work, whether in someone's home, on council premises or in the community.**

This policy is inclusive of all children and adults with needs for care and support, irrespective of age, disability, sex, gender reassignment, race, religion or belief, or sexual orientation.

**Making Safeguarding Personal (MSP)** is a sector-led initiative which aims to develop an outcomes focus to safeguarding work, and a range of responses to support people to improve or resolve their circumstances.

It is a shift in culture and practice in response to what we now know about what makes safeguarding more or less effective from the perspective of the person being safeguarded. It is about having conversations with people about how we might respond in safeguarding situations in a way that enhances involvement, choice and control as well as improving quality of life, wellbeing and safety. It is about seeing people as experts in their own lives and working alongside them. It is a shift from a process supported by conversations to a series of conversations supported by a process.

The key focus is on developing a real understanding of what people wish to achieve, agreeing, negotiating and recording their desired outcomes, working out with them (and their representatives or advocates if they lack capacity) how best those outcomes might be realised and then seeing, at the end, the extent to which desired outcomes have been realised.

### 3. Child safeguarding

The Children Act 2004 places a statutory duty on all prescribed agencies to safeguard and promote the welfare of children. The prevailing statutory guidance is “Working Together to Safeguard Children 2018”:

[https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment\\_data/file/729914/Working\\_Together\\_to\\_Safeguard\\_Children-2018.pdf](https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/729914/Working_Together_to_Safeguard_Children-2018.pdf)

This defines safeguarding as:

- Protecting children from maltreatment
- **Preventing impairment of children’s** health or development
- Ensuring that children grow up in circumstances consistent with the provision of safe and effective care
- Taking action to enable all children to have the best outcomes

This includes taking action to identify and prevent child sexual exploitation.

The “Voice of the Child” is a phrase used to describe the real involvement of children and young people. It means more than seeking their views (which could just mean the child saying what they want) but rather being really involved in what happens. Find more information at [http://www.proceduresonline.com/covandwarkssc/p\\_voice\\_of\\_child.html](http://www.proceduresonline.com/covandwarkssc/p_voice_of_child.html)

### 4. Adult safeguarding

The **Care Act 2014** defines safeguarding as protecting an adult’s right to live in safety, free from abuse and neglect. It is about people and organisations working together to prevent and stop both the risks and experience of abuse or neglect, while at the same time making sure that the adult’s wellbeing is being promoted.

Agencies discharge their duty to co-operate at a strategic level via their attendance at the Warwickshire Safeguarding Adults Board (WSAB) and its working groups to:

- take co-ordinated action where there is evidence of abuse or neglect and to safeguard the victims
- review and understand how this has occurred
- make every effort to prevent this occurring in the future

Warwick District Council co-operates fully with the WSAB and its associated roles, including for example, taking an active part in **Warwickshire's** Multi-Agency Public Protection Arrangements (MAPPA) to manage registered sex offenders, violent and other offenders who pose a risk of serious harm to the public.

At an operational level Warwick District Council participates in Adult Safeguarding enquiries in appropriate cases.

## 5. Definitions

A **'child'** is defined as a person who has not yet reached their 18<sup>th</sup> birthday (including unborn children).

**Guidance in "Working Together to Safeguard Children 2018"** focuses on the core legal requirements, making it clear what individuals, organisations and agencies must and should do to keep children safe. In doing so, it seeks to emphasise that effective safeguarding is achieved by putting children at the centre of the system and by every individual and agency playing their full part.

The term **'adult with needs for care and support'** (referred to as an adult in this policy) largely replaces the pre-Care Act 2014 term **'vulnerable adult'**.

Our safeguarding duties apply in relation to an adult who:

- has needs for care and support (whether or not the local social services authority is meeting any of those needs)
- is experiencing, or at risk of experiencing abuse or neglect
- as a result of those needs is unable to protect himself or herself against abuse or neglect or the risk of it

This duty applies regardless of whether the adult has mental capacity or not and covers any adult who is at risk or lives in vulnerable circumstances, or who is frail due to age, ill health, physical disability or cognitive impairment, or a combination of these; has a learning disability; has mental health needs (including dementia or a personality disorder); has a long-term illness; misuses substances or alcohol.

## 6. Safeguarding responsibilities

Whilst safeguarding is **everyone's responsibility** and overall accountability sits with the **Authority's Chief Executive**, there are a number of specific safeguarding roles that individuals hold within Warwick District Council.

Title	Named Officer	Contact Details
<b>Strategic Lead Safeguarding Officer</b>	Lisa Barker, Head of Housing Services	01926 456043 <a href="mailto:Lisa.Barker@warwickdc.gov.uk">Lisa.Barker@warwickdc.gov.uk</a>
<b>Deputy Strategic Lead Safeguarding Officer</b>	Marianne Rolfe, Head of Health and Community Protection	01926 456700 <a href="mailto:Marianne.Rolfe@warwickdc.gov.uk">Marianne.Rolfe@warwickdc.gov.uk</a>
<b>Lead Prevent Officer</b>	Marianne Rolfe, Head of Health and Community Protection	01926 456700 <a href="mailto:Marianne.Rolfe@warwickdc.gov.uk">Marianne.Rolfe@warwickdc.gov.uk</a>
<b>Deputy Prevent Officer</b>	Pete Cutts, Safer Communities Manager	01926 456021 <a href="mailto:Pete.Cutts@warwickdc.gov.uk">Pete.Cutts@warwickdc.gov.uk</a>
<b>Officer safeguarding representatives - Housing Services</b>	James Baker	01926 456432 <a href="mailto:James.Baker@warwickdc.gov.uk">James.Baker@warwickdc.gov.uk</a>
	Amanda Bennett	01926 456443 <a href="mailto:Amanda.Bennett@warwickdc.gov.uk">Amanda.Bennett@warwickdc.gov.uk</a>
	Simon Brooke	01926 456427 <a href="mailto:Simon.Brooke@warwickdc.gov.uk">Simon.Brooke@warwickdc.gov.uk</a>

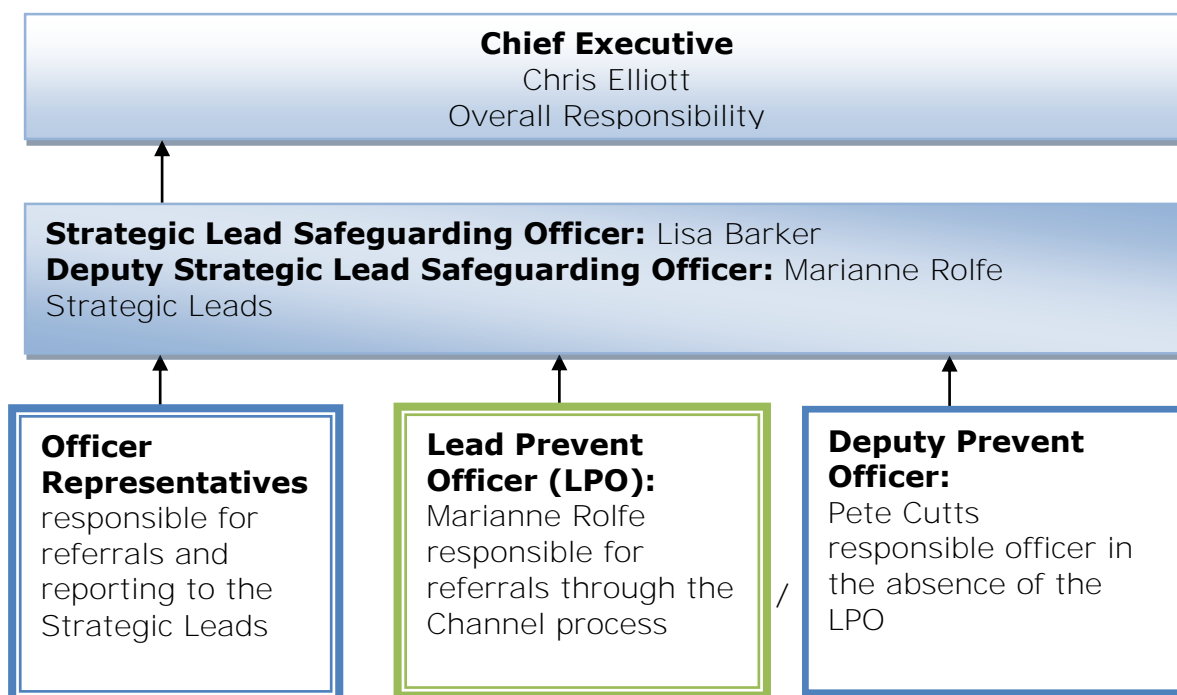
	Jane Rostron	01926 456445 <a href="mailto:Jane.Rostron@warwickdc.gov.uk">Jane.Rostron@warwickdc.gov.uk</a>
	Caroline Russell	01926 456411 <a href="mailto:Caroline.russell@warwickdc.gov.uk">Caroline.russell@warwickdc.gov.uk</a>
	Elaine Wallace	01926 456311 <a href="mailto:Elaine.Wallace@warwickdc.gov.uk">Elaine.Wallace@warwickdc.gov.uk</a>
Health and Community Protection:	Pete Cutts	01926 456021 <a href="mailto:Pete.Cutts@warwickdc.gov.uk">Pete.Cutts@warwickdc.gov.uk</a>
	Julian Hill	01926 456010 <a href="mailto:Julian.Hill@warwickdc.gov.uk">Julian.Hill@warwickdc.gov.uk</a>
	Lorna Hudson	01926 456320 <a href="mailto:Lorna.Hudson@warwickdc.gov.uk">Lorna.Hudson@warwickdc.gov.uk</a>
Cultural Services	Manoj Sonecha	01926 456221 <a href="mailto:Manoj.Sonecha@warwickdc.gov.uk">Manoj.Sonecha@warwickdc.gov.uk</a>
Neighbourhood Services	Zoe Court	01926 456314 <a href="mailto:Zoe.Court@warwickdc.gov.uk">Zoe.Court@warwickdc.gov.uk</a>
Finance	Andrea Wyatt	01926 456831 <a href="mailto:Andrea.Wyatt@warwickdc.gov.uk">Andrea.Wyatt@warwickdc.gov.uk</a>
<b>Member Safeguarding Champions</b>	Councillor Judith Falp	<a href="mailto:Judith.falp@warwickdc.gov.uk">Judith.falp@warwickdc.gov.uk</a>
	Chair of Health Scrutiny Subcommittee-tbc	

Staff, Members and volunteers should inform or report any concerns or cases of alleged or suspected abuse following the procedures provided separately to this policy.

All Officer safeguarding representatives and the Member Champions are responsible for:

- ensuring that the **Council's** safeguarding policy and procedures:
  - are available to every member of staff, Member and volunteer.
  - provide a robust framework to equip staff with the necessary information to carry out their responsibilities effectively
- ensuring that staff, members and volunteers follow the required procedures and record any concerns they have using the appropriate method
- providing a support role **to the Council's staff, Members** and volunteers
- recording their own conversations with the person making an allegation of abuse or neglect, or with the staff member to whom any disclosures were made

## 7. Lines of accountability for safeguarding



**The Strategic Lead Safeguarding Officers** are responsible for this policy; for promoting the Council's responsibilities under the Care Act 2014, and under Section 11 of the Children Act 2004 and for ensuring that all procedures meet the requirements on District Authorities of 'Working Together to Safeguard Children 2018'. These include:

- Increasing awareness of safeguarding issues within Warwick District Council
- Maintaining clear communication channels between Warwick District Council and Warwickshire County Council
- Reviewing the operation of this policy and procedures
- Identifying training needs in relation to safeguarding children and adults and safer recruitment throughout the organisation
- Ensuring all officers who work with children, young people and adults have the appropriate level of training

## **8. Service delivery**

This policy applies **to all** council staff, Members, volunteers and contractors used by the council. However, there are several district council services with specific responsibilities in relation to safeguarding and promoting the welfare of children and adults. Managers in these areas need to ensure that this responsibility is incorporated into their service delivery and where appropriate the work objectives for individual staff members. These are:

### **Housing**

Housing and homelessness staff, Assets and contractors

will have access to family homes/temporary accommodation, in some cases in a time of crisis. In the course of their work they are, therefore, likely to identify initial concerns regarding the welfare of a child or adult that may need to be referred on to another agency. These concerns may relate to what they have observed or witnessed happening to an individual, the physical conditions within the home/accommodation and/or **the family's** reactions to a crisis or inconsistencies in the information given to them.

In addition, housing staff may hold important information that could assist the county council in carrying out assessments under section 17 or section 47 of the Children Act 1989 (2004) or safeguarding enquiries under the Care Act 2014. Housing staff are also key to an assessment of the needs of families with disabled children and adults who may require housing adaptations in order to participate fully in family life and reach their maximum potential.

Staff within housing teams should be aware that there is the potential for homelessness and tenancy issues with people from the age of 16 and appropriate action should be taken e.g. staff should avoid whenever practicable a one-to-one situation with a young person. Under Part 1 of the Housing Act 2004 this authority must take account of the impact of health and safety hazards in housing on vulnerable occupants when deciding on action to be taken to improve conditions. We also have an important role to play in safeguarding vulnerable people, including young people who are pregnant or leaving care.

Sustaining Tenancies Team

often works closely with people who are either involved in or are victims of anti-social behaviour, including those who have the care of children. As such the Team is likely to become engaged in a multi-agency response to meeting the needs of children. They play an important role in offering young people opportunities to learn and enjoy themselves in a safe environment through diversionary activities provided by partner organisations. They are, therefore, in an ideal position to be confided in as a trusted adult, and should be alert to **signs of abuse or neglect and know how to act upon their concerns about a person's welfare.**

## Health and Community Protection

All front line officers of Health and Community Protection have engagement with businesses, residents, community and domestic situations in the use of the council's **services**. **Officers** have been trained to recognise various types of exploitation which they may come across in their work.

### Licensing

The council has a responsibility to undertake its functions under the Licensing Act 2003 with **regard to 'the protection of children from harm'** – one of four licensing objectives. The council is required to indicate in its statement of licensing policy the body (responsible authority) it judges to be competent to advise it on matters relating to the protection of children from harm. In addition, where a premise's licence authorises the exhibition of films, the licence must include a condition requiring the admission of children to be restricted from viewing age-restricted films which have been classified according to the recommendations of the British Board of Film Classification (BBFC) or the licensing authority itself.

Hackney carriage and private hire drivers are in a position of trust in respect of the safety and welfare of their passengers. As the Licensing Authority we must ensure that all drivers are **'fit and proper' to undertake their work as** drivers. It is essential that we work together with the drivers to ensure members of the public are treated with dignity and respect and any concerns are reported. We have a Code of Conduct which is aimed at providing the best possible service: protecting passengers and drivers, ensuring that concerns, suspicions of abuse, neglect or exploitation can be reported and therefore minimise the risk of harm. Failure to comply with the Code may result in the driver being referred to our Licensing Committee. Where there is a repeated and/or serious failure to comply licences will be suspended or revoked. All drivers are required to undergo Disclosure and Barring Services checks and safeguarding training in order to obtain a licence to drive a Hackney carriage or private hire vehicle.

There is a similar standard and policy in place to protect individuals within other licences, permits or consents issued by the council. Including but not limited to sex entertainment establishments and street trading.

### Crime and Disorder, CCTV

The team is responsible for delivering interventions to reduce crime and disorder, anti-social behaviour and the operation of a CCTV service. In the course of their actions they may identify vulnerable persons, locations or situational issues which require exploration in further detail by the various agencies.

### Community Partnership Team

The team works to ensure community cohesion, engagement and development. This allows the team to have a unique opportunity to peruse educational messaging, recognise tensions and work with the communities to resolve issues.

**Cultural Services:** The Council provides a wide range of facilities and services for the community such as the Art Gallery and Museum, Royal Spa Centre, Town Hall, Active Communities projects, outdoor sports facilities, leisure centre contract (management of Everyone Active contract) and large scale capital projects. These facilities and services are accessed by the community. Staff, volunteers and contractors have contact with children and adults who are users of these services. We therefore have a responsibility to ensure staff are appropriately trained and understand safeguarding responsibilities and know who to contact / how to report any concerns.

**Neighbourhood Services:** This service is responsible for waste collections, street cleaning, parks and open spaces and car parking across the whole district, working in partnership with various contractors. Therefore, contractors and staff have different levels and types of contact with residents and visitors to the district. Appropriate training for staff and contractors should be provided, including training on how to identify and report potential safeguarding concerns.

## 9. Recognising potential abuse

Even though staff, Members, volunteers and contractors have limited contact with children and adults with needs for care and support, as part of their duties for the Council, everyone should be aware of the potential indicators of abuse and be clear about what to do if they have concerns.

Recognising abuse is not easy, and it is not the responsibility of staff, Members, volunteers or contractors to decide whether or not abuse has taken place or if a child, young person or adult is at significant risk. They do, however, have a responsibility to act if they have concerns and to pass on information. Every person is unique and it is difficult to predict how their behaviour will change as a result of their experience of abuse. Listed below and on the next page are some physical signs and behavioural indicators that may be commonly seen in children, young people and adults who are abused. It could be one, none or several of these indicators, but remember they may only be an **indication** and not **confirmation** that abuse is taking place.

## 10. Indicators of abuse

It is accepted that in all forms of abuse there are elements of emotional abuse and that some children, young people or adults are subjected to more than one form of abuse at any one time.

### Physical abuse:

Hitting, slapping, pushing, kicking, misuse of medication, being locked in a room, inappropriate sanctions or force-feeding, inappropriate methods of restraint, and unlawfully depriving a person of their liberty.

- Unexplained injury or injury that is not consistent with the explanation given
- Unexplained fractures/repeated admissions to hospital
- Flinching when approached/being unwilling to cooperate with personal care
- Bruising suggesting systematic injury, in the shape of objects or finger marks

### Adult abuse or maltreatment is:

All forms of:

- physical abuse
- sexual abuse
- emotional or psychological abuse
- financial or material abuse
- self-neglect or acts of omission
- neglect by others
- institutional abuse
- discriminatory abuse

Abuse may consist of a single act or repeated acts. Abuse can occur in any relationship and may result in significant harm to, or exploitation of, the person subjected to it

### Child abuse or maltreatment is:

All forms of:

- physical ill treatment
- sexual abuse
- emotional ill treatment
- neglect
- discriminatory abuse

Abuse may consist of actual or potential harm to the child's health, survival, development or dignity in the context of a relationship of responsibility, trust or power

**Sexual abuse:**

Forcing or enticing a person to take part in sexual activities, whether or not they are aware of or consent to what is happening. May involve penetrative or non-penetrative contact including looking at or being involved in pornography or prostitution

- Inappropriate sexual behaviour or **knowledge for the person's age**
- Promiscuity
- Sudden changes in behaviour
- Running away from home (children who go missing)
- Emotional withdrawal through lack of trust in adults
- **Unexplained sources of money or 'gifts'**
- Inappropriate sexually explicit drawings or stories
- Bedwetting or soiling
- Overeating or anorexia
- Sleep disturbances
- Secrets which cannot be told
- Substance/drug misuse

**Financial abuse:**

Theft, fraud, exploitation, pressure in connection with wills or property and the misappropriation of property or benefits. It also includes the withholding of money or the unauthorised or improper use of a **person's money or property**. Staff borrowing money or objects from a service user is also considered financial abuse.

- Lack of money, especially after benefit day
- Inadequately explained withdrawals from accounts
- Disparity between assets/income and living conditions
- Disappearance of bank statements, other documents or valuables
- Loans or credit being taken out

**Emotional or psychological abuse:**

Includes threats of harm or abandonment, deprivation of contact, humiliation, rejection, blaming, controlling, intimidation, coercion, indifference, harassment, verbal abuse (including shouting or swearing), and isolation or withdrawal from services or support explained injury or injury that is not consistent with the explanation given

- Untypical ambivalence, deference, passivity, resignation
- Person appears anxious or withdrawn, especially in the presence of the alleged abuser
- Person exhibits low self-esteem
- Untypical changes in behaviour (e.g. continence problems, sleep disturbance)

**Discriminatory neglect:**

May be a factor within any of the other categories of abuse and is motivated by oppressive and discriminatory attitudes towards a person based on their disability, race, gender, religion or belief, cultural background, sexual orientation or appearance

- Unequal treatment
- Verbal abuse
- Inappropriate use of language
- Slurs
- Harassment
- Deliberate exclusion
- Assumptions made based on stereotypical ideas held about one aspect of a person

**Neglect:**

Self-neglect and neglect by others can be characterised as not responding to a **person's basic needs**. Those who self-neglect often live in extreme conditions of squalor and can have a tendency to hoard

- Person has inadequate heating and/or lighting
- Physical condition/appearance is poor (e.g. ulcers, pressure sores, soiled or wet clothing)
- Person is malnourished, has sudden or continuous weight loss and/or is dehydrated
- Person cannot access or refuses appropriate medication or medical care
- Person is not afforded appropriate privacy or dignity
- Person and/or a carer has inconsistent or reluctant contact with health and social services
- Callers/visitors are refused access to the person
- Person is exposed to unacceptable risk

It is important to remember that people will exhibit some of these signs and indicators at some time, and the presence of one or more should not be taken as proof that abuse is occurring. If a member of staff suspects that a child should be in school and is playing truant they should contact the Access to Education Team (see Appendix I). For more information on missing children go to: <https://www.safeguardingwarwickshire.co.uk/safeguarding-children/i-work-with-children-and-young-people/interagency-safeguarding-procedures>

**11. Equality**

Regard should always be given to a person's religion or belief. It should be noted that people with disabilities, migrant adults and children, unaccompanied asylum-seeking children (UASC), victims of trafficking, domestic abuse and bullying may have additional care needs and this should be remembered when considering the behavioural indicators. All people, regardless of background, should be given the same level of support and protection.

Additional guidance is available in the procedures manual for children in the WSCB at <https://www.safeguardingwarwickshire.co.uk/safeguarding-children/i-work-with-children-and-young-people/interagency-safeguarding-procedures> and in the policy and procedures manual for adults at <https://www.safeguardingwarwickshire.co.uk/images/downloads/WM-Adult-Safeguarding-PP-v1.pdf>

**Remember: there may be other reasons that a person is exhibiting some of the signs and indicators. However, always talk to the Strategic Lead Safeguarding Officer, their deputy or one of the Officer Safeguarding Representatives (see page 5) if you have any concerns at all about any child, young person or adult.**

**12. Good practice for staff, Members and volunteers**

## **Duty of care**

It is possible to limit the situations where abuse of children, young people and adults with needs for care and support may occur, by promoting safe working practices to all staff, Members, volunteers and contractors.

The following basic guidelines will help safeguard children, young people and adults; our staff, members, volunteers and contractors; Warwick District Council and other concerned organisations. The guidelines aim to promote positive practice and are examples of the approach which should be taken by staff, Members, volunteers and contractors while working with children, young people and adults with needs for care and support.

## **Professional curiosity**

Professional curiosity is the capacity and skill for proactive questioning and challenge, rather than making assumptions or professional optimism not based on assessment of history and current circumstances. Never be frightened to ask the obvious question and share concerns with colleagues or your supervisor. A fresh pair of eyes looking at a case can really help practitioners and organisations maintain good practice standards and develop a critical mindset.

Professional curiosity is much more likely if practitioners:

- are given good quality training to help them develop
- have access to good management, support and supervision so that they can reconsider challenging and potentially upsetting work with families
- have time to review the real life experience of children and families and undertake regular assessment to ensure new information and developments are reflected
- have the capacity to get to the root of what might have happened

Practitioners should always try to see all family members separately. However, when that is not possible and particularly when a victim (this could be an adult or a child) is not being allowed to be seen alone, professionals should also be alert to the following combination of signals:

- The victim waits for her/his partner to speak first
- The victim glances at their partner each time they speak, checking their reaction
- The victim smooths over any conflict
- Someone speaks for most of the time
- Someone sends clear signals to the victim, by eye / body movement, facial expression or verbally, to warn them
- Someone has a range of complaints about the victim, which they do not deny

## **Safe working practices**

- When working with children and adults with needs for care and support, avoid situations where you and an individual are alone and unobserved
- Children or young people should never be left unattended. For example, it is the responsibility of parents/carers to supervise any children in their care when they are visiting the Council offices, or when any member of staff, elected Member, volunteer or contractor is carrying out a home visit
- Children and adults with needs for care and support have the right to privacy, respect and dignity. Respect the individual and provide a safe and positive environment
- If supervision in changing rooms or similar environments is required, ensure staff work in pairs and never enter opposite sex changing rooms
- With mixed groups, supervision should be by a male and female member of staff, where possible.

- Staff, Members and volunteers must:
  - respect the rights, dignity and worth of every person and treat everyone equally within the context of the activity
  - place the well-being and safety of the child or young person above the development of performance
  - feel confident to report concerns or worries about other staff members, Members or volunteers to the Strategic Lead Safeguarding Officer. If they are not available on the same working day staff should report to the Deputy Lead Safeguarding Officer. A written account of the report should be sent to [safeguarding@warwickdc.gov.uk](mailto:safeguarding@warwickdc.gov.uk)

It is **not** good practice for staff, Members, volunteers or contractors to:

- take children or adults with needs for care and support alone on a car journey, however short
- take them to your home where they will be alone with you
- arrange to meet them outside an organised activity or service
- **agree to 'look after' or be left in sole charge of** them, even for short periods of time, during the course of your duties

Staff, Members and volunteers should **never**:

- engage in rough physical games including horseplay
- engage in sexually provocative games
- allow or engage in inappropriate touching of any form
- allow children or adults to use inappropriate language unchallenged, or use it yourself
- make sexually suggestive comments about or to a child or adult, even in fun
- let any allegation a child or adult makes be ignored or go unrecorded
- do things of a personal nature for children or adults that they can do for themselves, e.g. assist with changing
- enter areas designated only for the opposite sex without appropriate warning (e.g. cleaning staff for toilets etc)
- take a child or adult to the toilet, unless this is an emergency and a second, same-sex member of staff is present
- use a mobile phone, camera or other recording device in any changing area or other single sex location such as toilets - exceptions to this may arise, for example, where a photographic record of vandalism to a changing room is required. In such circumstances customers should be temporarily excluded from the location

If you have any concerns that a child or young person is at risk of significant harm or, that through early intervention agencies working together could offer help or support please follow the Child Safeguarding Procedures at

<https://www.safeguardingwarwickshire.co.uk/safeguarding-children/i-work-with-children-and-young-people/interagency-safeguarding-procedures>

If you have any concerns that an adult with needs for support and care is experiencing or at risk of abuse or neglect please follow the Adult Safeguarding Procedures at

<https://www.safeguardingwarwickshire.co.uk/images/downloads/WM-Adult-Safeguarding-PP-v1.pdf>

Additional procedures are also available separately for cases of suspected or actual domestic abuse

### **13. Good practice for Warwick District Council**

#### **The role of the authority**

It is important that all reasonable steps are taken by Warwick District Council to ensure that unsuitable people are prevented from working with children or adults with needs of care and support.

### **Use of contractors**

Warwick District Council and its staff, Members and volunteers should undertake reasonable care that contractors doing work on behalf of the Council are monitored appropriately.

Any contractor or sub-contractor, engaged by the Council in areas where workers are likely to come into contact with children or adults with needs of care and support, should have its own equivalent safeguarding policy. Failing this, it must demonstrate that they will comply with the terms of this policy.

Where there is potential for contact with children or adults with needs of care and support, it is the responsibility of the manager who is using the services of the contractor to check that a policy is in place and any necessary Disclosure and Barring Service checks have been satisfactorily completed.

### **Recruitment and selection of staff where working or having contact with children and adults with needs for care and support is a requirement of the job**

All Warwick District Council staff will be appointed in line with the Council's recruitment and selection policies and procedures to ensure that all necessary checks are carried out on individuals expected to work with children and adults with needs for care and support.

**Pre-selection** checks must include the following:

- completion of an application form including a self-disclosure about criminal records
- where appropriate, consent to obtain information from the Disclosure and Barring Service in order to assess an applicant's suitability to work with children and adults with needs for care and support in accordance with legislation
- receipt of two references in accordance with WDC recruitment and selection procedures
- confirmation of qualifications
- confirmation of identity

In line with the Council's recruitment and selection policy, Disclosure and Barring Service (DBS) checks will be carried out on all staff involved in 'Regulated Activity' relating to children and adults with needs for care and support. Guidance for managers is available from HR.

### **Supervision and appraisal**

All staff and volunteers work more effectively when they are well informed, trained and supported. Line managers should be sensitive to any concerns about abuse, act on them at an early stage and offer support to those who report it. It is the responsibility of line managers to monitor good practice. This can be done in a number of ways:

- direct observation of the activity or service
- staff appraisals, one-to-one meetings, mentoring and providing feedback on performance
- participant feedback on the activities or services

All staff working with or having regular contact with children, young people and adults with needs for care and support should have safeguarding as a standing item on the agenda for their one-to-one meetings.

## **14. Induction and training**

It is important that the recruitment and selection process is followed up by relevant induction and training in order to further protect children, young people and adults with needs for care and support from possible abuse. Appropriate training will enable individuals to recognise

their responsibilities with regard to their own good practice and the reporting of suspected poor practice and concerns or allegations of abuse. The induction and training will include:

- who the Safeguarding Officers are
- why safeguarding children, young people and adults is the responsibility of all staff
- basic awareness of the signs and indicators of abuse and an understanding of their responsibility to act swiftly and sensitively when concerns arise
- the procedures they need to follow in response to any concerns that they have
- the information and guidance that is available to them in respect of safeguarding (including information of thresholds relating to Child in Need and Child Protection)
- line managers ensuring that this policy document and its associated procedures is read and understood by all new and existing staff and volunteers. Updates to this policy will be distributed to all staff. Anyone without a computer will be provided with a hard copy
- clarification of the job expectations, roles and responsibilities (e.g. through a formal or informal work programme objectives)
- safeguarding procedures explained and training needs established

A training and skills development record will be kept and monitored by the Learning and Development Officer to ensure that training is undertaken and refreshed as necessary by appropriate staff across the Council.

An example of training requirements for staff, volunteers and elected members can be found at appendix G.

## **15. Whistleblowing**

Staff are advised to follow the Council's Whistleblowing policy.

<https://intranet.warwickdc.gov.uk/sites/finance/AuditAndRisk/Pages/Whistleblowing.aspx>

If the issue for whistleblowing involves a safeguarding issue officers should report the issue through the Strategic Lead Safeguarding Officer (see Appendix I) who will ensure that the safeguarding procedures are adhered to and the Warwickshire County Council Local Authority Designated Officer (LADO) is informed, if appropriate. For more information

<https://www.safeguardingwarwickshire.co.uk/safeguarding-children/i-am-a-parent-carer/information-for-parents/allegations-against-people-who-work-with-children-young-people>

Professionals can also raise concerns anonymously over how child protection issues are being handled by contacting the NSPCC whistleblowing advice line on 0800 028 0285 or [help@nspcc.org.uk](mailto:help@nspcc.org.uk)

## **16. Monitoring and review**

This policy will be reviewed on an annual basis, and updated where appropriate. However, if a weakness is identified in procedures or national guidelines alter the policy, it will be reviewed and revised immediately.

Any amendments to national or local guidelines and legislation will be recorded within the policy and signed off by the Member Safeguarding Champions. Staff, Members and volunteers will be notified of any changes to the policy.

# Child Sexual Exploitation

### A1. What is Child Sexual Exploitation (CSE)?

*"Child sexual exploitation is a form of child sexual abuse. It occurs where an individual or group takes advantage of an imbalance of power to coerce, manipulate or deceive a child or young person under the age of 18 into sexual activity in exchange for something the victim needs or wants, and/or for the financial advantage or increased status of the perpetrator or facilitator. The victim may have been sexually exploited even if the sexual activity appears consensual. Child sexual exploitation does not always involve physical contact; it can also occur through the use of technology". DoE CSE Feb 2017*

### A2. Understanding grooming

Sexual exploitation often involves a grooming stage. Grooming describes the variety of methods used to manipulate and control victims including:

- the giving of gifts or presents
- the giving of rewards – like mobile phone top-ups or games credits
- false promises of love and/or affection
- the supply of alcohol and/or drugs

It is very common for the grooming of children and young people to take place online. Children and young people can make themselves vulnerable through their online activities and abusers are quick to exploit this. Victims may have been persuaded or coerced into posting indecent images or performing sexual acts on a webcam. Online grooming can also progress to meeting face-to-face.

The early stages of the grooming process can be an exciting time for a child or young person, particularly if they are given high status gifts or are taken to parties, pubs, or clubs that they **wouldn't normally get into**.

Grooming is a way of developing an exclusive bond with the victim. Adolescents are particularly vulnerable to grooming where the abuser deceptively constructs a connection between sought after love or affection. As a result, the child or young person will believe that this person is actually their boyfriend or girlfriend.

### A3. The impact of sexual exploitation on children and families

As a result of the grooming process children and young people will rarely recognise the coercive and abusive nature of the relationship they are involved in and will often prioritise their attachment or loyalty to the offender over their own safety.

The perpetrators of sexual exploitation are not only very skilled at driving a wedge between a child and their family but will also isolate them from their usual friends and support networks.

Sexually-exploited children also suffer physical, psychological, behavioural, and attitudinal changes, all of which present severe challenges to their parents and carers.

While there is evidence that an unstable home life can increase the vulnerability of child sexual exploitation, the grooming process can bring chaos to a previously stable household.

PACE (Parents Against Child sexual Exploitation) is the leading national charity working with parents and carers whose children are being sexually exploited. For more information go to <https://paceuk.info/>

#### **A4. CSE guidance and risk assessment**

The WSCB has produced a CSE risk assessment framework

<https://www.safeguardingwarwickshire.co.uk/safeguarding-children/i-work-with-children-and-young-people/child-sexual-exploitation-cse-missing-trafficking> which should be used by staff, in consultation with their manager, the Strategic Lead Safeguarding Officer or Deputy (see pages 4 & 5) where there is a suspicion that a child may be subject to sexual exploitation. It can also be used by any professional who is working with a child or young person and has concerns that they may be at risk from, or experiencing, sexual exploitation.

**Use of the CSE risk assessment framework does not override immediate safeguarding duties, including calling 999 if a child is felt to be at immediate risk or following other reporting procedures set out in the Safeguarding Children Procedures.**

A child or young person may not recognise the level of risk or harm that they are exposed to. It is, therefore, particularly important that we exercise judgment when assessing a child or young person's circumstances.

The framework supports professionals in considering the vulnerability of a child or young person alongside any evidence of exploitative situations and relationships in order to reach a judgment of risk. It also provides further information about child sexual exploitation and links to specialist organisations and resources that can help to support professional practice.

#### **A5. MASH**

In Warwickshire, the MASH (Multi-Agency Safeguarding Hub) provides a multi-agency response to CSE, taking the lead in the identification, prevention, investigation, and prosecution of cases across the county. MASH is a partnership between Warwickshire County Council, Warwickshire Police, NHS and other key partners.

#### **Contact details for MASH**

01926 414144 (Monday-Thursday 8.30am -5.30pm, Friday 8.30am-5pm) 01926 886922 (out of hours) [mash@warwickshire.gov.uk](mailto:mash@warwickshire.gov.uk)

When assessing the risk of CSE, remember that:

- boys and girls are equally vulnerable to being victims of child sexual exploitation.
- coercers and perpetrators are usually adults, of either gender, in a position of power, but can be other children and young people.
- young people may exchange or sell sex as a result of constrained choices such as poverty, isolation and historic abuse.
- parents/carers may be involved in the sexual exploitation of their children, or fail to prevent/protect from it.
- groups of children and young people and multiple perpetrators may be involved.
- no child under 13 years or with a learning disability will be assessed as low risk if their behaviours indicate involvement in CSE.
- children and young people with additional needs, up to and including those aged 24 years require special consideration.
- disclosure of information may take time and evident risks may only emerge during on-going assessment, support and interventions with the young person and/or their family.

Please follow the Safeguarding Children Procedures

<https://www.safeguardingwarwickshire.co.uk/safeguarding-children/i-work-with-children-and-young-people/child-sexual-exploitation-cse-missing-trafficking> if you have any concerns that a child or young person is at risk of sexual exploitation.

If the information is situational or premises related (non-victim related) it should be reported to [cse.east@warwickshire.pnn.police.uk](mailto:cse.east@warwickshire.pnn.police.uk)

### Cultural Abuse

#### **B1. Honour-based violence**

Honour-based violence is a crime, and referring to the police must always be considered. It has or may have been committed when families feel that dishonour has been brought to them. The victims and the violence is often committed with a degree of collusion from family members and the community.

Many victims will contact the police or other organisations. However, many others are so isolated and controlled that they are unable to seek help.

Referrals that may indicate honour-based violence include domestic violence (see Appendix C for more information), concerns about forced marriage (see below for more information) enforced house arrest and missing persons reports.

#### **B2. Female genital mutilation (FGM)**

FGM involves procedures that intentionally alter or injure female genital organs for non-medical reasons. The procedure has no health benefit for girls and women. The Female Genital Mutilation Act was introduced in 2003 and came into effect in March 2004. The Act makes it illegal to practice FGM in the UK or to take girls who are British nationals or permanent residents of the UK abroad for FGM, whether or not it is lawful in another country. It also makes it illegal to aid, abet, counsel or procure the carrying out of FGM abroad.

#### **B3. Forced marriage**

Forced marriage is a term used to describe a marriage in which one or both of the parties is married without their consent or against their will. A forced marriage differs from an arranged marriage, in which both parties consent to the assistance of their parents or a third party in identifying a spouse. In a situation where there is concern that an adult at risk is being forced into a marriage they do not or cannot consent to, there will be an overlap between action taken under the forced marriage provisions and the safeguarding adults process. In this case, action will be co-ordinated with the police and other relevant organisations. The police must always be contacted in such cases as urgent action may need to be taken.

Please follow the appropriate **safeguarding procedures** if you have a concern that a child, young person or adult is the victim of cultural abuse.

# DOMESTIC ABUSE

### C1. What is domestic abuse?

The Home Office definition of domestic violence and abuse is:

*'Any incident or pattern of incidents of controlling, coercive or threatening behaviour, violence or abuse between those aged 16 or over by someone who is or has been an intimate partner or family member, regardless of gender or sexuality.'*

### C2. Recognising domestic abuse

Domestic abuse is usually hidden in the early stages but may become more obvious as it escalates. Victims may deny the abuse for fear of their abuser finding out that it has been noticed or discussed. The following is a guide and not an exhaustive list:

#### Psychological/emotional abuse

Intimidation and threats, social isolation, verbal abuse, humiliation, constant criticism, enforced trivial routines, marked over intrusiveness.

Insults, name-calling, swearing, criticising, treating person as inferior, undermining confidence, eroding independence, isolating from friends and family, intimidating, threatening to harm children or take them away, threatening suicide, forced marriage.

#### Physical violence

Slapping, pushing, kicking, stabbing, damage to property or items of sentimental value, attempted murder or murder. Shaking, punching, finger or bite marks, starving, tying up, suffocating, throwing things, using objects as weapons, female genital mutilation, honour violence. Physical evidence is often on areas of the body that are covered.

Physical restriction of freedom includes controlling who the parent or child/children see or where they go, what they wear or do, stalking, imprisonment, forced marriage.

#### Sexual violence

Any non-consensual sexual activity including: rape, sexual assault, sexual exploitation, refusing safer sex or human trafficking.

Forced prostitution, ignoring religious prohibitions about sex, sexual insults, evidence of sexually transmitted diseases, preventing breastfeeding.

#### Financial abuse

Stealing, depriving or taking control of money, running up debts, withholding benefits books or bank cards.

Stopping the person work/study, denying access to money, making them beg, gambling, not paying bills.

**Controlling behaviour** is defined as:

'a range of acts designed to make a person subordinate and/or dependent by isolating them from sources of support, exploiting their resources and capacities for personal gain, depriving them of the means needed for independence, resistance and escape and regulating their everyday behaviour.'

**Coercive behaviour** is defined as:

'an act or a pattern of acts of assault, threats, humiliation and intimidation or other abuse that is used to harm, punish or frighten their victim.'

**Threatening behaviour** includes threats of violence, threats of suicide or threats to take the children from the abused person.

**C3. Domestic abuse is more than just an argument.** It is rarely an isolated incident; it is usually an ongoing pattern which escalates over time, becoming more destructive and even life-threatening. Different types of abuse may occur at different times or in combination: some are criminal acts and all are emotionally damaging for the victim and their family, including children who may witness this.

#### **C4. Who experiences domestic abuse?**

The scale of domestic abuse is hard to quantify. It happens largely behind closed doors. Victims are too frightened or embarrassed to report what is happening or do not trust that they will be believed or safeguarded after their disclosure. Nationally:

- 1 million women experience at least one incident of domestic abuse each year
- 1 in 10 men report they have experienced domestic abuse
- At least 750,000 children each year witness domestic abuse

Domestic abuse affects people of all ages, social background, gender, religion, sexual preference or ethnicity, in a range of relationships: married, separated, divorced, living together, dating, heterosexual, gay or lesbian, and includes child on parent abuse and elder abuse. Domestic abuse that causes serious physical injury is mainly committed by men against women. Male victims of domestic abuse may find it harder to seek help. Domestic abuse affects children who witness the abuse and may require safeguarding action to be taken.

#### **C5. Why do people stay in abusive relationships?**

People stay in abusive relationships for many reasons, some of which are set out below. This is not an exhaustive list.

**Fear of further violence:** leaving may end the relationship, but may not end the abuse. Many victims are tracked down and further abused when they leave, often for months afterwards. About half of all women murdered by their partners had left or were in the process of leaving when they were killed.

**Lack of knowledge and access to help:** many victims don't know how to use their legal and housing rights. Even if they are aware, some have problems due to language difficulties, poor service from service providers, access issues if they live in isolated areas or a lack of funds.

**Economic dependence:** a victim who works may lose their job if they need time off work, move too far away or stay off work in order not to be tracked down. For others, becoming a single parent may mean working is no longer possible. Others may face months of legal processes over property and financial matters.

**Staying because of the children:** many victims think they should stay with their partner for the sake of their children.

**Hope/optimism:** hoping or believing that things will get better, especially at the outset and if there are settled periods.

**Social isolation:** most victims of domestic abuse are isolated either because their partners have deliberately cut them off from the support of family and friends, or because they are too ashamed or afraid to tell anyone. Sometimes, when they have told someone, their response has been unhelpful.

**Emotional dependence:** a commitment to the relationship and the abuser despite the abuse, fear of being alone or a feeling of responsibility for the abuser.

**Conflicting feelings:** a changing mixture of feelings (fear, shame, guilt, bewilderment) depending on the circumstances on any particular day.

**Lack of confidence:** lack of self-esteem or confidence in themselves or their ability to survive alone. They may believe there are no other options.

**Cultural reasons:** victims and abusers may have been brought up to believe that their fulfilment comes from being a husband/wife and mother/father or that divorce is wrong. Some may be encouraged to stay by family members or religious leaders.

**Never judge a person for leaving or not leaving an abusive relationship**

## **C6. Who are the perpetrators of domestic abuse?**

There is no typical perpetrator but there are some common characteristics:

- Many abusers suffer low self-esteem. Their sense of identity is often tied to their partner. If they feel they are losing their partner through separation, divorce, or **pregnancy (fearing the mother's love for the child will replace her love for them)**, they may lash out.
- If victims leave, the abuser may feel they are losing their control and self-identity. Abusers will often do anything to keep or regain control over the victim. Victims are at high risk during separation or divorce proceedings. The abuse often escalates and victims may need to physically leave to survive.
- Abusers may be perceived as out of control and unpredictable but the opposite is often true. Use of psychological, emotional and physical abuse, mixed with periods of respite, love and happiness are deliberate coercive tools used to secure submission. Police officers report attending the scene of a violent incident, finding a harmed victim and a composed perpetrator behaving as if nothing had occurred. Abusers may violently assault, then immediately express regret, buying gifts to win forgiveness. This creates confusion for victims, especially when abusers promise never to harm them again or to seek help. Such promises may be made to prevent victims leaving and, without help, the abuse usually recurs. Victims can often predict exactly when abuse will erupt.
- Victims often describe perpetrators as Jekyll and Hyde, reporting dramatic mood swings: they are loving one minute and cruel the next. They are often seen by those outside the home as generous, caring and good, behaving very differently in their home environment.

If you have any concerns that a person may be at risk from domestic abuse – either directly or indirectly (in the case of children and young people) please follow the domestic abuse procedures in separate procedure document.

### Mobile families

#### D1. Introduction

Families who experience frequent changes of address and/or are placed in temporary accommodation can be subject to particularly transient lifestyles. They are likely to lose contact with previous support networks and may become disengaged from services. Frequent movers can find it difficult to access the services they need. For those already socially excluded, moving frequently can worsen the effects of their exclusion.

Children and families who move most frequently between local authorities are homeless families, asylum seekers and refugees, gypsy and traveller families, looked after children, people in the criminal justice system, and families experiencing domestic violence. However, it must be remembered that other families that move frequently may not fit into those categories. It is important to note that some families move deliberately in order to avoid professionals from discovering abuse within the family and will access multiple services in order to avoid individual professionals building a picture of the family. It is equally important to note that not all families that move frequently are doing so to avoid professional scrutiny and in fact some families just like to move. However, this does not mean that frequent moves do not have a detrimental effect on children and young people, particularly in relation to feelings of social isolation and lack of educational consistency.

It is vital that services working with children maintain an awareness of how easily information and networks can be lost during moves. Effective systems must be put in place and robust action taken to ensure that as soon as such highly mobile families are identified, appropriate multi-agency planning is put in place for vulnerable children including unborn babies. Local authorities, the police, education, housing and the health service, and all associated agencies have a specific 'duty to co-operate' in the exercise of functions relevant to care and support, including those to protect adults, and to ensure better outcomes and to improve the well-being of adults with needs for care and support and the welfare of children, including children who move frequently.

#### D2. Identifying risk

When families move frequently it is more difficult for us to identify risks and monitor an **individual's welfare**. Staff, volunteers and Members should be alert to the possibility that a child or family that has moved may not be in receipt of universal services. Professionals who come into contact with a family should endeavour to proactively engage with the family in order to link them into local universal services, e.g:

- Seeking information about the child / family (full names, dates of birth, previous address, GP's name, if attending any school etc.)
- Providing information about relevant services
- Following up to ensure that the family has managed to make contact and register with a local GP, school and other relevant services to which the child is entitled
- Engaging appropriately with relevant agencies regarding any concerns which emerge

A number of national serious case reviews identify that a risk factor to children is due to them not being known to universal services.

The following circumstances associated with children and families moving across district authority boundaries are a cause for concern:

- A child and family, or pregnant woman, not being registered with a GP
- **A child not having a school place or whose attendance is irregular and who isn't being electively home educated**
- A child or family having no fixed abode (e.g. living temporarily with friends or relatives)
- Several agencies holding information about the child and family, which is not co-ordinated and / or which has not followed the child or family (i.e. information which is missing or has gaps)

### **D3. Responsibilities**

Although all agencies can play a role in identifying mobile families and subsequently the signals that may cause concern, it is acknowledged that some agencies will be more likely to identify transient families. These are health professionals, schools, housing authorities, **Children's Services and Department for Work and Pensions. Our own housing teams work** within specific procedures and practices in relation to transfers in and out of their service, either within or outside the county or district.

### **D4. Social housing**

Social housing has a very broad remit and is different depending on district, and varies further with landlord functions. In Warwickshire, each district council has the responsibility for delivering housing advice, homelessness prevention and statutory homeless services. Warwick District Council is also responsible for allocations of tenancies and general landlord functions. General professional curiosity should be applied in the context of a housing register application disclosing multiple addresses of short stays with different friends and/or family members, or not disclosing details of universal providers working with the applicant. If a member of staff identifies a household with a particularly high number of moves in relative short periods, or a reluctance to share required residency information, the Strategic Lead Safeguarding Officer should be informed to agree/determine next steps in line with our own safeguarding policies and procedures.

### **D5. Children's services**

If a child is known to Children's services and has left the area or is about to leave the area on a Child In Need plan, a transfer will take place when the carer/parent has consented to information being shared and wants continuation of service from another local authority. If the carer/parent does not consent, or does not want a service from another local authority consideration shall be given to whether the discontinuation of the child's plan will result in safeguarding issues. In these circumstances a referral will be still be made to the other local authority. The social worker will also send a letter notifying the GP, Health Visitor, school and any other agencies involved with details of the move, including the date and new address. This should be sent in all circumstances for both planned or unplanned moves.

On establishing that the child is moving or has moved out of the county and that child is on a child protection plan, the social worker will make immediate telephone contact with the new authority. This is to exchange information regarding reasons for the original child protection plan, current level of concern and date of last visit. The Warwickshire Social Worker has responsibility for taking any immediate action necessary to safeguard the health or welfare of the child; informing Children's Social Care in the new authority, and establishing temporary arrangements for case responsibility; ensuring that all Warwickshire agencies involved are aware of the move and that they are taking responsibility where relevant for informing their equivalent agency in the new authority; informing the Designated Manager of Children's Services in the Safeguarding Unit (Warwickshire); who will inform the Designated Manager in the receiving authority and send initial and most recent child protection conference minutes; attending and/or providing relevant information for the child protection conference in the receiving authority.

More information can be found about mobile families and children who are subject to cross-border issues at

[https://www.proceduresonline.com/covandwarksscb/files/ch\\_move\\_la\\_bound.pdf](https://www.proceduresonline.com/covandwarksscb/files/ch_move_la_bound.pdf)

#### **D6. What do you need to do?**

Staff, volunteers and Members should follow our safeguarding procedures.

If your concern is in relation to an unborn child then you should follow the WSCB guidance at

[http://www.proceduresonline.com/covandwarksscb/p\\_pre\\_birth.html](http://www.proceduresonline.com/covandwarksscb/p_pre_birth.html)

# Modern Slavery and Human Trafficking

### E1. Human trafficking and modern slavery

Human trafficking is a global crime which affects individuals and businesses worldwide.

Men, women and children are exploited from all over the world and, in the UK alone, potential victims have been identified from over 90 different countries.

The definition of human trafficking is taken from the Palermo Protocol and is identified as:

*"The recruitment, transportation, transfer, harbouring or receipt of persons, by means of the threat or use of force or other forms of coercion, of abduction, of fraud, of deception, of the abuse of power or of a position of vulnerability or of the giving or receiving of payments or benefits to achieve the consent of a person having control over another person, for the purpose of exploitation".*

*Exploitation shall include, at a minimum, the exploitation of the prostitution of others or other forms of sexual exploitation, forced labour or services, slavery or practices similar to slavery, servitude or the removal of organs".*

Modern slavery encompasses slavery, human trafficking, forced labour and domestic servitude. Traffickers and slave masters use whatever means they have at their disposal to coerce, deceive and force individuals into a life of abuse and inhumane treatment.

### E2. Indicators that someone may be a trafficking victim

Victims are trafficked all over the world for little or no money, including to and within the UK. There is no typical victim of human trafficking or slavery. Some **victims don't understand they** have been exploited and are entitled to help and support. Victims are often trafficked to a foreign country where they cannot speak the language, have their travel and identity documents removed and are told that if they try to attempt to escape, they or their families will be harmed.

Key indicators of trafficking include:

- Is the person in possession of their own passport, identification or travel documents? Are these documents in possession of someone else?
- Does the person act as if they were instructed or coached by someone else? Do they allow others to speak for them when spoken to directly?
- Was the person recruited for one purpose and forced to engage in some other job? Have transport costs been paid for by facilitators, whom they must pay back through working or providing services?
- Does the person receive little or no payment for their work? Is someone else in control of their earnings?
- Does the victim have freedom of movement? Are they dropped off and collected from work?
- Is the person withdrawn or do they appear frightened?
- Has the person or their family been threatened with harm if they attempt to escape?
- Is the person under the impression they are bonded by debt, or in a situation of dependence?
- Has the person been physically or emotionally harmed or deprived of food, water, sleep, medical care or other life necessities?

- Can the person freely contact friends or family? Do they have limited social interaction or contact with people outside their immediate environment?

This list is not exhaustive. Remember, a person may display a number of the trafficking indicators set out above but they may not necessarily be a victim of trafficking. You may **build up a picture of a person's circumstances**, which may indicate that something is not quite right. If you have a suspicion, report it.

From 1 November 2015, specified public authorities, including district councils, have a duty to notify the Home Office of any individual encountered in England and Wales who they believe is a suspected victim of slavery or human trafficking.

The duty is intended to gather statistics and help build a more comprehensive picture of the nature and scale of modern slavery.

### **E3. What should you do if you suspect someone is being trafficked or is the victim of modern slavery?**

Certain public bodies such as local authorities and chief officers of police have a statutory duty to refer. There is a national framework to assist in the formal identification and help to coordinate the referral of victims to appropriate services, known as the National Referral Mechanism (NRM). In England and Wales, only designated first responders can refer cases to the NRM.

If you think someone is in immediate danger call the police on 999.

You can phone the Modern Slavery helpline on 0800 0121 700.

The Salvation Army also has a 24/7 confidential referral hotline on 0300 303 8151 for potential adult victims of trafficking or to receive advice.

For potential child victims of trafficking or if your concern is situational or premises-related (non-victim related), please contact the Strategic Lead Safeguarding Officer or Deputy (see Appendix I).

Not all victims may want to be rescued and there may be instances where reporting a suspected trafficking case puts the potential victim at risk. Consent from an adult victim of trafficking/modern slavery should always be obtained except where a person is in immediate danger.

Find more information at

<https://www.safeguardingwarwickshire.co.uk/safeguarding-adults/i-work-with-adults/modern-slavery-and-human-trafficking>

# PREVENT and Channel

## Safeguarding vulnerable individuals from violent extremism

### F1. PREVENT

Prevent is one of the key strands of the Government's counter-terrorism strategy.

The aim of the Prevent strategy is to reduce the threat to the UK from terrorism by stopping people becoming radicalised, extremists, terrorists or supporting terrorism. The introduction of the Counter-Terrorism and Security Act in 2015 placed a duty on us as a local authority in **all our functions to have "due regard to the need to prevent people from being drawn into terrorism"**.

The 2011 Prevent strategy has three specific objectives:

- Respond to the ideological challenge of terrorism and the threat we face from those who promote it
- Prevent people from being drawn into terrorism and ensure that they are given appropriate advice and support
- Work with sectors and institutions where there are risks of radicalisation that we need to address. It is set up to challenge all forms of terrorism, including far right, far left and religious **extremists. It defines extremism as "vocal or active opposition to fundamental British values, including democracy, the rule of law, individual liberty and mutual respect and tolerance of different faiths and beliefs"**.

Prevent operates in the pre-criminal space, providing support and re-direction to vulnerable individuals at risk of being groomed into terrorist activities before any crimes are committed. Radicalisation could be comparable to other forms of exploitation, harm and abuse. It is therefore considered a safeguarding issue and thought of alongside the wider safeguarding agenda.

This means working with individuals who have not yet committed a crime but are vulnerable to radicalisation in whatever form that takes.

Prevent is not about spying on people or stigmatising them and their communities. It seeks to disrupt those who promote violent extremism and is about working with communities to identify individuals who may be susceptible to being drawn toward a path of violent extremism. The aim is to support such individuals to divert them away from violent extremism before they commit any criminal acts. It does this through a process called Channel (for more information see section F3 of this appendix).

In complying with the duty, we are expected to ensure that our venues and resources do not provide a platform for extremists and are not used to disseminate extremist views. This includes considering whether IT equipment available to the general public should use filtering solutions that limit access to terrorist and extremist material.

We are further expected to ensure that organisations that work with us are not engaged in any extremist views and, where appropriate, to take the opportunity when new contracts for the delivery of our services are being made, to ensure that the principles of the duty are written in to those contracts in a suitable form.

The Prevent strategy in Warwickshire aims to help local authorities, police, community safety partnerships and other partners and partnerships to develop and implement effective actions, which will make their communities safer. This will reduce the risk from terrorism and violent extremism, so that the people of Warwickshire can go about their business freely and with confidence.

Find more information at <https://www.safeguardingwarwickshire.co.uk/safeguarding-adults/i-work-with-adults/prevent-in-warwickshire>

## **F2. Who is vulnerable to radicalisation?**

There is no single indicator that we can use to help show who is vulnerable to being drawn into any form of extremism. Here, however, are some of the factors associated with a person who becomes vulnerable to it. The information shown below is taken from "Let's Talk About It" which is an initiative designed to provide practical help and guidance in order to stop people becoming terrorists or supporting terrorism <https://www.ltai.info/>

### **Susceptibility to indoctrination**

People can often become drawn to principles and ideologies held by others and some are particularly susceptible to this type of control.

Such individuals may be lacking moral role models in their lives, or be experiencing a lack of access to proper education or balanced arguments that can enhance their sensitivity to this form of manipulation.

These ideologies may be shared through **local 'teachers', national groups and** often on the Internet. Individuals are attracted to those with such perceived authority and knowledge through particular methods of indoctrination. Radicalisers use normal social processes of influence when trying to persuade vulnerable people towards their beliefs. **There's no magic formula or secret skill.** The difference is they use it to potentially extreme effect.

### **Social networks**

We trust those closest to us and can be influenced by those we trust. We tend to share the same beliefs as our peers and often will not question the motives of those we love and respect. It can be **easy to follow the same ideals and it's** comfortable to share the same way of thinking – even when that thinking may be misguided.

For many, friendship networks and gangs are clearly significant particularly for young people. There may be reason to believe that people are associating with others known to be involved in extremism - either because they associate directly with known individuals and close friends or because they frequent key locations where these individuals are known to operate.

There may be evidence that a significant **person in the individual's life has** extremist views or sympathies and they may be exposed to extremist material through these close connections.

### **A need for identity, meaning and belonging**

It may be that an individual has encountered peer, social, family or faith group rejection or isolation. They may choose to tackle feelings of resulting low self-esteem or loneliness by exploring new groups and cultures.

They may be searching for answers to questions about identity and faith and experiencing a need to belong and feel a part of something.

Individuals may be distanced from their cultural/religious heritage and feel uncomfortable with their place in the society around them. These individuals may show signs of disassociating from existing friendship group and becoming involved with a new and different group of friends.

### **Opportunistic involvement**

People may be presented unexpectedly with an opportunity to become involved with groups or individuals they may not otherwise associate with. They may be **taken by surprise by 'psychological hooks' that quickly take hold.**

They may see an opportunity to personally benefit from a situation and subsequently and unknowingly be lead down a path of radicalisation that they do not fully appreciate or understand.

During that process people may sometimes pass through a phase of holding extremist but not violent views, before reaching a position where they are prepared to pursue damaging actions.

### **Being at a transitional time of life**

A transitional stage in life can be anything from moving to a new area or country, ending or starting a new relationship, starting or graduating from college or university, changing jobs, recovering from an illness or a number of other situations which can leave people **questioning 'what's next?'**

Personal crises, significant life events such as loss or bereavement or major situational changes like homelessness or poverty can leave individuals questioning their identity and seeking new meaning.

### **Being influenced or controlled by a group**

Organisations intent on radicalising others can have an incredibly powerful and dominating effect on individuals.

People may choose to follow certain groups to earn credit amongst their peers or with those they perceive to be in an authoritative position/a group leader or head. They may not initially be **aware of the group's true intentions** or fully understand the extent of the beliefs held.

Leaders and members that hold strong beliefs can use their power and influence to induce guilt, shame and a sense of duty in the wider group. Individuals who show allegiance can be left with feelings of obligation, a need to fit in, a duty to **comply or to 'keep the peace'** and may have concerns around their own self-perception, worried about what others will think of them if they disagree or fail to conform.

### **F3. CHANNEL**

Channel forms a key part of the Prevent strategy. The process is a multi-agency approach to identify and provide support to individuals who are at risk of being drawn into terrorism.

Channel uses existing collaboration between local authorities, statutory partners, the police and the local community to:

- identify individuals at risk of being drawn into terrorism
- assess the nature and extent of that risk
- develop the most appropriate support plan for the individuals concerned

Channel is about safeguarding children, young people and adults from being drawn into committing terrorist-related activity. It is about early intervention to protect and divert people away from the risk they face before illegality occurs.

Channel may be appropriate for anyone who is vulnerable to being drawn into any form of terrorism/extremism. Channel is about ensuring that vulnerable children and adults of any faith, ethnicity or background receive support before their vulnerabilities are exploited by those that would want them to embrace terrorism, and before they become involved in criminal, terrorist-related, activity.

If you have concerns that someone is promoting terrorism or violent extremism, or about someone who is vulnerable to being drawn into such activity, you should report this. If you need further advice you can contact [prevent@warwickshireandwestmerica.pnn.police.uk](mailto:prevent@warwickshireandwestmerica.pnn.police.uk)

Find more information at <https://www.safeguardingwarwickshire.co.uk/safeguarding-adults/i-work-with-adults/prevent-in-warwickshire>

A Channel referral form can be found at: <https://safeinwarwickshire.com/prevent/> to be completed by the Prevent Lead or Deputy Prevent Officer in their absence when concerns are identified. This should be emailed to [prevent@warwickshireandwestmerica.pnn.police.uk](mailto:prevent@warwickshireandwestmerica.pnn.police.uk) and a copy sent to [safeguarding@warwickdc.gov.uk](mailto:safeguarding@warwickdc.gov.uk)

## APPENDIX G

### TRAINING AND DEVELOPMENT FRAMEWORK

All staff, councillors, volunteers, key contractors and consultants need to be able to recognise and respond to possible safeguarding issues. The level of training needed by each person is determined by their role, their level of contact with vulnerable adults and their role in managing or supervising others.

**This is an example framework, to be finalised.**

Tier	Definition of grouping	Who sits within the group? tbc
0	This group will have a general responsibility to contribute to safeguarding individuals.	
1	This group will undertake roles that have a responsibility to contribute to safeguarding individuals but do not have specific organisational responsibility or statutory authority to intervene.	
2	This group has considerable professional and organisational responsibility for safeguarding individuals. They have to be able to act on concerns and contribute appropriately. They need to work within an inter-or multi-agency context. All frontline managers, including staff who may act as the senior staff on duty, manage or supervise staff providing services directly to the public.	
3	This group is responsible for ensuring that the management and delivery of safeguarding duties is effective and efficient. They have oversight of the development of systems, policies and procedures in the organisation to facilitate good working partnerships with allied agencies to ensure consistency in approach and quality of service.	
4	This group is responsible for ensuring the organisation is, at all levels, fully committed to safeguarding and has in place appropriate systems and resources to support this work in an intra and inter-agency context.	

**Staff training:** Individual staff will register for and complete the required training during the timeframe identified by the Strategic Lead Safeguarding Officer in consultation with the individual's line manager. Staff will provide copies of certificates of completion to HR to record. All new staff will have an awareness of safeguarding, as a minimum requirement, as part of their initial induction. They should complete the required level of safeguarding training within an appropriate timeframe after starting, considering the nature of their role. Those involved in recruitment will need to complete additional training.

**Councillor training:** All Councillors will be required to complete safeguarding training as a mandatory part of the Councillor induction programme after an election and on appointment at a by-election. Face-to-face briefings will be provided in relation safeguarding generally and into Warwick District Council's specific policy and procedures.

### E-learning

to be updated

### Face to face training

All staff without IT access will need to attend safeguarding briefing sessions which will cover general safeguarding principles, personal responsibilities and who to contact if they have concerns.

### This is an example training framework, to be finalised.

Tier	Year 1	Year 2	Year 3	Year 4/5
0	Induction Training (WDC face-to-face) Basic awareness of safeguarding PREVENT	Training appropriate to the need of individual officer	Training appropriate to the need of individual officer	Training appropriate to the need of individual officer
1	Safeguarding Everyone Mental Capacity Act 2005 PREVENT	Awareness of Child Abuse and Neglect	As above	As above
2	Safeguarding Everyone – protecting children, young people and vulnerable adults Mental Capacity Act 2005 Awareness of Child Abuse and Neglect - Core Interagency Safeguarding Children and Young People (Relevant team leaders) Awareness of Domestic Violence and Abuse Inter-agency Safeguarding Adults (managers/team leaders) PREVENT	Mental Capacity Act Awareness Safeguarding Children from Abuse by Sexual Exploitation Multi-agency Domestic Abuse, Risk Assessment and MARAC Managing the Safeguarding at Risk Process Safer Recruitment	Mental Capacity Act – Application to Practice Safeguarding Children Refresher E learning courses and face to face	Lead Professional Role in Promoting a Child Centred Approach

3/4	<p>Awareness of Child Abuse and Neglect – Core</p> <p>Safer Recruitment</p> <p>Inter-agency Safeguarding Children and Young People</p> <p>Inter-agency Safeguarding Adults</p> <p>Awareness of Domestic Violence and Abuse</p> <p>PREVENT</p>	<p>Managing the Safeguarding at Risk Process</p> <p>Safeguarding Adults for Managers</p> <p>Children and Young People who go missing</p> <p>Safeguarding Children from Abuse by Sexual Exploitation</p> <p>Child Sexual Exploitation</p>	<p>Safeguarding Children Refresher</p> <p>Introduction to FGM, Forced Marriage, Spirit Possession and HBV</p> <p>Trafficking, exploitation and modern slavery</p> <p>Multi-agency Domestic Abuse</p> <p>On Line Safety</p>	<p>Hidden harm– the effects of parental problem substance use on children</p> <p>Self-harm and suicidal thoughts in children and young people</p> <p>Working with hostile and un-cooperative parents</p> <p>A new approach to child poverty</p>
-----	---	--	--	---

## APPENDIX H

### COUNTY LINES

County lines refers to a model used by criminal gangs, whereby urban gangs supply drugs to suburban areas and market and coastal towns. These gangs frequently recruit and exploit children and vulnerable adults to courier drugs and money.

In addition, some vulnerable adults have their homes taken over by the gangs (cuckooing) using force or coercion.

The Home Office has updated its County Lines guidance to support policing and other statutory frontline staff, particularly those who work with children, young people and vulnerable adults in identifying potential victims of this type of criminal exploitation. It sets out the signs to look for in potential victims, and what action staff should take so that potential victims get the support and help they need. The document supplements an **organisation's existing safeguarding policies. The guidance is available here:**

[https://www.gov.uk/government/publications/criminal-exploitation-of-children-and-vulnerable-adults-county-lines?utm\\_source=APACE&utm\\_medium=APACE&utm\\_campaign=County%20Lines&utm\\_term=County%20Lines%20guidance%20booklet&utm\\_content=County%20Lines%20guidance%20booklet](https://www.gov.uk/government/publications/criminal-exploitation-of-children-and-vulnerable-adults-county-lines?utm_source=APACE&utm_medium=APACE&utm_campaign=County%20Lines&utm_term=County%20Lines%20guidance%20booklet&utm_content=County%20Lines%20guidance%20booklet)

The Home Office is also raising awareness of county lines across a range of non-statutory sectors. These are:

- Private security sector:
- Licensed taxi and private hire company staff:
- Bus and coach company staff:
- Train operating company staff:
- Private landlords and letting agents:

For concerns about county lines please contact the Strategic Lead Safeguarding Officer or Deputy (see Appendix I).

## APPENDIX I

### Useful contacts

#### **Warwick District Council**

**Strategic Lead Safeguarding Officer:** Lisa Barker 01926 456043

[Lisa.barker@warwickdc.gov.uk](mailto:Lisa.barker@warwickdc.gov.uk)

**Deputy Strategic Lead Safeguarding Officer** Marianne Rolfe 01926 456700

[Marianne.rolfe@warwickdc.gov.uk](mailto:Marianne.rolfe@warwickdc.gov.uk)

**Lead Prevent Officer:** Marianne Rolfe 01926 456700 [Marianne.rolfe@warwickdc.gov.uk](mailto:Marianne.rolfe@warwickdc.gov.uk)

**Deputy Prevent Officer:** Pete Cutts 01926 456021 [Pete.cutts@warwickdc.gov.uk](mailto:Pete.cutts@warwickdc.gov.uk)

#### **Officer safeguarding representatives**

##### **Housing Services:**

James Baker 01926 456432 [james.baker@warwickdc.gov.uk](mailto:james.baker@warwickdc.gov.uk)

Amanda Bennett 01926 456443 [amanda.bennett@warwickdc.gov.uk](mailto:amanda.bennett@warwickdc.gov.uk)

Simon Brooke 01926 456427 [simon.brooke@warwickdc.gov.uk](mailto:simon.brooke@warwickdc.gov.uk)

Caroline Russell 01926 456411 [caroline.russell@warwickdc.gov.uk](mailto:caroline.russell@warwickdc.gov.uk)

Jane Rostron 01926 456445 [jane.rostron@warwickdc.gov.uk](mailto:jane.rostron@warwickdc.gov.uk)

Elaine Wallace 01926 456311 [Elaine.wallace@warwickdc.gov.uk](mailto:Elaine.wallace@warwickdc.gov.uk)

##### **Health and Community Protection:**

Pete Cutts 01926 456021 [pete.cutts@warwickdc.gov.uk](mailto:pete.cutts@warwickdc.gov.uk)

Julian Hill 01926 456010 [julian.hill@warwickdc.gov.uk](mailto:julian.hill@warwickdc.gov.uk)

Lorna Hudson 01926 456320 [lorna.hudson@warwickdc.gov.uk](mailto:lorna.hudson@warwickdc.gov.uk)

##### **Cultural Services**

Manoj Sonecha 01926 456221 [Manoj.sonecha@warwickdc.gov.uk](mailto:Manoj.sonecha@warwickdc.gov.uk)

##### **Neighbourhood Services**

Zoe Court 01926 456314 [zoe.court@warwickdc.gov.uk](mailto:zoe.court@warwickdc.gov.uk)

##### **Finance**

Andrea Wyatt, 01926 456831 [andrea.wyatt@warwickdc.gov.uk](mailto:andrea.wyatt@warwickdc.gov.uk)

#### **Member safeguarding champions**

Councillor Judith Falp [Judith.falp@warwickdc.gov.uk](mailto:Judith.falp@warwickdc.gov.uk)

Chair of Health scrutiny subcommittee-tbc

#### **Warwickshire County Council**

##### **For children**

01926 414144 MASH (Monday-Thursday 8.30am -5.30pm, Friday 8.30am-5pm)

01926 886922 (out of hours)

[mash@warwickshire.gov.uk](mailto:mash@warwickshire.gov.uk)

Referrals to the Children's team should be made using the guidance available on the County Council's web-site: [www. https://www.safeguardingwarwickshire.co.uk/report-it](https://www.safeguardingwarwickshire.co.uk/report-it)

##### **For adults**

01926 412080 (8.45am to 5.15pm, (4.45pm Friday)

Phone 999 emergency or 101 non-emergency (Warwickshire Police)

[adultreferrals@warwickshire.gov.uk](mailto:adultreferrals@warwickshire.gov.uk)

##### **About a person in a position of trust**

To Local Authority Designated Officer for Allegations (LADO)

Tel: 01926 743433 email: [lado@warwickshire.gov.uk](mailto:lado@warwickshire.gov.uk)

##### **To report a suspected truancy**


01926 736323 Access to Education Team [cme@warwickshire.gov.uk](mailto:cme@warwickshire.gov.uk)

**Warwickshire Police:** phone 999 emergency or 101 non-emergency

## APPENDIX J

### Change Log

Version	Amended by	Date	Change	Approved by:	Date	Communicated to staff and members

 <b>EXECUTIVE 3<sup>rd</sup> October 2019</b>		<b>Agenda Item No.</b> <b>5</b>
<b>Title</b>	Draft Business Strategy 2019-2023	
<b>For further information about this report please contact</b>	Andrew Jones (01926) 456830 <a href="mailto:Andrew.jones@warwickdc.gov.uk">Andrew.jones@warwickdc.gov.uk</a>	
<b>Wards of the District directly affected</b>	All	
<b>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?</b>	No	
<b>Date and meeting when issue was last considered and relevant minute number</b>	3 <sup>rd</sup> April 2019	
<b>Background Papers</b>	Report as above	

<b>Contrary to the policy framework:</b>	No
<b>Contrary to the budgetary framework:</b>	No
<b>Key Decision?</b>	Yes
<b>Included within the Forward Plan? (If yes include reference number)</b>	Yes Ref 1,063
<b>Equality &amp; Sustainability Impact Assessment Undertaken</b>	No
Not applicable.	

<b>Officer/Councillor Approval</b>	<b>Date</b>	<b>Name</b>
Chief Executive	2 <sup>nd</sup> September 2019	Chris Elliott
CMT	2 <sup>nd</sup> September 2019	Chris Elliott, Bill Hunt, Andrew Jones
Section 151 Officer	2 <sup>nd</sup> September 2019	Mike Snow
Monitoring Officer	20 <sup>th</sup> August 2019	Andrew Jones (author)
Portfolio Holder(s)	9 <sup>th</sup> September 2019	Councillor Day
<b>Consultation &amp; Community Engagement</b>		
All Members of the Council to be consulted.		
<b>Final Decision?</b>		No.

## 1 SUMMARY

- 1.1 The report seeks Executive agreement to a consultation with all Council Members on the draft Business Strategy 2019-2023 and requests that officers seek feedback which can be used to produce a final Strategy for endorsement.

## 2 RECOMMENDATIONS

- 2.1 That Executive agrees that officers undertake a consultation exercise with all Council Members in respect of the draft Business Strategy 2019-2023 at Appendix A.
- 2.2 That subject to agreeing recommendation 2.1, officers submit a further report to the February 2020 Executive to seek agreement of a Business Strategy 2019-23 which reflects consultation responses to the draft Strategy.

## 3 REASONS FOR THE RECOMMENDATIONS

- 3.1 At its meeting of 10<sup>th</sup> July 2019, Executive agreed the Council's programme of work for 2019-2020 following adoption of the Service Area Plans. However, there was recognition that the detail of the strategic direction of the new administration was still being developed:

*"Officers are in the process of developing a Council Business Plan with the Plan's strategic direction being steered by the Executive. The Plan is currently at an early stage but will shortly move to draft stage. Once this point has been reached, consultation will take place with Group Leaders and the respective Groups to garner Councillors' views on the document. It is hoped that a consensus can be reached as to the Plan's content."*

- 3.2 Work has continued on the development of a Business Strategy (previously referred to as a Business Plan) and the latest draft can be seen at Appendix A to this report. The Strategy has been constructed around five key themes:

- Responding to the **Council's** Climate Emergency declaration;
- Transforming **the Council's working practices and business processes**, utilising technology and enabling digital services to reduce costs;
- Maximising income by taking a more entrepreneurial approach to income generation and developing new income streams;
- **Investing in the Council's built assets to enhance service delivery and/ or** increase the financial return; and
- Supporting the local economy to produce high quality jobs and increase the prosperity of the District.

- 3.3 At the Council meeting of 27<sup>th</sup> June 2019, Members voted unanimously to declare a climate emergency. It was agreed that within six months of the vote, an action plan would be produced by a group led by the Portfolio Holder for Business & Environment. The work on this plan has commenced, although given the vastness of its potential scope, outside assistance is being. The outcomes from the work of this group will have a major impact on what the Council does over the coming years but that does not preclude officers from starting on **initiatives in advance of the group's report**. Therefore, specific ideas have been **put forward at this point for Members' consideration**.

- 3.4 The next three themes are to some degree inter-related and are proposed in the context of a Council that is providing, and will continue to provide, high

quality services, which has great ambition and a programme of work in-train to enhance the District but which has seen the amount of grant it receives from Central Government now cut to zero. Consequently, the Council must continue to develop the efficiency and effectiveness of its services whilst at the same time maximising the income it receives so that major cost reduction programmes are not needed which could have negative impacts on service delivery.

- 3.5 The fifth theme of supporting the local economy is fundamental to the prosperity of the District and in turn the success of the Council. If the District is attractive to individuals and businesses, investment in the District increases with positive financial consequences for local shops and services. This leads to a **positive impact on the Council's income streams such as business rates, council tax, parking income and planning fees** all of which can then be re-invested in the delivery of high quality services.
- 3.6 **At Section 5 to this report the Council's** current financial position and outlook is described. The content of the Business Strategy is designed to increase the resources available to the Council. Should Members agree to the proposed strategic approach then officers will put detail on the programmes of work so that the Business Strategy can be signed-off in tandem with the Budget 2020-21.
- 3.7 Members are therefore asked to consider the draft Business Strategy and discuss the content in their respective Groups. It would be helpful if each Group Leader could nominate a Member to provide feedback to officers on behalf of their respective Group.

## 4 POLICY FRAMEWORK

### 4.1 Fit for the Future (FFF)

The Council's draft FFF Strategy (proposed addition highlighted below) 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
<b>External</b>		
<b>Health, Homes, Communities</b>	<b>Green, Clean, Safe</b>	<b>Infrastructure, Enterprise, Employment</b>
<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> Becoming a net-zero carbon organisation by 2025 Total carbon emissions within Warwick District are as close to zero as possible by 2030	<u>Intended outcomes:</u> Dynamic and diverse local economy Vibrant town centres Improved performance/ productivity of local economy Increased employment and income levels

	Area has well looked after public spaces All communities have access to decent open space Improved air quality Low levels of crime and ASB	
<b>Internal</b>		
<b>Effective Staff</b>	<b>Maintain or Improve Services</b>	<b>Firm Financial Footing over the Longer Term</b>
<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 <b>customers' needs</b> 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

#### 4.2 **Supporting Strategies**

Each strand of the FFF Strategy has several supporting strategies. Each of these is referenced in the draft Business Strategy 2019-2023.

#### 4.3 **Changes to Existing Policies**

The Business Strategy 2019-23 does not propose any changes to Council policies.

#### 4.4 **Impact Assessments**

Not applicable.

### **5 BUDGETARY FRAMEWORK**

5.1 **Details of the Council's Medium Term Financial Strategy (MTFS) is regularly reported to the Executive.** This presents Members with the projected shortfall on the General Fund, showing the savings that are needed to be found over the next five years.

5.2 The Spending Review 2019 was recently announced by the Government. Within this, it was confirmed that the Business Rate Retention System will remain unchanged for 2020/21. The Government also announced that a decision had been taken to delay the implementation of 75 per cent business rates retention and the Fair Funding Review until April 2021. With the changes to the Business Rate Retention expected to be to the detriment of the Council, this delay should **be to the Council's advantage in the short term. In view of the expected** reduction to funding from Business Rate Retention, the Council retains a

Business Rate Retention Volatility Reserve to smooth any potential changes in funding.

- 5.3 No announcements have been made about the potential referendum limits for council tax increases for 2020/21. These are expected to be consulted upon. The MTFS includes future council tax increases of 3% per annum.

- 5.4 The MTFS also has the following factored in: -

- Increased costs relating to increases in contract prices from 2021/22.
- Savings from the Covent Garden redevelopment and office re-location from April 2022.
- Savings from changes to the Town Hall from July 2022.

Any changes to these will impact upon the savings needed to be found.

- 5.5 The latest MTFS, taking into account all recent updates produce the following additional levels of savings/ increased income needing to be found.

	<b>2020/2 1</b>	<b>2021/2 2</b>	<b>2022/2 3</b>	<b>2023/2 4</b>	<b>2024/2 5</b>
	<b>£'000</b>	<b>£'000</b>	<b>£'000</b>	<b>£'000</b>	<b>£'000</b>
Deficit-Savings Required(+)/Surplus (-) future years	268	709	1,212	1,302	1,128
Change on previous year	268	441	503	90	-174

- 5.6 In addition to the savings needed from the MTFS, the Council has several on-going costs and liabilities that are funded from specific earmarked reserves. These include: -

- ICT Replacement Reserve
- Equipment Renewal Reserve
- Corporate Assets Reserve
- Public Amenity Reserve

All of these reserves are forecast to be fully depleted in the forthcoming years. Further allocations to these reserves are needed to be made within future **considerations of the Council's Budgets if services are to be maintained.**

- 5.7 Within the Quarter 1 Budget Review report, it was highlighted that the Community Projects Reserve and Service Transformation Reserve are both currently exhausted. Again, the Council needs to consider making further contributions to these reserve in the future.

- 5.8 The Council is expecting to receive New Homes Bonus in 2020/21 in the range £2.7m-£4m. The Council does not use this funding to support the on-going running costs of services. Consequently, this funding has in the past been allocated to one-off projects and reserves. Several projects have already been agreed in principle to be allocated from the 2020/21 NHB. These will need to be considered alongside allocations to reserves and Council priorities, including demands for funding to support the five main themes comprising the Business Strategy.

- 5.9 Taking into account the savings needed to be found within the MTFS, the forecast depleted reserves, funding commitments agreed in principle and


demand from the new Business Strategy, Members are likely to need to make some significant decisions as part of agreeing the 2020/21 Budget in February.

## **6 RISKS**

- 6.1 The risk in not ultimately adopting a Business Strategy is that the Council has no overarching framework to describe what it is seeking to achieve. This means that there is a lack of coherence to **the Council's business and decisions are** made with no guiding principles.
- 6.2 Following adoption of the Strategy Risk the Significant Business Risk Register will be updated in line with the Business Strategy. The updating will need to reflect the **organisation's appetite for risk inherent in the adoption of the** Strategy.

## **7 ALTERNATIVE OPTIONS CONSIDERED**

- 7.1 No alternative options were considered as it is essential that the Council is clear about its priorities and how it will go about achieving them.

	Executive	<b>Agenda Item No.</b>  <b>6</b>
<b>Title</b>	Charges for Lifeline services - new tenants of designated properties  Proposal for management changes to stock identified for older people, including the removal of the lettings age restriction for Stamford Garden and Radcliffe Gardens	
<b>For further information about this report please contact</b>	Lisa Barker: Head of Housing <a href="mailto:lisa.barker@warwickdc.gov.uk">lisa.barker@warwickdc.gov.uk</a>  Caroline Russell Sustaining Tenancies Manager <a href="mailto:caroline.russell@warwickdc.gov.uk">caroline.russell@warwickdc.gov.uk</a>  James Baker Housing Support & Lifeline Manager <a href="mailto:james.Baker@warwick.gov.uk">james.Baker@warwick.gov.uk</a>	
<b>Wards of the District directly affected</b>	All	
<b>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?</b>	No	
<b>Date and meeting when issue was last considered and relevant minute number</b>	08/02/2017 Housing Related Support Services Minute number 91	
<b>Background Papers</b>	Housing Related Support Services Executive 8/02/2017	

<b>Contrary to the policy framework:</b>	No
<b>Contrary to the budgetary framework:</b>	No
<b>Key Decision?</b>	No
<b>Included within the Forward Plan? (If yes include reference number)</b>	Yes 967
<b>Equality and Fairness Impact Assessment (E&amp;FIA) Undertaken</b>	

<b>Officer/Councillor Approval</b>		
<b>Officer Approval</b>	<b>Date</b>	<b>Name</b>
Deputy Chief Executive	03/09/2019	Bill Hunt
Head of Service	03/09/2019	Lisa Barker
CMT	03/09/2019	Chris Elliott
Section 151 Officer	03/09/2019	Mike Snow

Monitoring Officer	03/09/2019	Andrew Jones
Finance	03/09/2019	Victoria Bamber
Portfolio Holder(s)	03/09/2019	Cllr Jan Matecki
<b>Consultation &amp; Community Engagement</b>		
None		
<b>Final Decision?</b>		no
<b>Suggested next steps (if not final decision please set out below)</b>		
Full Council to approve.		

## 1. Summary

- 1.1 This report contains two proposals
- 1.2 Firstly, it considers a proposal to make consistent the service provision and the charging structures for tenants who live in age-designated properties within the district.
- 1.3 Secondly, to consider a proposal to give a more focused service to our older customers living in designated and age appropriate stock, this also involves a change to the letting restriction for two blocks, which are currently age designated, to general needs.

## 2. Recommendations

- 2.1 That Executive recommends to Council that the Lifeline basic service be provided as a standard feature in all designated properties (Appendix 1) but that the service is introduced on a gradual basis as the current tenants move on.
- 2.2 That Executive recommends to Council the removal of the age restriction at Stamford Court and Radcliffe Gardens properties as detailed at Appendix 2.

## 3. Reasons for the Recommendations

- 3.1 To comply with legislation to achieve designated status, a property is required to be provided for a particular community and to offer facilities as standard, over and above that of a general needs property. Most commonly, the facilities offered by housing providers include for an alarm. The current policy is that tenants who live in designated properties that are not part of a scheme can opt out of the lifeline service. Whilst this is attractive in terms of customer choice, it brings into question whether the properties can be classed as designated.

If it were successfully argued that a property is not designated, the Right to Buy would apply. Whilst the concept of older people purchasing their home is welcomed, it leads to problems later on when that property is subsequently sold. There are examples of younger people buying these properties and a consequence of different lifestyles has led to older people feeling at the least disturbed to feeling afraid and fearful of their surroundings and possible increase in anti-social behaviour. By having the Lifeline service in the property permanently, an enhanced support offer can be delivered for those residents. This could mean that residents may be able to stay in their homes longer, rather than move to a property with additional support. It will also help people

be discharged from hospital more quickly as the service will be in place from when they move in.

It is proposed to reintroduce the charges as current tenants move on. Therefore, there is no adverse impact to the current residents. However, no further tenants will be permitted to opt out of the scheme.

A full list of properties to be classed as designated can be found at Appendix 1.

- 3.2 It is proposed that we will provide an enhanced property owner offer for residents living in age designated and sheltered scheme properties, this will include working with those residents in the community to facilitate activities where those communities request them. It is proposed that we will develop several tiers of service available to residents, to those living in sheltered scheme, to those living in schemes with community centres and to those living in age designated properties. We propose that housing staff will be more visible at these schemes and estates and will work with the community to help develop a further sense of community, linking in with other residents in nearby properties. This will support a wider housing strategy for older and disabled people.

This offer involves the consideration of properties that are age designated and whether this is the correct way to manage the stock that WDC has. Therefore, a removal of the letting restriction is proposed for the properties at Stamford and Radcliffe Gardens. These are both high-rise tower blocks and classed as age restricted properties, and are let only to tenants who are over the age of 55. Due to changes in demographic, properties available and issues with access in the block, we are proposing that this age restriction is now removed. To manage the block more effectively and to reduce the risk substantially would be to change the resident profile to those with less vulnerability would mean to remove the age restriction. Warwickshire Fire and Rescue Service have indicated that it is a concern for so many vulnerable people to be located in a high-rise accommodation. It is proposed that this change happens organically and there is no wholesale decant of the blocks, we would work with our current residents to carry out a series of moves to more appropriate age related designated stock amongst our sheltered or age designated housing properties.

A full list of properties at Stamford Gardens and Radcliffe Gardens can be found at Appendix 2.

#### 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 three 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
<b>External</b>		
<b>Health, Homes, Communities</b>	<b>Green, Clean, Safe</b>	<b>Infrastructure, Enterprise, Employment</b>
<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
<b>Impacts of Proposal</b>		
The proposal aims to ensure the provision of suitable housing and support for older people across the district.	Lifeline assists with keeping older and vulnerable people safe in their own homes	None.
<b>Internal</b>		
<b>Effective Staff</b>	<b>Maintain or Improve Services</b>	<b>Firm Financial Footing over the Longer Term</b>
<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 <b>customers' needs</b> 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
<b>Impacts of Proposal</b>		
None	Enables the Lifeline service to have a secure customer base and guaranteed income. Enables a continuing support service for older and vulnerable tenants.	Secures a long-term additional rental income for the Housing Revenue Account.

## 4.2 Supporting Strategies

Each strand of the FFF Strategy has several supporting strategies and the relevant ones for this proposal are explained here.

- The HRA Business Plan contributes to the Fit for the Future transformation programme and assists the Council to deliver its Vision
- The Housing Revenue Account (HRA) budget and the HRA Business Plan are the **financial expressions of the Council's housing policies.**

### 4.3 Changes to Existing Policies

This report does not bring forward changes to existing policies, however there would be a change to the lettings process for our own housing stock if the proposed to remove the age restriction at the two blocks of flats

### 4.3 Impact Assessment – The first proposal will provide housing principally for older and vulnerable groups. There is ongoing demand for sheltered housing services from Warwick District Council.

The second proposal would increase the availability of housing stock for younger working age people, this would be desirable as both blocks are centrally located

## 5. Budgetary Framework

- 5.1 The table below sets out the current funding arrangements for the housing related support services provided, and the funding arrangements outlined in the new proposal:

		Existing	New Proposal
Expenditure	Staffing	£737,400	£737,800
	Supplies & Services	£230,600	£230,600
	Support Services	£164,400	£164,400
	Other expenditure	£13,100	£13,100
<b>Expenditure Total</b>		<b>£1,145,900</b>	<b>£1,145,900</b>
Income	Charges (Designated properties)	-£233,841	-£375,931
	Charges (Private)	-£105,400	-£105,400
	Other Income	-£128,600	-£128,600
<b>Income Total</b>		<b>-£467,841</b>	<b>-£609,931</b>
<b>NET HRA COST</b>		<b>£678,059</b>	<b>£535,969</b>

- 5.2 If approved the HRA contribution to the service will be reduced by £142090.
- 5.3 This charge is not fully eligible for Housing benefit or Universal Credit, the monitoring charges (currently £3.65 per week) are classed as an ineligible service charge in Housing Benefit regulations, and as such any Housing Benefit or Universal Credit claim would not pay this part of the lifeline charge. Over 50% of Sheltered Housing tenants do not claim housing benefit as they have sufficient income or savings to pay rent and living costs. An assessment of affordability is always completed as part of our process to settle new tenants into their home and to ensure that they can manage financially.

## 6. Risks

- 6.1 These properties are classed as designated stock for people who are 55+. If these properties do not have an additional feature which demonstrate why they need to be designated stock, the Council is open to challenge, including that properties should be let as part of general needs stock and be subject to the


right to buy. There is also a risk if this proposal is not approved, that over time the ability of the council to meet the needs of older people will diminish.

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

- 7.1 Do nothing: WDC could continue how it currently operates and leave designated property tenancies with the option of taking the lifeline service. This would negatively affect potential income and possible leave us open to challenge about the nature of the stock. It would not offer the best protection for older and vulnerable people.

## **8. Background**

- 8.1 Within our housing stock, there are 1449 designated properties and these are located across the district. Of these 186 properties are contained within five large schemes.
- 8.2 As part of the redesign of lifeline services and housing support a decision was made that designated properties would be allowed to opt in and opt out at any time. Details were contained within a report that went to executive in February 2017. Executive approved that tenants of (non scheme) designated dwellings could opt in and opt out.
- 8.3 The lifeline service is offered to WDC tenants to enable them to live in their homes and remain independent for longer. Lifeline also provides services to private residents across south Warwickshire to not only help them to stay in their home longer but provide WDC an income to support providing the Lifeline service.
- 8.4 There has been an increase in WDC staff presence at our high-rise blocks over the last two years, notably carrying out daily inspections for all high-rise blocks; also, the housing team conducts an annual visit to every tenant in a high-rise flat. This has highlighted issues and concerns regarding the vulnerabilities of some of our residents in those blocks. There is a concern about how we can safely manage the blocks for our residents if there was an emergency and residents needed to exit the blocks quickly. Due to the age restriction on these two blocks, those concerns have become more apparent, we have completed works to act as a mitigation to reduce the risk, including 60-minute fire doors, new alarm systems and the daily checks previously mentioned.
- 8.5 WDC currently has 1449 properties that are designated for use by older customers. The impact of removing the age restriction for would reduce this by 110 units. This does not mean that people over 55 could not bid for these properties however, it means that people less than 55 can. The proposal to offer an enhanced service for our customers in older person schemes is focussing on delivering a more focused service and developing community and activities that the communities can become involved in, whilst also providing an extra staff presence from housing for that additional service and availability we can offer.

 <b>EXECUTIVE 3<sup>rd</sup> October 2019</b>		<b>Agenda Item No.</b> <b>7</b>
<b>Title</b>	Project Initiation Document for the replacement of various software	
<b>For further information about this report please contact</b>	Andrew Jones (01926) 456830 <a href="mailto:Andrew.jones@warwickdc.gov.uk">Andrew.jones@warwickdc.gov.uk</a>	
<b>Wards of the District directly affected</b>	All	
<b>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?</b>	No	
<b>Date and meeting when issue was last considered and relevant minute number</b>	N/A	
<b>Background Papers</b>	None	

<b>Contrary to the policy framework:</b>	No
<b>Contrary to the budgetary framework:</b>	No
<b>Key Decision?</b>	Yes
<b>Included within the Forward Plan? (If yes include reference number)</b>	Yes Ref 1,067
<b>Equality &amp; Sustainability Impact Assessment Undertaken</b>	No
Not applicable.	

<b>Officer/Councillor Approval</b>	<b>Date</b>	<b>Name</b>
Chief Executive	2 <sup>nd</sup> September 2019	Chris Elliott
CMT	2 <sup>nd</sup> September 2019	Chris Elliott, Bill Hunt, Andrew Jones
Section 151 Officer	2 <sup>nd</sup> September 2019	Mike Snow
Monitoring Officer	2 <sup>nd</sup> September 2019	Andrew Jones (author)
Head of Service	2 <sup>nd</sup> September 2019	Mike Snow
Portfolio Holder(s)	9 <sup>th</sup> September 2019	Councillor Falp
<b>Consultation &amp; Community Engagement</b>		
Not Applicable		
<b>Final Decision?</b>	Yes.	

## 1 SUMMARY

- 1.1 The report recommends that Executive approves the Project Initiation Document (PID) for replacement of software (Civica APP, IDOX, Acolaid & GGP and a range of bespoke in-house developed solutions) used by Health & Community Protection (HCP), Neighbourhood Services (NS), Private Sector Housing (PSH) and Development Services (DS).

## 2 RECOMMENDATIONS

- 2.1 That Executive endorses the Project Initiation Document (PID) at Appendix A, with extracted Business Case at Appendix B, for the replacement of software used by HCP, NS, PSH and DS.
- 2.2 That subject to agreeing recommendation 2.1, Executive agrees to release £15,000 from the Business Rates Volatility Reserve to employ a Project Manager for 2019/20 and that the remaining cost of the two-year post is addressed in the Budget Report 2020/21.

## 3 REASONS FOR THE RECOMMENDATIONS

- 3.1 At Appendix A to this report, Members will find the PID for procuring and replacing software (Civica APP, IDOX, Acolaid & GGP and a range of bespoke in-house developed solutions) used by HCP, NS, PSH and DS. Within the PID is the detailed rationale for the proposed changes. **To assist with Members’** understanding of the initiative, an Executive Summary is provided at Appendix B.
- 3.2 Ordinarily, Members would not be asked to approve PIDs as this is usually done at Project Board level. However, in this instance the proposed technology upgrades impact upon a number of high profile Council services and it is essential that Members fully understand what is being proposed.
- 3.3 In order to maintain the delivery of high quality services the business case argues that investment in improved technology must be made. Whilst this technology upgrade will in itself enable a positive impact on service delivery there will also need to be changes in the way that staff operate if the maximum advantage is to be gained by the enhancement. The initiative is referenced in **the draft Business Strategy (also being considered on tonight’s agenda) as an** area where service can be improved whilst costs are reduced. Further work on the opportunity for cost reduction needs to be undertaken and an update on progress will be reported to the February 2020 Executive Committee meeting when it is anticipated that the Business Strategy will be approved.
- 3.4 Members will note from the Summary that in order to take this project forward extra staff resource will be required in the form of a Project Manager. It is recommended that the Project Manager post is established for an initial period of 2 years (agreed **under the Chief Executive’s delegated powers**) **as this aligns** with the upgrade of the software used by HCP, NS and PSH. **DS’s current** contractual position means that it could not upgrade until 2022 and so whilst the Service is minded to change suppliers, it is considering its options.
- 3.5 Pre-market engagement has commenced including demonstrations by software suppliers and visits to sites which currently use potential solutions. No decision will be reached upon which product to purchase until a Project Manager is in

place and full project governance arrangements are up-and-running. However, this initial work strongly suggests that there are products that can improve significantly the way the Council operates. Once a preferred supplier has been identified, a further report will be submitted to Executive detailing the full costs and savings associated with the project.

## 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
<b>External</b>		
<b>Health, Homes, Communities</b>	<b>Green, Clean, Safe</b>	<b>Infrastructure, Enterprise, Employment</b>
<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
The upgraded technology will enable the improved delivery of services.	The upgraded technology will enable the improved delivery of services.	Not applicable
<b>Internal</b>		
<b>Effective Staff</b>	<b>Maintain or Improve Services</b>	<b>Firm Financial Footing over the Longer Term</b>
<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 <b>customers' needs</b> 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
The new software will enable improved functionality and provide	The software will enable processes to be redesigned to make	The redesign of services will enable opportunities for cost saving.

staff with better tools to do the job.	them more accessible to customers.	
--	------------------------------------	--

## 4.2 **Supporting Strategies**

Each strand of the FFF Strategy has several supporting strategies. The People Strategy is the most relevant here but what is being proposed is directly in line with that Strategy.

## 4.3 **Changes to Existing Policies**

None.

## 4.4 **Impact Assessments**

Not applicable.

# 5 **BUDGETARY FRAMEWORK**

- 5.1 The estimated cost of the post for 2 years is £106,000, including assumed future pay increases. Of this, an estimated £15,000 will need to be spent in 2019/20. This element is proposed to be funded from the Business Rate Retention Volatility Reserve which had a balance of £4.5m as at 31 March 2019. The remaining cost of the two-year post is addressed in the Budget Report 2020/21 where potentially it will need to be funded from New Homes Bonus or be factored into the Medium Term Financial Strategy.

# 6 **RISKS**

- 6.1 From a legal perspective, the Council is obliged to undertake a procurement exercise in respect of the functionality currently provided by the Civica APP **software. There is therefore a risk of legal challenge if this isn't done. Having** recognised that this needs to take place it is essential that the process is properly managed. The risks inherent in major change are best managed by deploying adequate resources and putting in place appropriate governance arrangements.

# 7 **ALTERNATIVE OPTIONS CONSIDERED**

- 7.1 The Council is required to undertake a procurement exercise so no alternative options were considered as the process needs to properly managed and resourced.

**PROJECT DOCUMENTATION**

**PROJECT INITIATION DOCUMENT**

***Health & Community Protection, Neighbourhood Services, Private Sector Housing  
& Development Services Systems Solution***

Release: Draft/Final

Date:

**PRINCE 2**

Project Initiation Document

Date: 17 September 2019

---

Project Manager: TBC

Project Sponsor: Andrew Jones

Document Number:

---

## Project Initiation Document History

---

### Document Location

This document is only valid on the day it was printed.

The source of the document will be found on the project's PC in location

---

### Revision History

<b>Document</b>	Project Initiation Document
<b>Author</b>	Blake Willis
<b>Date Completed</b>	21/06/2019

<b>Version</b>	<b>Revision Date</b>	<b>Revised By</b>	<b>Revisions Made</b>
0.1	25/07/2019	Blake Willis	Following initial feedback
2.0	16/08/2019	Blake Willis	Following additional feedback
3.0	13/09/2019	Blake Willis	Following additional feedback

---

### Approvals

This document requires the following approvals:

<b>Name</b>	<b>Project Role</b>	<b>Title</b>
Andrew Jones	Project Sponsor	Deputy Chief Executive

---

### Distribution

This document has been distributed to:

<b>Name</b>	<b>Project Role</b>	<b>Title</b>
Andrew Jones	Project Sponsor	Deputy Chief Executive

Project Initiation Document

Date: 17 September 2019

---

Marianne Rolfe	Project Board	Head of Health & Community Protection
Robert Hoof	Project Board	Head of Neighbourhood Services
Dave Barber	Project Board	Head of Development Services
Lisa Barker	Project Board	Head of Housing Services
Mike Snow	Project Board	Head of Finance
Lorna Hudson	Project Board	Regulatory Manager
Tass Smith	Project Board	Application Support Manager
Matt Pearce	Project Board	Website Manager
Rebecca Reading	Project Board	Senior Procurement Business Partner

**Legend**

HCP – Health & Community Protection

NS – Neighbourhood Services

PSH – Private Sector Housing

DS – Development Services

---

## Project Initiation Document

---

### Purpose of Document

This document constitutes the Project Initiation Document (PID) for procuring and replacing the third-party software systems (Civica APP, IDOX, Acolaid & GGP and a range of bespoke in-house developed solutions) for Health & Community Protection, Neighbourhood Services, Private Sector Housing and Development Services. The purpose of this PID is to:

- Provide a formal basis for the initiation of the project;
- Ensure that all parties have a common and agreed understanding of the purpose of the project, the objectives, what will be delivered and the responsibilities in achieving the stated goals. Acceptance of this PID is taken to mean the issues are understood and that commitment is given to providing the resources and effort identified as necessary for successful completion of the project. In this way this PID acts as a formal agreement between the Project Sponsor, and the project team;
- Provide a base against which any need for alterations to the project can be measured. Once the PID is approved any requested amendments will be subject to a change control procedure that must be sanctioned by the Project Sponsor before being incorporated;
- Define the scope of the project;
- Identify the required internal/external resources.
- Provide a means of assessment for its overall success.

---

### Background

Warwick District Council is looking to review its current environmental health, private sector housing, planning and building control software, assessing current suitability to ensure that they are fit for purpose, with an objective to modernise ways of working in line with current consumer requirements.

The Civica APP software was first awarded a contract in 2004 and has been on a rolling contract since implementation. The Acolaid and IDOX software in conjunction with GGP mapping was first contracted over fifteen years ago.

While Civica APP has served HCP, NS & PSH reasonably well for many years, the software has not moved with the times and it has been necessary to bolt on a number of in-house or 3rd-party solutions to fulfil a range of requirements.

As part of the premarket engagement exercise, several software suppliers have been identified and selected via a government framework to showcase their solutions. This engagement has not only highlighted the extent to which Civica APP, Acolaid and IDOX lag behind the current market, it has also identified a range of advanced, dynamic cloud-hosted solutions that would drastically improve the Officer and Customer experience and would assist HCP, NS, PSH & DS to meet increased service demand from the ongoing district growth.

With regards to timescales this would require extending the current contract end date for Civica APP (7th June 2020) by an additional 12 months to give enough time to carry out this project.

The Acolaid and IDOX contract end date is 30<sup>TH</sup> June 2022 so it is not anticipated that an extension will be required for this software.

---

### **Relationship to the Corporate Strategy and / or Corporate Programmes**

The improvement of the system and our services would link with the following corporate strategies.

- ICT and Digital Strategy
- Fit for the Future (FFF)

## Project Definition

### Project Objectives

Id	Objective	Priority (High, Medium, Low)	Desired Outcome	Current Performance	Target Performance
1.	Procurement and implementation of a software as a service solution (SaaS) to replace legacy based Civica APP, Acolaid and IDOX systems.	High	Successful procurement and implementation of new SaaS system.	Various service areas using Civica APP, Acolaid and IDOX.	All Service Areas involved using new cloud based SaaS system.
2.	Improved efficiencies	High	<p>The new system will support a consolidated approach to system management and processes, as well as assist in cross departmental communication by providing Officers a central point of access for all information.</p> <p>It will also remove the duplication of data entered, maintained and stored creating process efficiencies as well as assisting in fulfilling the Council's GDPR obligations.</p> <p>It will assist Council Officers with increased automation to help deal with ongoing District growth.</p>	<p>Multiple system owners across 4 service areas due to having different systems.</p> <p>Some Officers require separate log in details to access all systems</p> <p>Manual intervention required for many processes and reporting</p>	<p>Single system solution requiring only one main system owner, supported by system administrators.</p> <p>A single system log in with access set using user profiles.</p> <p>Automated processes including data</p>

		<i>Also it will offer and promoting customer self serve increasing response times for customer queries and reducing unnecessary Officer contact.</i>	<i>Restricted self service capability only available due to in house ICT intervention</i>	<i>entry from emails; easy search functionality; and intelligent reporting capability.</i>  <i>Improved self-service capability for customers including automated updates on progress and reminders.</i>
3.	<i>Customer / citizen satisfaction</i> <i>High</i>	<i>Increased communication methods, a more accessible system for the public to contact Council services which also meet the required Accessibility standards (WCAG 2.1 AA)</i>	<i>Currently limited contact methods</i>	<i>Increased contact methods / customer 'self-serve' portal</i>
4.	<i>Increased system flexibility</i> <i>High</i>	<i>Modern system design and open API's (Application programming interfaces) will enable us to react to changes in legislation / working practices more efficiently</i>	<i>Lots of 'middle ware' has to be written by ICT Application Support</i>	<i>System will integrate with other systems more easily.</i>
5.	<i>Procurement compliance</i> <i>High</i>	<i>The new system will be procured correctly</i>	<i>Currently this is not the case with Civica APP</i>	<i>Meeting Procurement requirements</i>

---

6.	<i>Improved agile working</i>	<i>High</i>	<i>Increased number of Officers using technology to work in the field.</i>	<i>Total mobile for Food Safety Officers</i>	<i>Increased number of Officers</i>
----	-------------------------------	-------------	--	--	-------------------------------------

## **Project Scope**

The project outcome is the successful procurement and implementation of a replacement software system that:

- Enables the fulfilment all statutory and compliance requirements
- Fulfils all case management requirements
- Improves agile working capabilities for Officers
- Increases task automation to free up Officers time / Improve efficiencies and savings
- Enable increased communication methods (for example E-mail, SMS).
- Provide customer-facing 'self-serve' capabilities, including online applications
- Delivers public-facing register(s)
- Is highly configurable by WDC System Admin team and departmental super users to cater for changing requirements
- Includes reporting and dashboard functionality
- Is potentially hosted in the Cloud (SaaS)
- Includes API's to enable integration with other systems

-Refer to Appendix 2 (Pre-procurement soft market testing document) for more detail

## **Exclusions**

The potential for a service area to find a more suitable product and remove themselves from the project.

## **Initial Business Case**

Currently HCP, NS and PSH use 40 concurrent Civica APP software licences and have 92 user accounts with system access.

The IDOX / Acolaid software is used by DS for all aspects of Planning, Building Control and Land Charge service provision. Development Services currently hold 75 licences with 64 active system users. In

addition, the Acolaid Land & Property Gazetteer (LPG) module is used extensively by ICT Services and, as the master address database, it integrates with many other back-office ICT Systems.

### **High level Options Appraisal**

The potential options that have been considered are below:

<b>Option</b>	<b>Description</b>	<b>Suitability</b>	<b>Feasibility</b>	<b>Acceptability</b>
No change	Keep the system as it is and renew contracts.	It would cause no disruption to the current service provision.	It would be time limited. Civica have only committed to supporting the APP software until 2023.  The Acolaid software is a legacy solution provided by IDOX and receives limited ongoing development.	It would not address any of the issues identified with the current software.
Re-let separate solutions	Replace Civica APP and IDOX/Acolaid with solutions from new suppliers.	Service Areas would receive more up to date systems that could improve Officer and customer experience.	We believe that there are several potential suppliers on the market that could provide suitable software solutions.	Service Area teams would choose the solution that best meets their requirements. However, additional integration between systems may be required.
In-house development	Have a replacement solution developed internally by the	The solution would be bespoke to our	The current ICT service would not be able to develop and provide ongoing	The costs and time required by Service Area and ICT staff to specify, develop,

	in-house ICT team.	council and its requirements.	support for solutions of this complexity and length.  Service Areas would need to provide sufficient resource and time to dedicate to specifying the initial or ongoing solution requirements	test and maintain an in-house solution would be prohibitively expensive, and would outweigh any possible advantages.
Third-party development	As for In-house development above but employing external developers	The solution would be bespoke to our council and its requirements.	There are potentially many developers available on the market that would be interested in creating a solution.  Service Areas would need to provide sufficient resource and time to dedicate to specifying the initial or ongoing solution requirements	It is not financially feasible to develop a solution for the council when there are already suitable out of the box products on the market that can be shaped to our requirements.
Consolidate	Rationalise the supply chain and appoint a single supplier to provide all of the software and services need to	The single supplier would ensure that a fully integrated solution was designed using	There are many suppliers on the market, with a small pool of suppliers	By working with a single supplier, it may be possible to build a functionally rich and fully integrated

---

	provide a solution	multiple systems or services	specialising in the public sector.	solution from the outset potentially providing lower whole life costing.
--	--------------------	------------------------------	------------------------------------	--

From the above table, the only suitable options are either to 'relet the contracts separately' or 'consolidate'. Based on the premarket engagement exercise there are a number of suppliers and solutions which could fulfil either of these options.

### Benefits

The current systems are not fit for purpose to enable the Council to become flexible, creative and innovative. The Council recognise that its day to day operations need to be delivered as efficiently and effectively as possible. As such the current methods and systems of working need to be reviewed and updated.

Efficiency Benefits – Currently, the majority of customer requests are manually input into the Civica-APP system which is an inefficient use of staff resource. Although work is underway to integrate website forms into the Civica-APP system, modern systems offer this as core functionality. One of the key goals of this implementation will be the automation of repetitive low value tasks to enable staff to focus on value adding tasks, improving service support and delivery.

Customer satisfaction – many of our customers want to be able to self-serve where possible. Modern systems provide a range of standard self-serve options, such as online applications with integrated payments, portals offering status updates and registers. This functionality would drive up customer satisfaction as well as reducing the amount of officer administration.

Improved usability – Bespoke reports and configurable dashboards are needed to effectively assist managers and officers in managing workloads. In addition, the system will also have improved mobile capabilities to enable officers to work more efficiently than at present.

Flexibility - A new system will enable the Council to take advantage of any future changes in working practices or technological changes due to the flexible nature of a more modern system design and more open licence agreements.

Compliance Benefits – the recent changes in GDPR and data protection have highlighted some of the inefficiencies in the current systems with both data maintenance and data extraction. There are also large amounts of manual intervention in processes and paperwork which exists outside the system. This poses significant risk with information being passed round as it could be lost or held incorrectly.

Future benefits – the new system would put the Council in a position where it was capable of responding to changes in legislation, business opportunities or service redesign quickly and easily. The system will be

designed in such a way that other modules and applications can be added into it as needed, further enhancing the delivery of services. The new system could also support the Council in commercialising certain services.

ICT Support – In an attempt to mitigate some of the deficiencies with the current systems, numerous in-house solutions have been developed and require ongoing support. It is anticipated that these solutions would be included as standard functionality in modern solutions.

### **Current software costs**

The direct costs of the current systems in 2018/19 are shown below:

<b>System (2018/2019)</b>	<b>Cost/annum (2018/2019)</b>
Civica APP	£29,447
Idox / Acolaid	£39,955
GGP	£11,118
Total cost/annum	£76,520

The costs of managing the above systems have been assessed as follows:

<b>System / Contract Management (2018/2019)</b>	<b>Cost</b>
ICT Infrastructure support (onsite servers)	£500.50
ICT Application support (includes bespoke development)	£70,605
Total	£71,105.50

It should be noted that the £70,605 ICT costs would not translate directly into a saving for Warwick District Council (WDC) because the time would simply be spent improving services and supporting systems across other areas of the authority. However, this resource realignment would still be of benefit to WDC as a whole.

The total cost of the systems above comes to £147,625.50 (or £77020.50 excluding the ICT costs) for 2018/2019.

On top of these costs there is also currently significant waste in the system. The inefficiencies and lack of demand management have not been analysed, however the recent Finance system replacement project has estimated a potential £39,884 per annum in efficiency savings.

### Potential software costs

From the soft market testing as well as looking at the G Cloud Procurement framework we have obtained some estimates for various options.

The below gives an idea how much a modern solution could potentially cost if consolidating numerous service areas into one solution.

Table 1: Consolidate –estimate

Product Components	Price GBP (£)	Order Qty	Year 1 GBP (£)	Year 2 GBP (£)
<b>1. Subscription (includes licence, support, maintenance, enhancements and hosting)</b>				
- Arcus Local Government Platform (per user per month)	48.00	146	42,048	84,096
- Arcus Administrator (per user per month)	63.75	4	1,530	3,060
Optional Arcus Digital Services Hub (authenticated portal for BE & Reg	10,000	1	5,000	10,000
Optional Arcus Digital Services Hub (1,000 authenticated logins per month)	3,723	1	1,861.50	3,723
- Arcus Form Builder (123 Form Builder)	4,000	1	2,000	4,000
<b>2. Integrations and Migrations</b>				
- Data Migrations (data import)	15,000	2	12,000	
<b>3. Implementation Services</b>				
- Implementation of Arcus Regulatory Services	84,000	1	84,000	
- Implementation of Arcus Built Environment	58,000	1	58,000	
Optional Implementation of Arcus Digital Services Hub	17,500	1	17,500	
<b>4. Training</b>				
- Onsite Training Package (as agreed)	750	10	7,500	-
<b>5. Development Services</b>				
<b>6. Support, Maintenance &amp; Enhancement (Annual Site Licence)</b>				
- Arcus Standard Support Contract		1		8,390
<b>Annual Sub-Total</b>			<b>£ 231,440</b>	<b>£ 113,269</b>
<b>Proposal Price for ANNUAL FIXED Payment Terms</b>				
Prices Exclude VAT			Year 1 Price GBP (£)	Year 2 Price GBP (£)
Year One Fee			231,440	
Future Years				113,269

The initial outlay in year 1 is much higher due to data migration (transferring all of the necessary data from the current systems to the replacement), integration (integrating with current WDC in house systems including user testing, website etc.) and system training for staff. Data migration would be a one off cost and although system integration and system training costs could be paid in the future they would be significantly less.

The ongoing cost in year 2 is far less and the quotation for 146 user licences could be reduced.

## **Project Management**

It is important that a project of this scale is properly resourced. The project will need to be led by a Project Manager who has the capacity and capability to manage a project of this magnitude throughout. System managers and owners for the modules to be replaced will not be able to dedicate the time or expertise needed for such a complex project.

Project management skills are more important than detailed knowledge of individual modules (as other members of the project team should be able to provide this expertise).

A two-year Project Manager post is proposed to manage the overall procurement and implementation of a solution for HCP, NS and PSH. At this point DS will be in a position to determine whether it wishes to upgrade to this solution or undertake further market investigation to determine what else is available.

The grade of this post will be subject to Hay. A 2-year post, at Grade C, with on-costs will cost approximately £106,000, including assumed future pay increases.

With no Project Management Office, it is possible that the Corporate Support Team may need to provide some resource to assist the Project Manager with various administration tasks.

The project will still require significant resource from within Service Areas and it is likely that Service Areas will need to recruit additional staff to release existing staff (who hold the necessary business knowledge) to work with the Project Manager for the duration of this project.

The ICT Application Support team will also be heavily impacted by these projects and may struggle to meet all the demands placed upon them.

## **Method of Approach**

### **Project Deliverables**

Objective Id	Product	Description
1.	System suitability	Standard functionality that provides scope for improved working practices, including agile working
2.	Procurement	Successful procurement of new system
3.	Configuration of system	Configured to each Service Areas needs and to help deliver services
4.	Data migration	Data migrated over to new system as well as reviewed and cleansed.
5.	System Integration	Successful integration with other systems and applications both internally and externally.
6.	Testing	A fully tested system. With both internal and external test groups (to include real customers)
7.	Training	Training of all system users

---

8.	Contract management	Ongoing contract management following successful implementation
9.	Replacement system	A fully integrated and working replacement computer system for HCP, NS, PSH & DS.

### Constraints

The following constraints have been considered

- Time – current contract expiry, available resource across all service areas.
- Financial – cost prohibitive
- Competing demands between service areas
- Has to integrate with other systems
- How to evaluate for each service area
- Availability of a system to suit all needs

### Dependencies on other Projects or Activities

Dependent on availability of ICT, Media, Finance and Procurement as well as service areas. (The LPG Acolaid module is used extensively across all service areas, this would be a major dependency.)

### Relationships with other Projects or Services

Dependencies with other projects, such as the Finance system replacements.

Will require input from all involved service areas as well as ICT, Procurement, Finance and Media and external Contractors.

---

### Assumptions

The following assumptions have been made.

- We can extend the Civica APP contract for an additional 12-month period.
- We can procure and implement system that will meet all requirements (following soft market testing)
- The replacement system will be better than what we currently have.
- The project can be delivered within the required timeframe.

---

### Project Organisation Structure

#### *Project Board*

The Board will consist of:

Andrew Jones - Project Sponsor  
Vacant Post Project Manager  
Blake Willis - Senior Department User for HCP  
External Supplier – To be determined  
Rebecca Reading – Procurement Manager  
Tass Smith – ICT Application Support Manager  
Matt Pearce – Website Manager  
Mike Snow – Head of Finance  
Nominees from all affected service areas (TBD)

The Project Board is responsible to the Project Sponsor for the overall direction and management of the project and has responsibility and authority for the project within the remit (Project Mandate) set by *[insert name of the person/group which issued the project mandate]*

The Project Board is responsible for any publicity or other dissemination of information about the project.

The Project Board will approve all major plans and authorise any major deviation from the agreed Stage Plans. It is the authority that will sign off the completion of each stage and will authorise the start of the next stage. The Board will ensure that the required resources are committed and will arbitrate on any conflicts. This will include negotiating a solution to any problems between the project and external bodies.

The Project Board is ultimately responsible for assurance that the project remains on course to deliver the desired outcome of the required quality to meet the Business Case defined in this document.

***Project Sponsor***

The Project Sponsor is responsible for the project, supported by the Senior User and Senior Supplier. The Sponsor will ensure that the project is focused throughout its life cycle on achieving its objectives and delivering the project deliverables and desired outcomes. The Sponsor will ensure that the project gives value for money, balancing the demands of business, user and supplier

Throughout the project the Sponsor 'owns' the Business Case.

### ***Project Manager***

The Project Manager has the authority to run the project on a day-to-day basis on behalf of the Project Board within the constraints laid down by the board.

The Project Manager's prime responsibility is to ensure that the project produces the required products, to the required standard of quality and within the specified constraints of time and cost. The Project Manager is also responsible for the project producing a result that is capable of achieving the benefits defined in the Business Case.

### ***Senior Departmental User***

The Senior User is responsible for the specification of the needs of all those who will use the final deliverables, for liaison with the project team and for monitoring that the solution will meet those needs within the constraints of the Business Case in terms of quality, functionality and ease of use.

The role will represent the interests of all those who will use the final deliverable(s) of the project, those for whom the product will achieve an objective or those who will use the product to deliver benefits.

This role may require more than one person to cover all the user interests. For the sake of effectiveness, the role will not be split between too many people.

### ***Senior Supplier Internal***

The Senior Supplier internal will represent the interests of internal providers, such as ICT Services, to ensure that the solution is fit for purpose and compatible with the internal infrastructure, policies and procedures. He will work closely with the external supplier in delivering the solution.

### ***Senior Supplier External***

The Senior Supplier External represents the interest of those designing, developing, facilitating, procuring and implementing the project deliverables. The supplier is accountable for the quality of the products

delivered by the supplier(s). The Senior Supplier has the authority to commit or acquire supplier resources required.

---

## **Assurance**

There are a number of roles that are not formally on the Project Board, but will have a role on the project to validate deliverables, monitor progress/standards in particular areas, or provide subject matter expertise. Examples might be IT, Legal, Finance and Audit.

- Procurement
  - ICT
  - GIS Manager
  - Finance
  - Audit
  - Information Officer
  - Media
  - Senior Users / Stakeholders (TBD From each Service Area)
- 

## **Communications Plan**

### **Overview**

The purpose of the Communication Plan is to:

- formalise the process and timeline for distributing information to the stakeholders
- Outline the key messages to be delivered, adapted as appropriate for its target audience.
- Establish a process for tracking and monitoring progress of all planned communication activities.
- Serve as a model for ongoing communication efforts.

The objectives of the Communication Plan are to:

- Understand individual stakeholder communication needs.
- Ensure the right people receive the right messages at the right time.
- Proactively manage the pace and amount of change that each stakeholder group must undergo to avoid 'change overload'.

- Minimise resistance to change.

The Communication Plan is a 'living' document and needs to be revisited and updated throughout the project lifecycle. Information needs change throughout the duration of the project and stakeholders' positions in the matrix may shift. As a result, the project communication needs to be monitored and adjusted to meet the various stakeholders' changing information requirements. The focus of the analysis is this project.

### ***Stakeholder Identification***

Stakeholder analysis to identify key stakeholders:

- Customers (both internal and external)
- Project Manager
- Project Sponsor
- Project Board
- CMT
- Supplier
- Users
- Website Manager
- ICT
- Procurement
- HCP, NS,PSH and DS
- Contractors interacting with the system (for example the Waste Collection contractor)

---

### **Project Quality Plan**

The purpose of the quality plan is to define, in general terms, how the project team intends to deliver products which meet the User's quality expectations.

Quality against project expectations will be met by continual involvement of representatives from appropriate areas of the business during the development of deliverables.

The project will follow Warwick District Council's standard project methodology, PRINCE2. This will enable stages to be time boxed and will ensure that at the end of each stage any business benefits are understood and have been proven. The following will be utilised within the quality approach:

- A project board will be appointed that will have complete decision making authority and will consist of:
  - Executive – Budget Holder or sponsor
  - Senior Supplier

- Senior Users / Stake holders – user representatives
  - Project Manager – day to day management of the project.
- Regular reviews with the project board will take place to ensure that any other initiatives or changes in direction that may conflict with the project are identified.
- A communication plan will be devised that will detail who is to be contacted; a checkpoint report will be released to those personnel on a weekly basis.
- Risk management will be employed as a matter of course and owners of risk will be identified from the outset.
- Stage and product planning will be implemented to ensure flexibility is maintained and the scope of the project is delivered.
- Corporate standards such as those relating to technology architecture and governance will be adhered to where possible to ensure a consistent approach is followed.
- Where relevant, centralised test logs will be maintained to ensure all issues are captured and managed and are fed into the evaluation reports.
- Where relevant, test scripts will be derived from the evaluation criteria to ensure testing is of a standardised level.
- All off specifications will be managed via the standard exception report process or change request system.
- Project closure will feature an end of project review period that will review the evaluation reports, project brief, project plan, business case, issue and risk logs. Any follow on actions will then be detailed and owners allocated to these actions.

## Initial Project Plan

A summary of the projects key milestones, broken down by Stage, are listed below:

Stage	Project Milestone	Target Completion Date	Actual Completion Date	Key Resources
1	<b>Creation of Project Plan / System Mandatory and Desirable criteria</b> – To ascertain what each Service Area requires from any replacement software as a minimum and also any desirable functions.	Quarter 3 – 2018	Quarter 3 -2019	Input from various Service Area managers

2.	<b>Pre market testing</b> – Working with Procurement to identify which software is available on the relevant Procurement framework (potentially G cloud).	Quarter 3 2018 – Quarter 2 - 2019	Quarter 2 - 2019	Service Area Management and users, ICT & Procurement
3.	<b>Supplier demos</b> – Again working with Procurement to invite any potential suppliers in to give a demonstration of the software and how it could work for us.	Quarter 3 2018 – Quarter 2 2019	Quarter 2 – 2019	Service Area Management and users, ICT & Procurement
4.	<b>Site visits</b> – other councils – This should be done following a successful demo, to gain a reference and also see the software in working in practice.	Quarter 3 – 2019		Representatives from the Project board and additional Service Area users
5.	<b>Project Manager appointment</b> – Appointment of Project Manager once PID has been approved by Executive Committee.	Quarter 3 – 2019	Quarter 4 – 2019	
6.	<b>Extend Civica contract</b> – The current Civica contract expires in June 2020. We will need to extend this to give a reasonable timeframe to replace the system.	Quarter 3 2019		Procurement, HCP, NS and PSH Managers
7.	<b>Project Governance</b> –Set up regular project and board meetings	Quarter 4 2019		HR and project sponsor
8.	<b>Project resourcing</b> – a project of this magnitude requires careful resourcing to ensure it required timeframe	Quarter 4 2019		Project Manager & project team
9.	<b>System Evaluation (selection), Procurement &amp; award of contract</b> – Procurement would be heavily involved in the process (up to contract award date) to help guide the service area and make sure they are compliant.	Quarter 1 2020 – award of contract		Procurement, Project Board
10.	<b>ICT Applications Support</b> – Apps Support would also be heavily involved throughout the entire process.	Ongoing		ICT Applications Support
11.	<b>Website Manager</b> – as the software will incorporate customer-facing elements, the Website Manager needs to be consulted in the software selection and involved in the testing stages	Ongoing		WDC Website Manager
12.	<b>Data Cleansing</b> – Representatives from each service area (HCP, PSH, NS and DS) will be responsible for data cleansing and drawing up a plan to do so.	Quarter 2 2020 – ongoing		System administrator

13.	<b>Give Notice on Civica contract</b> – Give 12 months' notice to Civica that contract and services will be ending with the Civica APP product.	Quarter 2 - 2020		Procurement, HCP, NS and PSH Managers
14.	<b>Data Migration</b> – Consideration of all data migration options and once a decision has been made work will need to be undertaken with the chosen supplier to make this happen.	Q1 2020 - Q2 2020		ICT Application Support, Supplier & Project board, Project Team
15.	<b>Supplier Implementation Plan developed and refined</b> – Working alongside the Project Manager and Supplier. Project team to consider and make amendments before signing off.	Q1 2020		Project manager, supplier & project team
16.	<b>Software Implementation</b> – Working with the chosen supplier to implement the software	Q1 2020 – Q4 2020		Supplier, ICT, Project manager and project team
17.	<b>Onsite systems – Integration and Testing</b> – Once the software has been installed it will need to be integrated and tested with current internal WDC business applications.	Q1 2020 – Q4 2020		Project Team, ICT, Project manager,
18.	<b>User Acceptance Testing (With a test group and real customers)</b> – Once the chosen software has been implemented and is compliant it can be tested by the end user, a test group across a variety of teams. As well as real customers organised by the Website Manager as a requirement of the Digital Strategy.	Q3 2020 – Q4 2020		ICT, Project team, Website Manager, Test user group and group of test customers
19.	<b>User training</b>	Q4 2020		Supplier, system administrator
20.	<b>System rolled out in LIVE environment</b>	April 2021		Supplier, ICT, Project team
21.	<b>Ongoing bug fixes / systems maintenance / contract management</b> – To be carried out in an ongoing basis by the service area.	As required		Supplier, System owners, system administrators, ICT

---

## **Project Controls**

The monitoring of progress will be maintained through the use of review meetings and Highlight Reports that will be completed on a regular basis and distributed to the Warwick DC Project Sponsor, Project Board and other groups as appropriate. The Project plan will be reviewed weekly to ensure that the Project remains within the tolerances delegated by the Project Board and to track expenditure throughout the Project.

If any member of the Project detects and reports problems or issues, an entry will be made into the Issue Log. The Project Manager will review the issue log and if appropriate obtain authority from the Project Board to initiate corrective action.

Tolerances that have been identified within the project will be under the control of the Project Manager who will raise a Project Issue / Exception Report if it is predicted that tolerances will be exceeded.

The Exception Process provides the control mechanism when tolerance limits are forecast to be exceeded. An Exception Plan is initiated if required; this plan supersedes the current stage plan until the exception is resolved. An Exception Plan can only be approved by the Project Board.

The Project will be reassessed for viability against the Business Case during each stage of the Project.

## **Change Control Process**

Following sign-off of this document (the Project Initiation Document) any proposed alterations to the agreed specifications/requirements for each stage will only be considered via the Change Control Process. However, at the end of each stage a review will be conducted to enable the agreed specifications/requirements to be moved in and out of scope. This will be conducted by the Project Board.

Any alterations will be dealt with by raising a Project Issue (specifically a Request for Change) which will be entered into the Issue Log whereupon it will be allocated a priority, assessed for impact and presented to the Project Board for consideration. The Project Manager will recommend which Requests for Change should be implemented within the current Stage and submit an Exception Plan to replace the existing Stage Plan.

If a Project Issue results in an Off Specification (a product that should be included within the project but is not currently included or is forecast to be omitted. This might be a missing product or a product not meeting specification), then details must be submitted to the Project Sponsor.

Should the change be approved by the Project Sponsor and the Board approved changes to the relevant documentation will be edited appropriately and circulated for approval.

### Project Closure

The Project Sponsor will formally close the project when he/she is assured that all the agreed products have been delivered and accepted, and any follow-on actions have been forwarded to concerned parties.

### Initial Risk Log

Risk No.	Risk	Likelihood	Impact	Score
1.	Civica not to agree contract extension			
2.	Challenged by competitor for extending Civica contract			
3.	Unable to find a solution that suits all needs			
4.	Price is prohibitive			
5.	Delay in delivery – No system access if overlap			
6.	Unable to migrate data			
7.	System not configurable within timeframe			
8	Unable to appoint a suitable Project Manager within an acceptable timeframe			
9	Unable to effectively resource the project internally (resources need to be dedicated to the project, not also carrying out their business as usual role)			

### Project Filing Structure

## Product Descriptions

The table(s) below provide greater detail in relation to the nature and delivery of the primary products.

Product name	PID	
Purpose	<ul style="list-style-type: none"> <li>• Provide a formal basis for the initiation of the project;</li> <li>• Ensure that all parties have a common and agreed understanding of the purpose of the project, the objectives, what will be delivered and the responsibilities in achieving the stated goals;</li> <li>• Provide a base against which any need for alterations to the project can be measured; and</li> <li>• Define the scope of the project.</li> </ul>	
Key Activities	<ul style="list-style-type: none"> <li>• Project definition;</li> <li>• Project approach;</li> <li>• Project organisational structure;</li> <li>• Communications plan and stakeholder analysis;</li> <li>• Project quality plan and project controls;</li> <li>• Project plan;</li> <li>• Risk analysis.</li> </ul>	
Format	Word document	
Primary Resource	Project Manager	
Quality assurance	<p>Does this product</p> <ul style="list-style-type: none"> <li>• Provide clarity of purpose for the project?</li> <li>• Provide an adequate initial analysis of risk?</li> <li>• Identify key stakeholders, their information requirements and suitable communication methods?</li> <li>• State clearly the assumptions made in initiating the project?</li> <li>• Define the core organisational structure for the governance of the project?</li> </ul>	
Sign off	<b>Project Sponsor</b>	<b>Project Board</b>

Project Initiation Document

Date: 17 September 2019

---

---

## Appendix 1

### Item 1 – Health & Community protection and Private Sector Housing system specification

#### System Requirement Specification

<b>Project Name :</b> Replacement System for Health & Community Protection and Private Sector Housing		
<b>Author:</b> Blake Willis & Mark Lingard		
<b>Project Description</b>  To procure and replace the computer software system (Civica APP) for Health & Community Protection.		
Feature	Description	Requirement
Reporting system	<ul style="list-style-type: none"><li>- Ability to write new and save report parameters.</li><li>- Automatic reporting</li></ul>	Mandatory
Batch update/delete function	<ul style="list-style-type: none"><li>- For bulk cleansing of data</li></ul>	Mandatory
Security Management	<ul style="list-style-type: none"><li>- Different user access levels etc. to protect confidentiality of data between different system users</li></ul>	Mandatory
Mobile working	<ul style="list-style-type: none"><li>- Carry out a number of functions via a mobile app, preferably with a fully offline capability</li><li>- Inspections</li></ul>	Mandatory

	<ul style="list-style-type: none"> <li>- Service Requests</li> <li>- Update system remotely</li> <li>- Remote device management and encryption</li> <li>- Capture of photographic / video evidence from device</li> </ul>	
Cloud based system	<ul style="list-style-type: none"> <li>- Servers located within Europe</li> </ul>	Mandatory
Integration with LPG	<ul style="list-style-type: none"> <li>- fully integrate with all newly purchased and existing applications</li> </ul>	Mandatory
Integration with Land Charges	<ul style="list-style-type: none"> <li>- For Environmental Health and Private Sector Housing sign off</li> </ul>	Mandatory
Integration with staff alert list		Mandatory
Open API's	<ul style="list-style-type: none"> <li>- Application Programming Interface</li> </ul>	Mandatory
Intelligent Search Function		Desirable
Numerous Communication methods	<ul style="list-style-type: none"> <li>- E-mail, letter, SMS, chatbot, AI, Social Media etc.</li> </ul>	Mandatory
In built officer diary		Desirable
Time recording and costing functionality		Mandatory
Fully auditable and secure		Mandatory

Customer Portal	<ul style="list-style-type: none"><li>- Member of the public to log in to check application status, complaint status, upload docs etc.</li></ul>	Desirable
Online Applications	<ul style="list-style-type: none"><li>- Fully online applications, renewals etc.</li><li>- Completed by web form via WDC website</li></ul>	Mandatory
Automatic renewal reminders, letters	<ul style="list-style-type: none"><li>- System to automatically send communication via preferred method on set dates</li></ul>	Mandatory
Online Request for Service	<ul style="list-style-type: none"><li>- Fully online request for service</li></ul>	Mandatory
Annual Government statutory returns	<ul style="list-style-type: none"><li>- LAE1, LAEMS etc.</li></ul>	Mandatory
Public registers	<ul style="list-style-type: none"><li>- Via WDC Website (Licensing etc.)</li></ul>	Mandatory
Premises database using corporate LPG addresses		Mandatory
Search by maps	<ul style="list-style-type: none"><li>- Search via GPS coordinates</li></ul>	Desirable
A configurable and flexible system	<ul style="list-style-type: none"><li>- To give us the ability to make changes as and when they occur</li></ul>	Mandatory
Service Requests module	<ul style="list-style-type: none"><li>- To be used by several teams, fully configurable</li></ul>	Mandatory
Work flow / process management	<ul style="list-style-type: none"><li>- Work flow / process builder to allow us to create and</li></ul>	Mandatory

	amend new processes	
Document Management / Editing	<ul style="list-style-type: none"><li>- Create / Edit letter templates for communications</li></ul>	Mandatory
Licensing Module	<ul style="list-style-type: none"><li>- To include taxi, animal and all other licence type administration and enforcement</li><li>- HMO Licensing administration and enforcement</li></ul>	Mandatory
Inspections module		Mandatory
Food Safety / Health & Safety modules	<ul style="list-style-type: none"><li>- Recording of infectious diseases, sampling, prosecutions and notices</li></ul>	Mandatory
Environmental Protection modules	<ul style="list-style-type: none"><li>- To include – dog warden, pest control, noise, air quality, pollution, contaminated land etc.</li></ul>	Mandatory
System administration	<ul style="list-style-type: none"><li>- Creation of system administrator / super users to maintain/enhance the system</li></ul>	Mandatory
Private Sector Housing module	<ul style="list-style-type: none"><li>- Housing standards issues</li><li>- Landlord and tenant rights and responsibilities, overcrowding, harassment and illegal evictions.</li></ul>	Mandatory

Project Initiation Document

Date: 17 September 2019

Empty homes module	- For advice, inspections and actions	Mandatory
--------------------	---------------------------------------	-----------

<b>Project Name:</b> Replacement System for Development Services		
<b>Author:</b> Dave Barber		
<b>Project Description:</b>  To procure and replace the computer software system (IDOX Acolaid) for Development Services.		
<b>Feature</b>	<b>Description</b>	<b>Requirement</b>
Improved customer accessibility	- Live tracking of case progress, clear information on constraints	
Customer self-serve channels	- Self-serve via website for a range of service requests	
Improved communication through a range of channels	- Numerous communication methods	
Efficient processes (including work flow and case management capability)	- To deal with the following areas Planning applications, planning obligations, Planning	

	Enforcement, heritage, trees, Building Control applications and development monitoring	
Land Charges	- Efficient processes to deal with all requests	
Reporting and dashboard information	- Including ability to create bespoke reports	
Agile working	- Improved capabilities including access from site	
Team collaboration capabilities		
Configurable system	- Easily configurable to address changes in circumstances	
Integration with other systems	- Especially gazetteer, GIS and Finance.	Mandatory
Data migration	Effective and comprehensive data migration to enable retention of historic records	
Data separation	- Separate data on a geographical basis (for example if WBC no longer provides services for Daventry in the future).	
Security management	- Ability to set difference access levels to protect data and give different user access)	

Project Initiation Document

Date: 17 September 2019

Financial monitoring and reconciliation	-	
Pre-applications module	-	
Enforcement cases module	-	
Planning applications module	- To include various types such as trees, listed buildings, LDC's, outline, reserved matters and full.	
Mapping and capture of constraints	- Relevant planning policies also linked to GIS	
Planning portal interface	- Could be a combination of direct local forms as an alternative	
Building control applications module	- Full plans, initial notices, demolitions, reversions, UNs, dangerous structures	
Site inspection requests	-	
Land Charges module	-	
Receipt of payments	-	
Section 106 / CIL management	-	
Monitoring of development	-	
Two way interface with the HM Land Registry's Land Charges site that combines Land Charges and spatial data.	-	Mandatory

**Project Name:** Replacement System for Neighbourhood Services

<b>Author:</b> Graham Folkes-Skinner		
<b>Project Description:</b>  To procure and replace the computer software system (Civica APP) for Neighbourhood Services.		
Feature	Description	Requirement
Reporting system	<ul style="list-style-type: none"><li>- Ability to write new and save report parameters.</li><li>- Automatic reporting</li><li>- Auto reporting ability to send reports to individuals via email</li></ul>	
Batch update/delete function	<ul style="list-style-type: none"><li>- For bulk cleansing of data</li></ul>	
Security Management	<ul style="list-style-type: none"><li>- Different user access levels etc. to protect confidentiality of data between different system users.</li><li>- Needs to have GDPR functionality. The ability to set retention periods with prompted delete functionality and/or</li></ul>	

	anonymization facility	
Mobile Working	<ul style="list-style-type: none"> <li>- Carry out a number of functions via a mobile app</li> <li>- Inspections</li> <li>- Service Requests</li> <li>- Update system remotely</li> <li>- Remote device management and encryption</li> <li>- Capture of photographic / video evidence from device</li> <li>- GPS enabled and link to WDC mapping to find particular properties, check ownership of land, etc.</li> <li>- Ability to look at the history of an address/resident.</li> <li>- System to link to emails so sent email saved directly to core system for appropriate service request.</li> <li>- Ability to create new service requests remotely</li> <li>- Ability for Contractors to use devices for missed collections, bulky collections, deliveries etc. To receive these and also close them when completed</li> </ul>	

Project Initiation Document

Date: 17 September 2019

	which I turn will notify the customer	
Cloud based system	- Servers located within Europe	
Integration with staff alert list		
Open API's (Application Programming Interface)	<ul style="list-style-type: none"> <li>- We believe that API is software intermediary that allows to applications to talk to each other. We need different systems to talk to each other i.e. our bin round databases and contractor systems</li> <li>- There is the potential that any new system would need to integrate with 5 contractual systems.</li> <li>- There are current chargeable Grounds Maintenance operations that potentially would need to be integrated, i.e. bench and bird box charging and these may need to have a time limited functionality on them alongside the ability to store contact information</li> </ul>	

Project Initiation Document

Date: 17 September 2019

Intelligent Search Function		
Numerous Communication methods	<ul style="list-style-type: none"> <li>- E-mail, letter, SMS, chatbox, AI, Social Media etc.</li> <li>- Link to Outlook calendar – bookings for waste advice visits, etc.</li> </ul>	
In built officer diary		
Time recording and costing functionality		
Fully auditable and secure		
Customer Portal	<ul style="list-style-type: none"> <li>- Member of the public to log in to check the status on their container order/deliver, missed collections, bulky waste collection, request for other services e.g. assisted, clinical etc.</li> <li>- Need the provision of a GPS enabled reporting system for members of the public to report issues such as fly-tipping, overflowing litter bins etc. on a map rather than logging in as they may want to stay anonymous. Need this to also show the status of the</li> </ul>	

Project Initiation Document

Date: 17 September 2019

	report on the map e.g. fly-tip has already been reported and what's happening with it	
Online Applications	<ul style="list-style-type: none"> <li>- Fully online requests for service, bookable services, container orders etc.</li> <li>- Completed by web form via WDC website</li> <li>- Integration with payment system or provision of payment mechanism – to include electronic receipts and recording of sale against the service request</li> </ul>	
Automatic renewal reminders, letters	<ul style="list-style-type: none"> <li>- System to automatically send communication via preferred method on set dates</li> <li>- Would need to include automated annual reminders with ability to take payment and send out the necessary documentation required to take part in a chargeable service</li> </ul>	This would be a useful function if we were to start any chargeable services that would require an annual subscription
Online RFS	<ul style="list-style-type: none"> <li>- Fully online request for service</li> </ul>	
Public registers	<ul style="list-style-type: none"> <li>- Via WDC Website</li> </ul>	
Premises database	<ul style="list-style-type: none"> <li>- Need to be able to add our Property Database to any new system and that database to</li> </ul>	

	indicate the day of collection, assisted collections etc.	
Search by maps	<ul style="list-style-type: none"><li>- Search via GPS coordinates</li></ul>	
A configurable and flexible system	<ul style="list-style-type: none"><li>- To give us the ability to make changes as and when they occur</li></ul>	
Service Requests module	<ul style="list-style-type: none"><li>- To be used by several teams, fully configurable</li><li>- System needs the ability of automatically assigning the relevant officer to the work and change that officer if/when they are on leave</li><li>- Any new system should have the ability to pass on information to different Service Areas potentially using different systems. i.e. a tree issue through to WCC.</li></ul>	
Work flow / process management	<ul style="list-style-type: none"><li>- Work flow / process builder to allow us to create and amend new processes</li></ul>	
Document Management / Editing	<ul style="list-style-type: none"><li>- Create / Edit letter templates for communications</li></ul>	
Databases	<ul style="list-style-type: none"><li>- Ability to hold information in databases and</li></ul>	

	<p>interrogate the info including:</p> <ul style="list-style-type: none"><li>- Waste collection information (days, weeks, type of collection)</li><li>- Assisted collections (all properties receiving this service)</li><li>- Clinical collections (all properties receiving this service)</li><li>- Street Cleansing information (type of cleanse, frequency of cleanse, days/dates of cleanse, etc.) – with maps</li><li>- Trees – with maps</li><li>- Map of litter bins with emptying schedule.</li><li>- Grounds Maintenance grass cutting schedule</li><li>- Ability to make mass changes, i.e. change of collection day for a series of streets.</li><li>- Needs to be able to integrate with Contractors systems</li><li>- System needs to incorporate Street and Grounds Maintenance databases</li></ul>	
--	--	--

Contract Management Functionality	<ul style="list-style-type: none"> <li>- Creating performance reports (e.g. no. of missed collections in a specified time period, no. of complaints, repeated missed collections, etc.)</li> <li>- Contractual variations – provision of a notice</li> <li>- Contractual penalty notices – issuing defaults and rectifications, etc.</li> </ul>	
Asset Management	<ul style="list-style-type: none"> <li>- Ability to manage assets such as litter bins – no. of litter bins, location, state of repair, replacement programme, etc.</li> <li>- Recording of phone calls and any other type of contact/action</li> </ul>	
Officer action diary	<ul style="list-style-type: none"> <li>- Ability to log the actions taken against a service request to show the progress and allow colleagues to look back at the history of particular cases.</li> <li>- Ability to set future reminders/actions for things that need to be done e.g. telephone call</li> </ul>	

Project Initiation Document

Date: 17 September 2019

---

	<p>or visit on a particular date, etc. – should be integrated with officer diary.</p> <ul style="list-style-type: none"><li>- Useful to have the action diary function having the ability to be date stamped with officer name.</li><li>- Currently we are able to accidentally delete/amend notes and it would be good that any new system is more robust</li></ul>	
Integration with Contractor systems	<ul style="list-style-type: none"><li>- Ability to link to Contractor systems to allow real time updates on particular jobs e.g. completed missed collections, completed container deliveries, etc.</li></ul>	

---

## **Appendix 2**

Pre-procurement soft market testing document



---

### **Pre-procurement soft market testing**

---

**This document has been prepared for a pre-market testing and does not form part of any competition to procure any goods, services or works for Warwick District Council.**

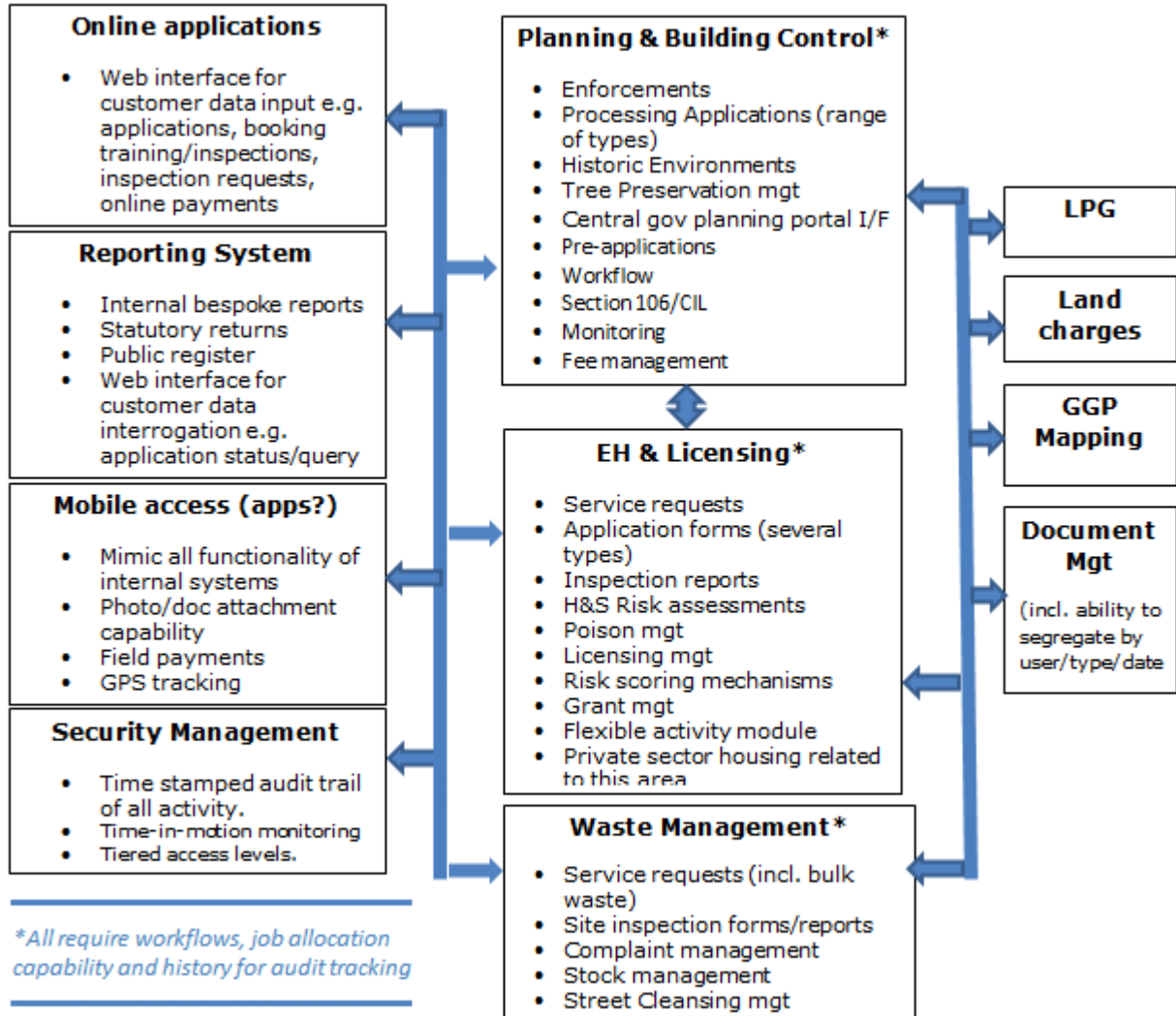
**Contract for environmental health, licensing, planning and building control system solutions**  
**via the RM1059 Local Authority Software Applications framework**

Warwick District Council is looking to review its current software solutions for: environmental health, licensing, waste management (including street cleansing and grounds maintenance), planning and building control, private sector housing, mapping, and land charges. As part of this review, the council is also looking to identify innovations in technology and opportunities for integration. Our aim is to procure a consolidated software solution to facilitate all activities listed above.

We are looking to appoint a single supplier to provide the solution, by (but not limited to): providing a single integrated software application; or providing multiple software applications managed by a single supplier; or providing a core system with sub-contracted applications integrated into the system to fulfil the contract.

The basic structure of system solution we will require is below:

The basic structure of the solution required is below:





## **Business Case for procurement and replacement of Health & Community Protection, Neighbourhood Services, Private Sector Housing and Development Services software.**

---

### Overview

Warwick District Council is looking to review its current environmental health, private sector housing, planning and building control software, assessing current suitability to ensure that they are fit for purpose, with an objective to modernise ways of working in line with current consumer requirements.

The Civica APP software was first deployed in 2004 and has been on a rolling contract since implementation. The Acolaid and IDOX software in conjunction with GGP mapping was first deployed over fifteen years ago.

While Civica APP has served Health & Community Protection (HCP), Neighbourhood Services (NS) & Private Sector Housing (PSH) reasonably well for many years, the software has not moved with the times and it has been necessary to bolt on a number of in-house or 3rd-party solutions to fulfil a range of requirements. Consequently, alternative solutions are being explored.

As part of a premarket engagement exercise, several software suppliers have been identified and selected via a government framework to showcase their solutions. This engagement has not only highlighted the extent to which Civica APP, Acolaid and IDOX lag behind the current market, it has also identified a range of advanced, dynamic solutions that would drastically improve the Officer and Customer experience and would assist HCP, NS, PSH & Development Services (DS) to meet increased service demand from the ongoing district growth.

With regards to timescales this would require extending the current contract end date for Civica APP (7th June 2020) by an additional 12 months to give enough time to carry out a software migration.

The Acolaid and IDOX contract end date is 30<sup>th</sup> June 2022 so it is not anticipated that an extension will be required for this software.

Currently HCP, NS and PSH use 40 concurrent Civica APP software licences and have 92 user accounts with system access.

The IDOX / Acolaid software is used by DS for all aspects of Planning, Building Control and Land Charge service provision. Development Services currently hold 75 licences with 64 active system users. In addition, the Acolaid Land & Property Gazetteer (LPG) module is used extensively by ICT Services and, as the master address database, it integrates with many other back-office ICT Systems.

### High level Options Appraisal

The potential options that have been considered are below:

<b>Option</b>	<b>Description</b>	<b>Suitability</b>	<b>Feasibility</b>	<b>Acceptability</b>
No change	Keep the system as it is and renew contracts.	It would cause no disruption to the current service provision.	It would be time limited. Civica have only committed to supporting the APP software until 2023. The Acolaid software is a legacy solution provided by IDOX and receives limited ongoing development.	It would not address any of the issues identified with the current software.
Re-let separate solutions	Replace Civica APP and IDOX/Acolaid with solutions from new suppliers.	Service Areas would receive more up to date systems that could improve Officer and customer experience.	We believe that there are several potential suppliers on the market that could provide suitable software solutions.	Service Area teams would choose the solution that best meets their requirements. However, additional integration between systems may be required.
In-house development	Have a replacement solution developed internally by the in-house ICT team.	The solution would be bespoke to our council and its requirements.	The current ICT service would not be able to develop and provide ongoing support for solutions of this complexity and length. Service Areas would need to provide sufficient resource and time to dedicate to specifying the initial or ongoing solution requirements	The costs and time required by Service Area and ICT staff to specify, develop, test and maintain an in-house solution would be prohibitively expensive, and would outweigh any possible advantages.

Third-party development	As for In-house development above but employing external developers	The solution would be bespoke to our council and its requirements.	There are potentially many developers available on the market that would be interested in creating a solution. Service Areas would need to provide sufficient resource and time to dedicate to specifying the initial or ongoing solution requirements	It is not financially feasible to develop a solution for the council when there are already suitable out of the box products on the market that can be shaped to our requirements.
Consolidate	Rationalise the supply chain and appoint a single supplier to provide all of the software and services need to provide a solution	The single supplier would ensure that a fully integrated solution was designed using multiple systems or services	There are many suppliers on the market, with a small pool of suppliers specialising in the public sector.	By working with a single supplier, it may be possible to build a functionally rich and fully integrated solution from the outset potentially providing lower whole life costing.

From the above table, the only suitable options are either to 'relet the contracts separately' or 'consolidate'. Based on the premarket engagement exercise there are a number of suppliers and solutions which could fulfil either of these options.

## Benefits

The current systems are not fit for purpose to enable the Council to become flexible, creative and innovative. The Council recognise that its day to day operations need to be delivered as efficiently and effectively as possible. As such the current methods and systems of working need to be reviewed and updated.

Efficiency Benefits – Currently, the majority of customer requests are manually input into the Civica-APP system which is an inefficient use of staff resource. Although work is underway to integrate website forms into the Civica-APP system, modern systems offer this as core functionality. One of the key goals of this implementation will be the automation of repetitive low value tasks to enable staff to focus on value adding tasks, improving service support and delivery.

Customer satisfaction – many of our customers want to be able to self-serve where possible. Modern systems provide a range of standard self-serve options, such as online applications with integrated payments, portals offering status updates and registers. This functionality would drive up customer satisfaction as well as reducing the amount of officer administration.

Improved usability – Bespoke reports and configurable dashboards are needed to effectively assist managers and officers in managing workloads. In addition, the system will also have improved mobile capabilities to enable officers to work more efficiently than at present.

Flexibility - A new system will enable the Council to take advantage of any future changes in working practices or technological changes due to the flexible nature of a more modern system design and more open licence agreements.

Compliance Benefits – the recent changes in GDPR and data protection have highlighted some of the inefficiencies in the current systems with both data maintenance and data extraction. There are also large amounts of manual intervention in processes and paperwork which exists outside the system. This poses significant risk with information being passed round as it could be lost or held incorrectly.

Future benefits – the new system would put the Council in a position where it was capable of responding to changes in legislation, business opportunities or service redesign quickly and easily. The system will be designed in such a way that other modules and applications can be added into it as needed, further enhancing the delivery of services. The new system could also support the Council in commercialising certain services.

ICT Support – In an attempt to mitigate some of the deficiencies with the current systems, numerous in-house solutions have been developed and require ongoing support. It is anticipated that these solutions would be included as standard functionality in modern solutions.

### **Current software costs**

The direct costs of the current systems in 2018/19 are shown below:

<b>System (2018/2019)</b>	<b>Cost/annum (2018/2019)</b>
Civica APP	£29,447
Idox / Acolaid	£39,955
GGP	£11,118
Total cost/annum	£76,520

The costs of managing the above systems have been assessed as follows:

<b>System / Contract Management (2018/2019)</b>	<b>Cost</b>
ICT Infrastructure support (onsite servers)	£500.50
ICT Application support (includes bespoke development)	£70,605
Total	£71,105.50

It should be noted that the £70,605 ICT costs would not translate directly into a saving for Warwick District Council (WDC) because the time would simply be spent improving services and supporting systems across other areas of the authority. However, this resource realignment would still be of benefit to WDC as a whole.

The total cost of the systems above comes to £147,625.50 (or £77020.50 excluding the ICT costs) for 2018/2019.

On top of these costs there is also currently significant waste in the system. The inefficiencies and lack of demand management have not been analysed, however the recent Finance system replacement project has estimated a potential £39,884 per annum in efficiency savings.

### **Potential software costs**

From the soft market testing as well as looking at the G Cloud Procurement framework we have obtained some estimates for various options.

The below gives an idea how much a modern solution could potentially cost if consolidating numerous service areas into one solution.

**Table 1: Consolidate –estimate**

Product Components		Price GBP (£)	Order Qty	Year 1 GBP (£)	Year 2 GBP (£)
<b>1. Subscription (includes licence, support, maintenance, enhancements and hosting)</b>					
-	Arcus Local Government Platform (per user per month)	48.00	146	42,048	84,096
-	Arcus Administrator (per user per month)	63.75	4	1,530	3,060
Optional	Arcus Digital Services Hub (authenticated portal for BE & Reg	10,000	1	5,000	10,000
Optional	Arcus Digital Services Hub (1,000 authenticated logins per month)	3,723	1	1,861.50	3,723
-	Arcus Form Builder (123 Form Builder)	4,000	1	2,000	4,000
<b>2. Integrations and Migrations</b>					
-	Data Migrations (data import)	15,000	2	12,000	
<b>3. Implementation Services</b>					
-	Implementation of Arcus Regulatory Services	84,000	1	84,000	
-	Implementation of Arcus Built Environment	58,000	1	58,000	
Optional	Implementation of Arcus Digital Services Hub	17,500	1	17,500	
<b>4. Training</b>					
-	Onsite Training Package (as agreed)	750	10	7,500	-
<b>5. Development Services</b>					
<b>6. Support, Maintenance &amp; Enhancement (Annual Site Licence)</b>					
-	Arcus Standard Support Contract		1		8,390
<b>Annual Sub-Total</b>				<b>£ 231,440</b>	<b>£ 113,269</b>
<b>Proposal Price for ANNUAL FIXED Payment Terms</b>					
				Prices Exclude VAT	Year 1 Price
				Year One Fee	GBP (£)
				Future Years	231,440
					113,269

The initial outlay in year 1 is much higher owing to data migration (transferring all of the necessary data from the current systems to the replacement), initial configuration, integrations (such as to the

WDC website), supporting user testing and system training for staff. Data migration would be a one off cost and although system configuration, integration and training may be required in the subsequent years, the anticipated costs would be significantly lower than in year 1

The ongoing cost in year 2 is far less and the quotation for 146 user licences could be reduced.

### **Project Management**


It is important that a project of this scale is properly resourced. The project will need to be led by a Project Manager who has the capacity and capability to manage a project of this magnitude throughout. Service managers and software system owners will not be able to dedicate the time or expertise needed for such a complex project.

Project management skills are more important than detailed knowledge of individual modules (as other members of the project team should be able to provide this expertise).

A two-year Project Manager post is proposed to manage the overall procurement and implementation of a solution for HCP, NS and PSH. At this point DS will be in a position to determine whether it wishes to upgrade to this solution or undertake further market investigation to determine what else is available.

### **Project Plan**

An initial project plan has been written into the PID (Project Initiation Document)

 <b>EXECUTIVE</b> <b>03 October 2019</b>		<b>Agenda Item No.</b> <b>8</b>
<b>Title</b>	Canalside Development Plan Draft Document (DPD) – Request to Consult	
<b>For further information about this report please contact</b>	Lorna Hale (01926 456505) <a href="mailto:lorna.hale@warwickdc.gov.uk">lorna.hale@warwickdc.gov.uk</a>	
<b>Wards of the District directly affected</b>	All	
<b>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?</b>	No	
<b>Date and meeting when issue was last considered and relevant minute number</b>	N/A	
<b>Background Papers</b>	Warwick district Local Plan 2011-2029 Local Development Scheme – Executive March 2018, Item 11	

<b>Contrary to the policy framework:</b>	No
<b>Contrary to the budgetary framework:</b>	No
<b>Key Decision?</b>	No
<b>Included within the Forward Plan? (If yes include reference number)</b>	No
<b>Equality &amp; Sustainability Impact Assessment Undertaken</b>	Yes
The Local Plan and the policies within it has been subject to equalities impact assessment. A separate SA/SEA scoping report solely referring to this DPD will be available	

<b>Officer/Councillor Approval</b>	<b>Date</b>	<b>Name</b>
Chief Executive	20.08.19	Chris Elliott
CMT	20.08.19	Chris Elliott, Bill Hunt, Andrew Jones
Section 151 Officer	20.08.19	Mike Snow
Monitoring Officer	20.08.19	Andrew Jones
Head of Service	20.08.19	Dave Barber
Portfolio Holder(s)		Councillor John Cooke
<b>Consultation &amp; Community Engagement</b>		
The report is a request to take Draft Development Plan Document and accompanying SA/SEA to public consultation for a period of 6 weeks		
<b>Final Decision?</b>	No – As a DPD, it will need to come back to Executive before the next stage of formal consultation	

## **1 SUMMARY**

- 1.1 The Warwick District Local Plan 2011-2029 was adopted in September 2017 and contains a commitment to bring forward a Development Plan Document (DPD) for the canalside.
- 1.2 A further commitment was made in the Local Development Scheme to produce relevant DPDs outlined in the Local Plan, such as The Canalside (Appendix1).

## **2 RECOMMENDATIONS**

- 2.1 That Executive notes the content of the attached consultation document (Appendix 1), the accompanying SA/SEA report (Appendix 2) and the Executive Summary of the SA/SEA (Appendix 3) and approves them for a **six-week public consultation, in accordance with the Council's adopted Statement of Community Involvement (SCI)**.
- 2.2 That Executive notes that following the public consultation a submission version of the DPD will be brought before them with a report of public consultation, to be approved for a further period of consultation before the DPD is submitted to an independent planning inspector.

## **3 REASONS FOR THE RECOMMENDATION**

- 3.1 The adopted Local Plan states in policy DS17 'Supporting Canalside Regeneration and Enhancement' that the Council will prepare and adopt a DPD identifying areas for regeneration in the urban area suitable for other uses and areas for protection throughout the canal network. The document sets out policies for the assessment of planning applications in the canalside area.
- 3.2 Part of the commitment for the protection of the canal and surrounding areas has already been addressed through the designation of a Canal Conservation Area in January 2019.
- 3.3 The Local Plan also proposes three older areas of canalside employment for consideration for residential use, these being: Sydenham Industrial Estate, Cape Road/Millers Road and Montague Road. Development of part of the Sydenham Industrial Estate for residential use has already taken place with the area to the west of Sydenham Drive and immediately adjacent to the canal given over to new housing.
- 3.4 Canals as a topic **didn't** appear in the previous Local Plan which illustrates the decline in the use and interest in the canals at that point. It is now recognised that the canals form a useful resource and as well as providing a network of tow paths that join towns and countryside and providing a backdrop for leisure pursuits, they are also a valuable resource in providing places of peace and tranquillity supporting the health and wellbeing of all who use them.

- 3.5 Examples of regeneration elsewhere and particularly in the bigger cities, Birmingham for example, demonstrate how the resurgence of interest and investment in the canals can assist with the regeneration of surrounding areas providing a catalyst for new uses to be found for vacant land and buildings and raising awareness of the opportunities provided by the canals.
- 3.6 The submission draft of the DPD (appendix 1) deals with these issues provides responses to these with policies that will be utilised by officers dealing with planning applications. Specific policies deal with the redevelopment of redundant sites for residential use and a series of other opportunity sites have been identified, examined and assessed for suitability to be taken forward for this and other appropriate uses.
- 3.7 As a DPD, the document will need to follow the same procedure as the Local Plan in that another stage of formal consultation will be required on the submission document before it is placed before an independent inspector at public examination. The report of the inspector will be binding on the Council and any amendments will be made to the DPD before it is brought back to Executive for adoption at which point it will carry the same weight as the Local Plan and become part of that planning framework for development.

## 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	<u>Intended outcomes:</u> Area has a well looked after canal system and environment with access for all to open	<u>Intended outcomes:</u> Dynamic and diverse local economy Vibrant towns Improved performance/

Impressive cultural and leisure activities Cohesive and active communities	space and which feels safe and well used. Reduced levels of crime and additional surveillance	productivity of local economy Potential for improving the employment offer and income levels
<b>Impacts of Proposal</b>		
The DPD will help to bring forward new opportunities for regeneration and for the development of new housing in particular	The DPD will ensure that enhancements can be required as part of new developments and conversions resulting in an improved, useable and pleasant environment	The DPD will ensure that appropriate improvements and enhancements are required alongside development with the appropriate contributions made by developers
<b>Internal</b>		
<b>Effective Staff</b>	<b>Maintain or Improve Services</b>	<b>Firm Financial Footing over the Longer Term</b>
<u>Intended outcomes:</u> 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 <b>customers' needs</b> Improving upon the resources that we already have	<u>Intended outcomes:</u> Increase the potential for the canals to benefit the local economy and the district in general
<b>Impacts of Proposal</b>		
The DPD will help officers in pre-application discussions and in determining planning applications	Not applicable	Not applicable

## 4.2 Supporting Strategies

Each strand of the FFF Strategy has several supporting strategies. The Local Plan is one of the key strategies, cutting across many of the FFF strands.

## 4.3 Changes to Existing Policies

This document seeks to support and expand policies adopted within the Local Plan and adheres to national and local policies.

## 4.4 Impact Assessments

The Consultation will be undertaken in line with the Council's Statement of Community Involvement (SCI) 2016 approved by Executive in January

2016. The SCI specifically seeks to ensure that all relevant sectors of the community are consulted. The Local Plan has been subject to an equalities impact assessment which assessed the implications of consultations on equalities.

## **5 BUDGETARY FRAMEWORK**

- 5.1 The costs of conducting the consultations and reviewing the responses are covered within the existing budget framework.

## **6 RISKS**

- 6.1 There are no specific risks related to taking the proposed DPD Issues and Options paper out to public consultation.

## **7 ALTERNATIVE OPTIONS CONSIDERED**

- 7.1 The Executive could decide not to pursue publication of a Canalside DPD. This would however, be contrary to the commitment made in the Local Plan and will not provide officers with a solid policy basis for decision making with regard to the future development of canalside sites.

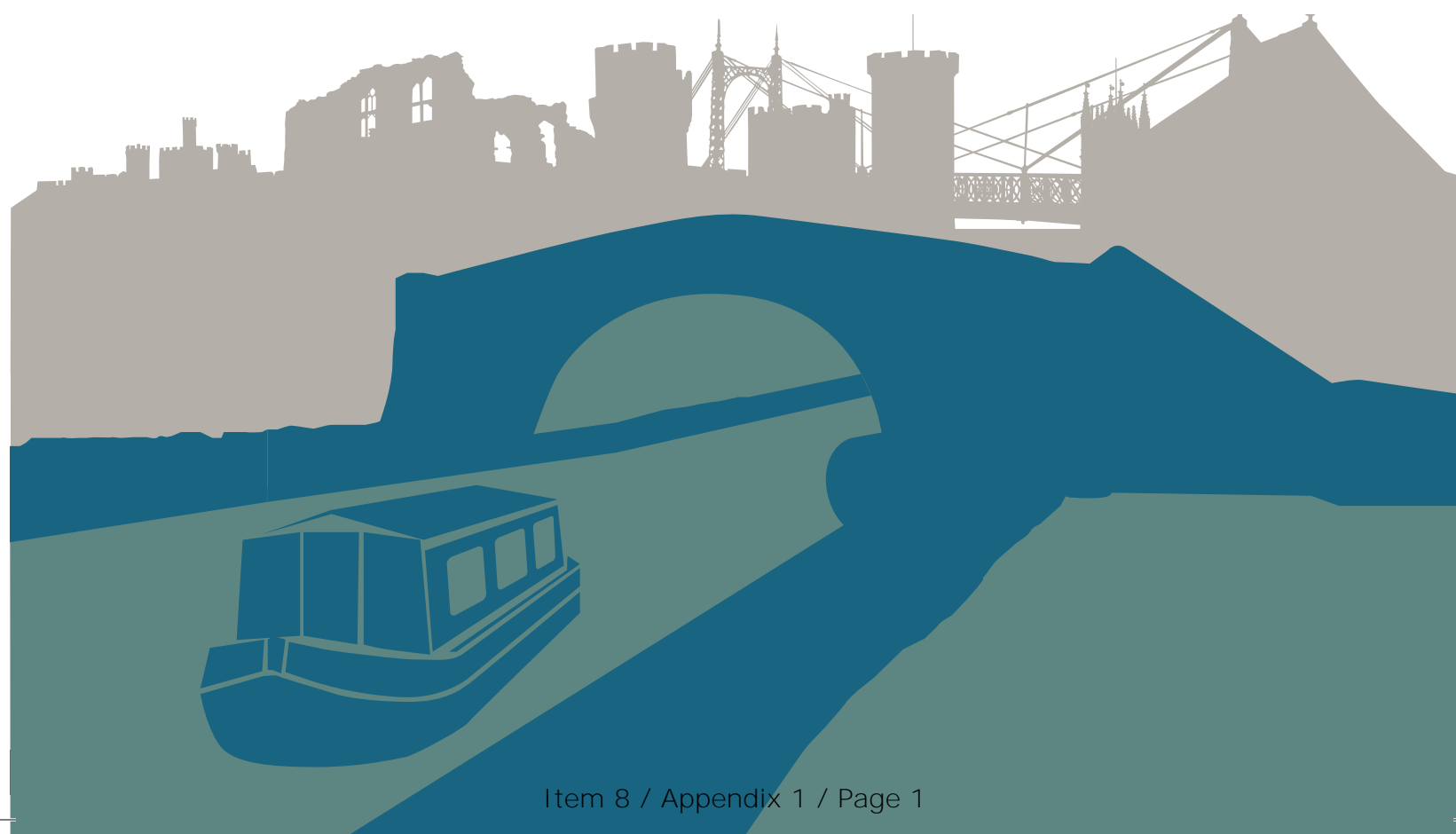
## **8 BACKGROUND**

- 8.1 The draft document sets out identified issues surrounding the canal, associated tow paths and adjacent land and proposes policies to deal with them.
- 8.2 Options to address some of these issues are proposed opening up the opportunity for further ideas to be promoted and discussions to take place to promote the canals as an important resource
- 8.3 The DPD policies aim to achieve this by setting out what is expected for each new proposal to allow planning officers to make informed decisions on applications for both new build and conversions, without detriment to the amenity of the canal environment and with suitable enhancements wherever possible.

Warwick District Council

# CANALSIDE DRAFT DPD

CONSULTATION  
DOCUMENT  
October 2019



# Contents

<b>1. BACKGROUND:</b>	
<b>05</b>	National and Local Policies
<b>06</b>	Neighbourhood Plans
<b>07</b>	The Extent of this DPD
<b>07</b>	Conservation Area
<b>2. CONTEXT:</b>	
<b>09</b>	The Grand Union Canal,
<b>09</b>	The Stratford Upon Avon and Birmingham and Fazeley Canals
<b>10</b>	The History of Canals in Warwick District
<b>12.</b>	How the Use of Canals Has Changed
<b>14</b>	What Has Happened Elsewhere?
<b>3. THE CANAL CONSERVATION AREA</b>	
<b>4. ISSUES</b>	
<b>22</b>	Biodiversity
<b>22</b>	Rubbish Dumping
<b>23</b>	Crime and the Perception of Crime
<b>23</b>	Drug Dealing
<b>23</b>	Vandalism
<b>24</b>	Aesthetics
<b>25</b>	HS2
<b>26</b>	Vacant and Underused Buildings
<b>26</b>	Access
<b>27</b>	Flooding
<b>28</b>	Water Abstraction
<b>28</b>	Residential Moorings
<b>29</b>	Marinas
<b>29</b>	Future Pressures
<b>5. OPTIONS</b>	
<b>31</b>	Identifying the Potential
<b>32</b>	Sydenham Industrial Estate
<b>32</b>	Cape Road/Millers Road
<b>32</b>	Montague Road
<b>33</b>	Recent Developments on the Local Plan Sites
<b>33</b>	Other Opportunity Sites
<b>6. POLICIES</b>	
<b>37</b>	Site Specific Policies
<b>7. IS THERE ANY FUTURE FOR CANALS AS FREIGHT CORRIDORS</b>	
<b>41</b>	Who is involved
<b>APPENDICES</b>	
	APPENDIX 1: Other Opportunity Sites Analysis
	APPENDIX 2: Canalside Listed Buildings
	APPENDIX 3: Constraints

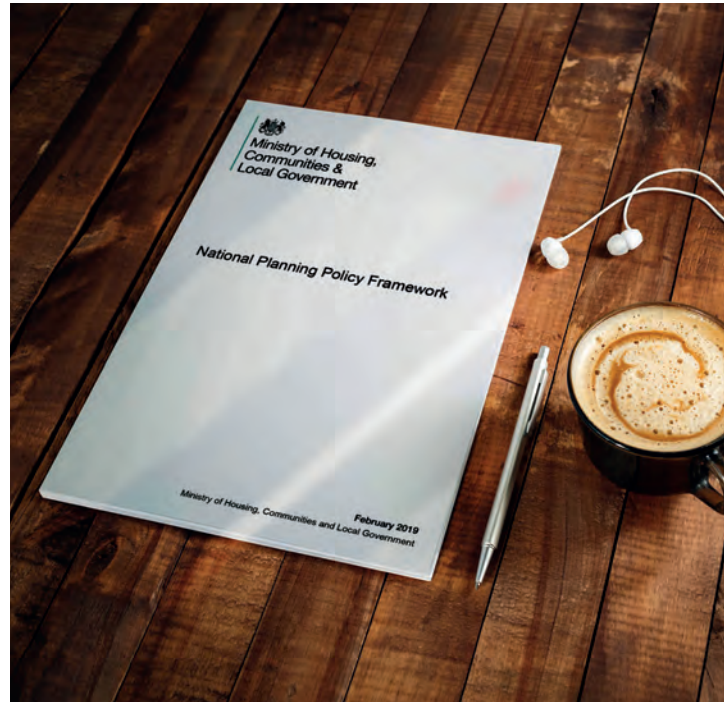


## SECTION 1

# BACKGROUND

- 1.1** What is a Development Plan Document (DPD) and why is one being prepared for the canals within the district?

## National and Local Policy Documents



- 1.2** The district adopted its Local Plan in Sept 2017. The Local Plan sets out the framework for future development in the district; how much, where it will be and how it will be supported in terms of infrastructure. The Plan runs from 2011 to 2029. It contains both allocations for land uses, including housing and employment, and policies by which planning applications will be assessed by development management staff and Planning Committee Members. It also provides guidance for developers about what is expected by way of physical, sustainable development and in terms of good design. The Local Plan sits beneath the National Planning Policy framework (NPPF) document and has to be in conformity with it.
- 1.3** A DPD is a document that fits within the Local Plan framework, but has been prepared separately as it deals very specifically with a particular aspect or topic. In this case, the canalside has been given special consideration as it is considered that this area has long been neglected in terms of development and public use and that there are opportunities in this area which could be exploited for the local and wider community.
- 1.4** There is a policy in the Local Plan (Policy DS17) which commits the Council to undertaking this work.
- "The Council will prepare and adopt a Canalside Development Plan Document (DPD) to:
- a) assess the canals in the District and their environment and setting;
  - b) identify areas for regeneration along urban sections, particularly for employment, housing, tourism and cultural uses; and
  - c) identify areas for protection, where these are appropriate, throughout the canal network within the District.

This document will designate particular areas and uses and will set out policies for use in assessing planning applications."

It is on this basis and with reference to each of these criteria that this document has been prepared.

The text that accompanies this policy in the Local Plan explains why the Council feels that this is an important project.

"The Council wishes to see the canals reach their full potential and provide not only for leisure pursuits but also the possibility of opening up and regenerating areas which have fallen into disuse and been degraded over the years, particularly where this boosts the local economy by providing new jobs. A holistic approach is needed however to avoid piecemeal development which may result in the sterilisation of other sections of the canalside. By carrying out a study into what activity is currently taking place along the canal and within its environs, the Council can plan for a sustainable and productive future. By producing a Development Plan Document the Council will be able to allocate sites specifically for appropriate uses whilst building on and reinforcing existing successful canal side developments, resulting in a vibrant set of proposals to guide future development and contribute to the prosperity of the District."

Additionally, the Local Plan lists specific locations that the DPD will consider in terms of redevelopment.

"It is intended that this Development Plan Document will also bring forward three of the employment areas (Sydenham Industrial Estate, Cape Road/Millers Road, Montague Road) identified for redevelopment for residential uses (see Policy DS8). It is important that proposals for these areas are developed to take account of their canal side location and brought forward as part of the wider uses outlined in this policy".

As this DPD forms part of the Local Plan, it must be in conformity with both that document and the NPPF.

## Neighbourhood Plans

**1.5** The next level down in the hierarchy of plans is the Neighbourhood Plan (NP). These plans must be in conformity with national and local policies. If a NP is published for any of the areas adjoining the canalside or including land within the boundary of the DPD, or including the canal itself, then the NP must be in conformity with all higher levels of policy.

### **1.6** Objectives of this DPD

- Identify issues and opportunities and address/exploit them
- Look at a wide range of potential schemes to encourage more use of the canals and be imaginative and creative
- Increase the use of the canals and their environs to open them up to a new range of activities
- Create new frontages to face the canals instead of backing onto them, especially with new residential development
- Change perceptions of hidden backwaters as dangerous and crime ridden
- Make the canals safe and attractive and accessible to everyone
- Improve the visual aspects of the canals and widen their appeal to include all sectors of the community
- Protect any aspect of the canal that needs to be preserved whether tangible or conceptual
- Protect wildlife, habitats and water quality
- Increase awareness by use of directional and information boards in appropriate locations

## **1.7 The Extent of This DPD**

This document includes the whole length of all the sections of canal that run through the district. It considers not only the canals themselves and the environmental issues surrounding them, such as water quality, but also the land to either side, the state of the towpaths and any facilities that are provided and the land beyond which includes a number of 'opportunity sites', where there is vacant or under-utilised land and/or buildings or other opportunities for regeneration. It also looks at the existing communities, both on the canals and alongside.

## **Conservation Area**

- 1.8** One of the major pieces of work which has taken place as part of the overall assessment of the canals, is the designation of a new conservation area. An expert in this field surveyed the whole length of the canals in the district to assess the potential for creating this. Additional protection is afforded to land, buildings and the canals which could, for example, help to retain and bring back into use, buildings that are not in themselves worthy of national listing, but nevertheless are special locally in terms of their industrial architecture and importance to the development, demise and resurgence of the canals.
- 1.9** What criteria are used to judge whether or not to designate a new Conservation Area(s)?  
Conservation Areas are 'areas of special architectural or historic interest, the character or appearance of which it is desirable to preserve or enhance' (Planning (Listed Buildings & Conservation Areas) Act, 1990).
- 1.10** Policies and guidance for Conservation Areas are given by the Government in National Planning Policy Framework, 2012 paras. 126 to 141 and Historic England's Advice Note 1, Conservation Area Designation, Appraisal and Management.
- 1.11** Local authorities are advised to review their Conservation Areas from time to time and to ensure that they have up to date character appraisals which set out their special interest and provide the basis for development management and enhancement proposals.

## SECTION 2

# Context

## 2.1 The Canals that run through Warwick District are:

### **The Grand Union Canal:**

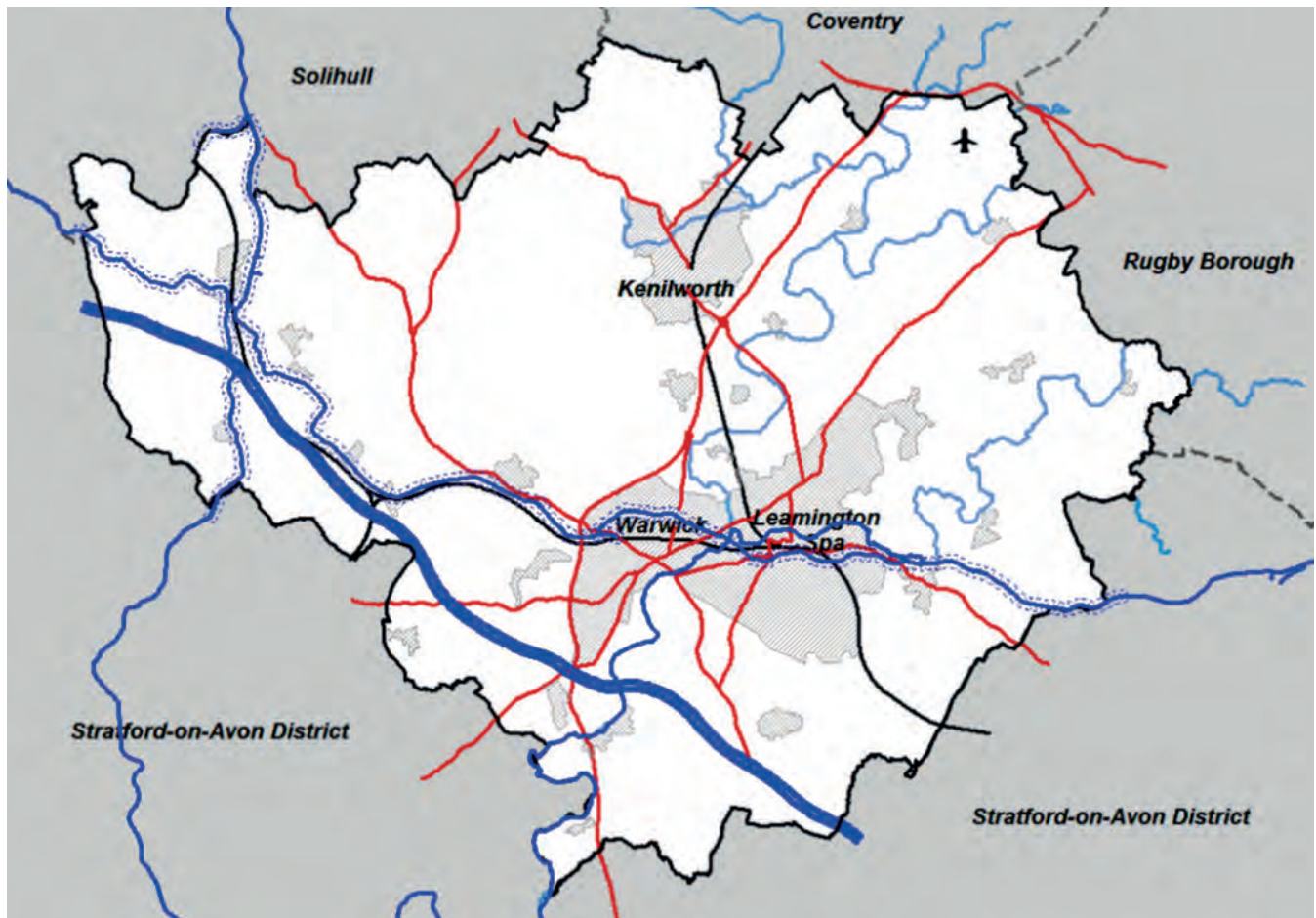
The Grand Union Canal runs east to west through the southern part of the district from a point just to the east of the Fosse Way beyond Radford Semele, to the point where it links to the Birmingham and Fazeley Canal south east of Kingswood and on to the edge of the Warwick District Boundary, east of Dorridge. The more urban section of canal runs through the towns of Leamington Spa and Warwick.

### **The Stratford upon Avon and Birmingham and Fazeley Canals:**

The Stratford upon Avon Canal commences its course through the district at a point south of Lowsonford and runs northwards to become the Birmingham and Fazeley Canal at the point that the Grand Union meets it (Kingswood Arm) and thence westwards until it exits the district at the south eastern corner of Hockley Heath. This part of the canal is very much more rural in character.



Split Bridge 2m North of Lock 21



Waterways through Warwick District

## Waterways through Warwick District

### 2.2 A Brief History of Canals in Warwick District

The Romans first built canals in this country for the same purpose for which they were required in the 18th Century; to move heavy cargoes from point A to point B and to transport large amounts of water across valleys and hills. Most of the Roman canals were set up as irrigation systems, for land drainage or to link rivers. The Fossdyke in Lincolnshire was built around 120 AD, to connect the River Witham to the River Trent and is probably the oldest canal in Britain.

- 2.3 In the 18th century it became clear that for the new industries which were emerging as a result of the Industrial Revolution an efficient way of transporting raw materials was necessary. The Government was lobbied to pass Acts which enabled the construction of canals to commence with money raised by the new entrepreneurs forging new businesses which needed to move goods quickly from the point of origin to the major cities of Great Britain.
- 2.4 The work force for digging the 'cuts', where the landscape was literally cut into to enable the water to be channelled along, largely came from Ireland and the industrial north of England and became known as the 'navigators' or 'navvies'; a term still in use today for those labouring on building projects.
- 2.5 Following the natural terrain of the land, the canals often skirted hills and valleys, but when the water level inevitably had to change to traverse the landscape, locks were built. These were used to great effect to raise or release water levels to enable the next level to be navigated. Where necessary, a staircase of locks was used, as in the case of the 'Hatton Flight' or the 'Stairway to Heaven' locally.



The Hatton Flight of locks today

- 2.6** The Grand Junction Canal received its Act in 1793 and was fully operational by 1805. The original Grand Junction Canal ran from Birmingham to London, was 137 miles long and had 166 locks. It was built at a time when there were no railway connections and roads were poor, to improve communications between Birmingham and the Midlands and London and to serve businesses which had emerged from the industrial revolution and which were heavily reliant on a constant supply of coal.



Coal Barges on the Birmingham Canal

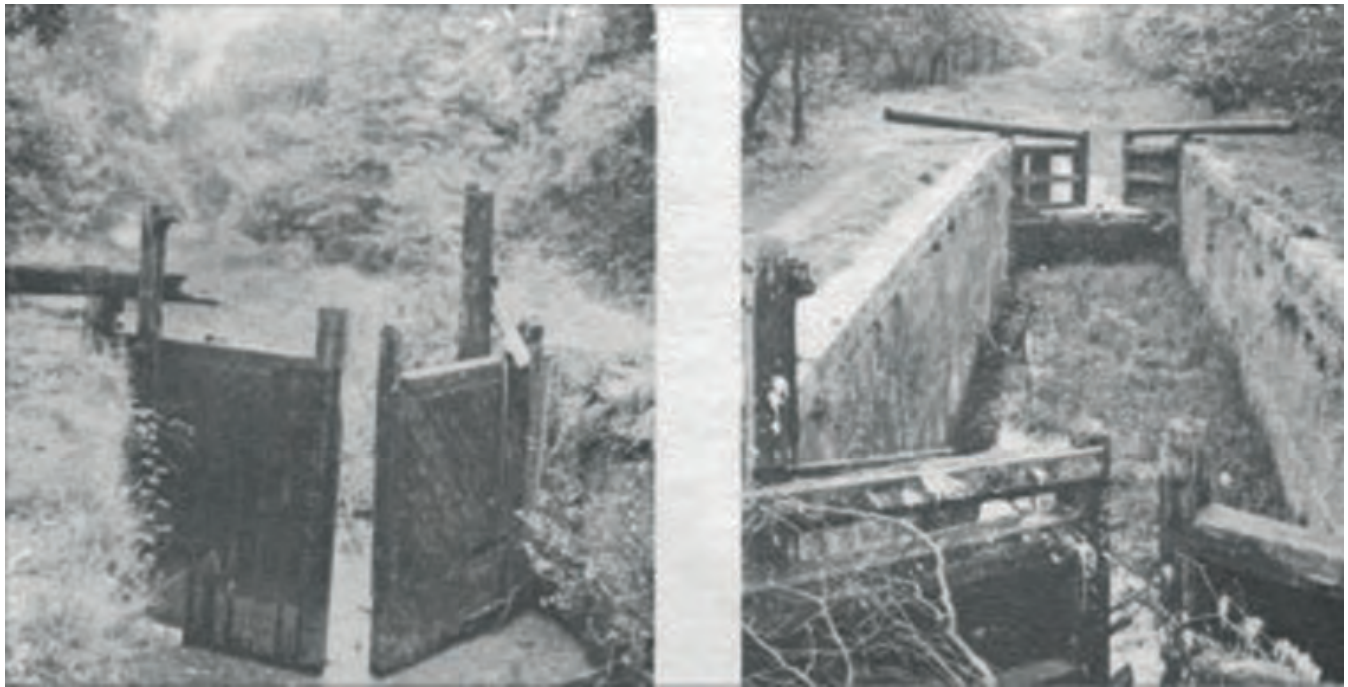
- 2.7** The Grand Junction was built as a broad canal in the south where 14ft boats could be accommodated, but at its northern end it joined the Oxford Canal which was narrow and the canals into Birmingham were also narrow. It was generally therefore used only by narrow boats, except at the London end. The advent of the railways meant that the waterways were forced to adapt in order to survive.
- 2.8** The section through this district was designed for narrow boats and was built by two companies; the Warwick & Napton Canal and the Warwick & Birmingham Canal. Working together meant that the canal profited until 1838 when the railway was built bringing direct competition.
- 2.9** In 1894 the Grand Junction purchased the canals which now comprise the 'Leicester Line'. In 1929 the Regent's, Grand Junction and the two Warwick Canals merged and became the 'Grand Union Canal'.
- 2.10** The new company, with the help of government loans, modernised this part of the system to enable broad-beamed boats to work between London and Birmingham. Dredging was carried out and the banks protected with concrete strengthening, bridges widened or replaced, and narrow locks replaced with broad locks. Completed in 1937 much of the canal remained too shallow for broad boats to pass each other and unable to pass in tunnels however. Narrow boat traffic increased in the short term, but post-war with canalside factories no longer using coal as a fuel or having it brought in by other transport methods, the canals declined. Loading boats along the Grand Union Canal was phased out in the 1930's.

### **2.11 How The Use of Canals Has Changed**

Having been built for trading purposes to transport large, bulky items with relative ease, the canals fell out of favour with the coming of the railway and a much improved and extended road network. With no real purpose, those canals that fared best became a haven for wildlife and a place for quiet contemplation and angling/water based leisure. Those that fared less well became overgrown, abandoned and totally disused other than as rubbish tips.



The Kennet and Avon Canal, Devizes (from 'Canal' by Anthony Burton and Derek Pratt)



Basingstoke Canal near Pirbright, Surrey



Liskeard and Looe Union Canal (Wikipedia)



Above Lock No. 2 Basingstoke Canal (Wikipedia)

- 2.12** Today, with a renewal of interest in the canals and in canal travel for pleasure, there are far more uses for canals than ever before. From those wishing to travel in their leisure time on narrowboats and other craft, to walkers, cyclists and anglers, the resurgence in interest has sparked off a whole new demand for canal use and activities. Some canal based small businesses have also sprung up creating a new sense of purpose and embracing the concept of travel as part of that business for some.
- 2.13** The importance of canals is increasing in terms of use as a resource too. Not only does the canal act as a waterway to convey people and to some extent, goods, but it also acts as a reservoir, storing water for times of drought caused increasingly by climate change. Water is abstracted on the canal system for both agriculture and commercial uses. There are real issues

around the level of topping up and abstraction, since there are more applications for licences to abstract water made year on year. The level of water needs to be maintained to allow navigation and to keep the water clean and aerated enough to support fish and other animal and plant life.

## 2.14 What Has Happened Elsewhere?

An excellent example locally of the resurgence in interest in the canal network and the way in which the canal is utilised, is Birmingham and in particular around the Gas Street Basin and Brindley Place area where a substantial amount of investment has regenerated the canal and the surrounding district. The following photographs illustrate the difference made. Note that buildings now face onto the canal rather than backing onto it as before.



Brindley Place before work was carried out (Urban Buildings)



Before Work Started in 1990s at Brindley Place (Birmingham Express & Star)



Brindley Place today ?



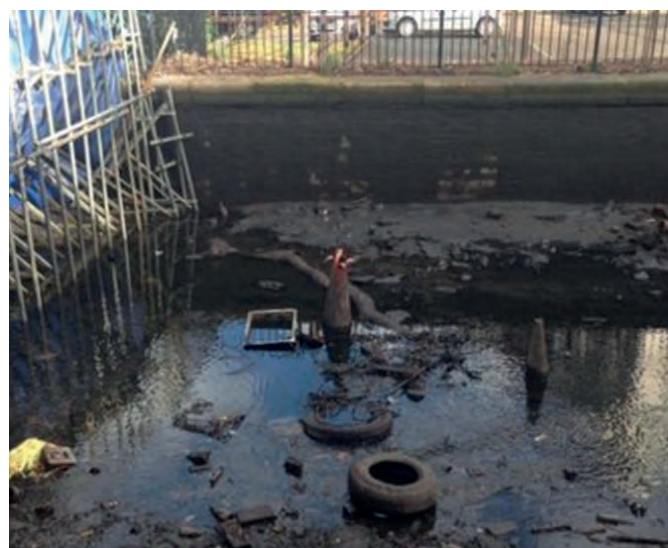
Brindley Place today ?



Gas Street Basin – 1973 (loose\_grip\_99)



Gas Street Basin – mid 1970s (Birmingham Forum)



Gas Street Basin drained



A section of the canal at Islington Row, Birmingham, after being drained (Birmingham Mail)



As It Is Today (jim-shead.com)



Banbury's Castle Quay – note the architectural features reflecting previous buildings/uses (Geograph)

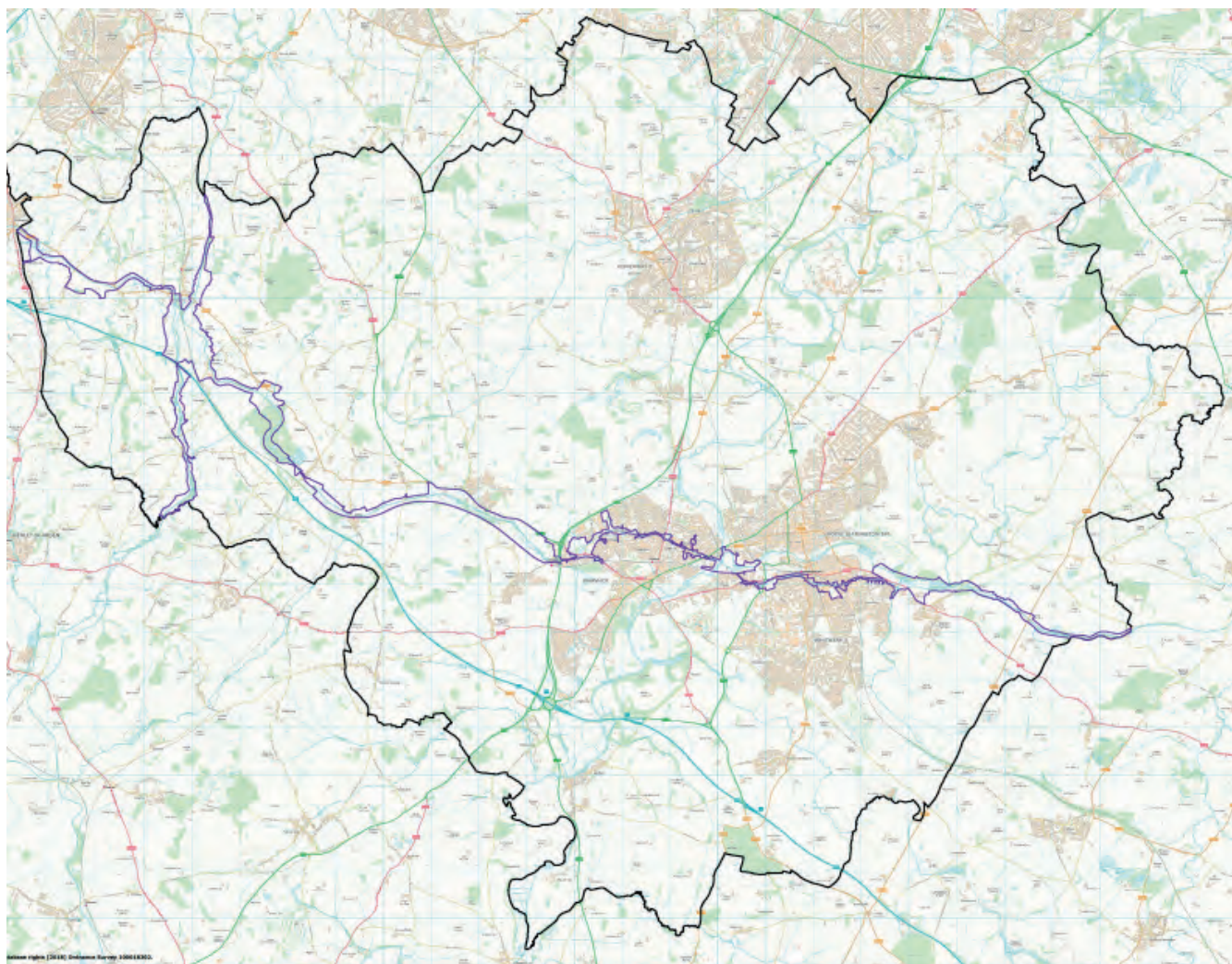


SECTION 3

# The Canal Conservation Area

After a lengthy period of evidence gathering and public consultation, a new conservation area was designated covering the whole of the canals lengths throughout the district, in January 2019. This designation affords additional protection to the area as more changes will require a planning application and subsequent approval before being carried out. This does not preclude development and change but does introduce tighter controls over such proposals. To ensure that the area with conservation area status remains relevant and logical, the boundary has, in the most part, been drawn closely to the edge of the canal and towpath and the immediate environs, only taking in a wider aspect of the setting of the canal where it closely relates to the history and uses of the canal. These areas have now come within the protection afforded by national policies relating to conservation areas and Warwick District Local Plan policies H1 – H4 with particular reference to policy H2, conservation areas.

- 3.1** All background information and more details of the work undertaken to designate the conservation area can be found on the council's website  
**[www.warwickdc.gov.uk/site\\_search/results/?q=canal+conservation+area](http://www.warwickdc.gov.uk/site_search/results/?q=canal+conservation+area)**



Canal Conservation Area map

## SECTION 4

# Issues

## Biodiversity

- 4.1** Canal side nature improvements in Birmingham City Centre have introduced 100m of marginal vegetation to once hard-edged sections of the canal. (Wildlife Trust)
- 4.2** In Warwick district there are two small areas that are affected by a designated local nature reserve. They are both to the east of Leamington Spa:
- Immediately to the south and adjoining the canal is the northernmost tip of the Whitnash Brook Valley local nature reserve, and
  - North of the canal is the southernmost tip of the Leam Valley local nature reserve

Local Plan policies FW1, NE1 and particularly NE2 protect these areas and will apply to any proposals for development along these designated areas where it is adjacent to the canals.

## Rubbish dumping



Canal clean-up in Leamington  
(Waterways.org.uk)



Dumped rubbish in Warwick

## Crime and the perception of crime

### 4.3 Drug dealing



Drugs squad officers raid Leamington canal boat (Coventry Telegraph)

### 4.4 Vandalism

- Locks deliberately opened to drain canal
- Safety fencing broken off and thrown into canal
- Barge and jetty set alight



There are also reports of boat windows being smashed, food stolen, break-ins in less secure boats, ropes being cut at moorings etc. but the boating fraternity say that these issues are rare and the stories much exaggerated. Fear of crime is cited as the problem rather than actual crime.

## 4.5 Aesthetics

Reported views of visitors on our local canal approaches to town:

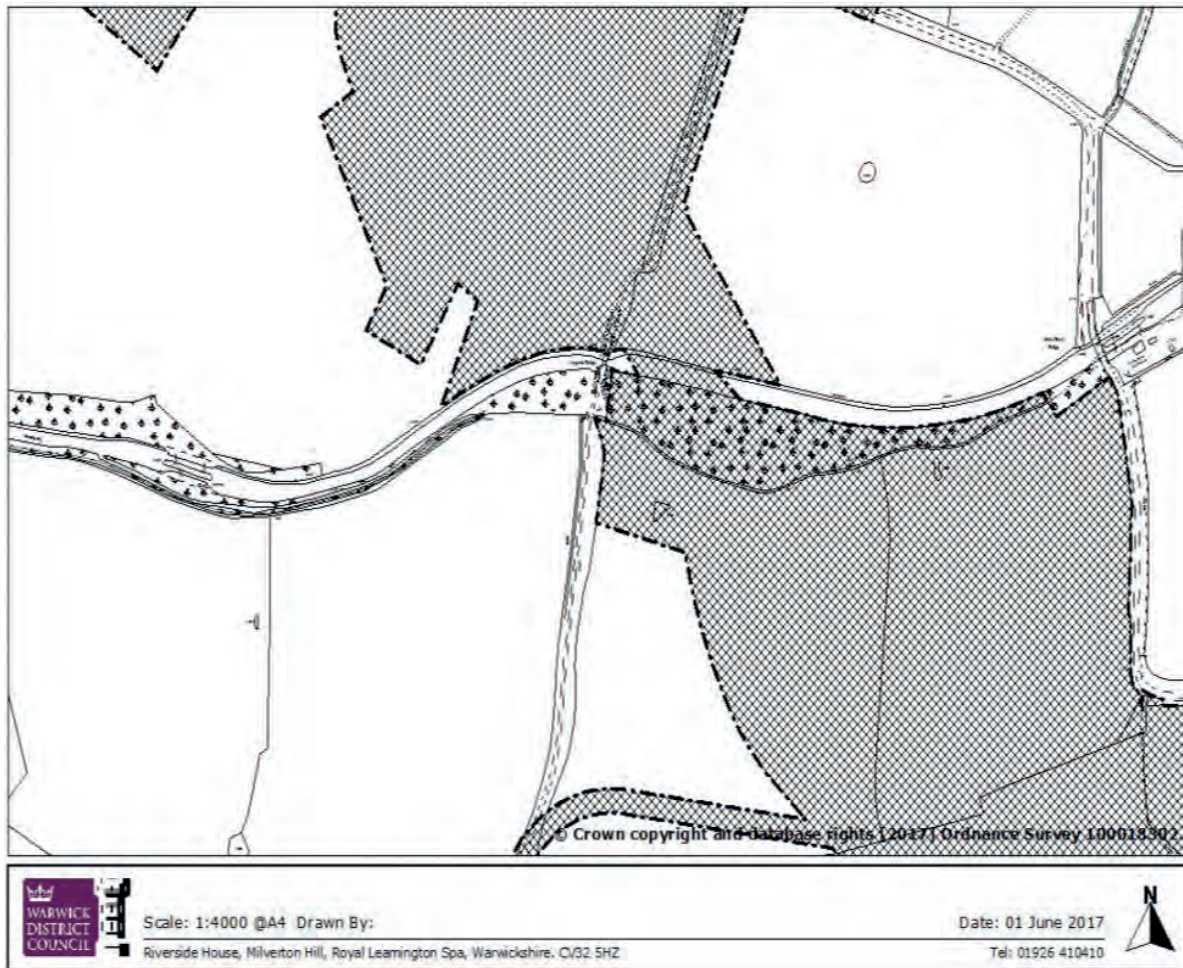
"The canal cuts around the hillside with the Leam below. The path widens, passing a winding hole and then across a steel grill with water cascading into the river. There's now a row of moored boats and as you pass rubbish dumped at the busy bridge 35 and then an industrial estate, the smart money is on Leamington not being too far distant.

The canal becomes increasingly unkempt, houses appear and dog faeces need to be avoided before getting to The Fusilier at bridge 37. There are pleasant terraces on the right but when the trees on the other side disappear you realise that the newly visible factories are not going to win any architectural prizes. Leamington is the first large urban area the Grand Union passes through since Milton Keynes. They are very different. Whereas Milton Keynes is all about new clean industries logically laid out on business parks, Leamington's industry is on the greasy side, a sausage sandwich with fried onions compared to MK's Sweet Chilli Prawn Salad Wrap." (Grand Union canal walk.co.uk)

"as we entered Royal Leamington Spa prior to crossing the River Avon. I think it would be fair to say that the town does not show its best face to boats coming from the east. A rundown industrial zone is never very attractive – even if the factory is producing Rangemaster cookers." (Racundra)



Approaching Leamington Spa with Rangemaster on left



Canal and HS2 coincide to the east of Leamington (WDC) with a viaduct taking trains over the waterway

#### 4.6 HS2

It is yet to be seen what sort of impact HS2 and the associated works will have on the canal. It is thankfully a very small section of the canal, on the edge of the district that will be directly affected, but is also in a rural setting where the incursion of a 21st century high speed railway will inevitably impact on the peace and serenity of this stretch of the waterway.



Artist's impression (Knight Architects)

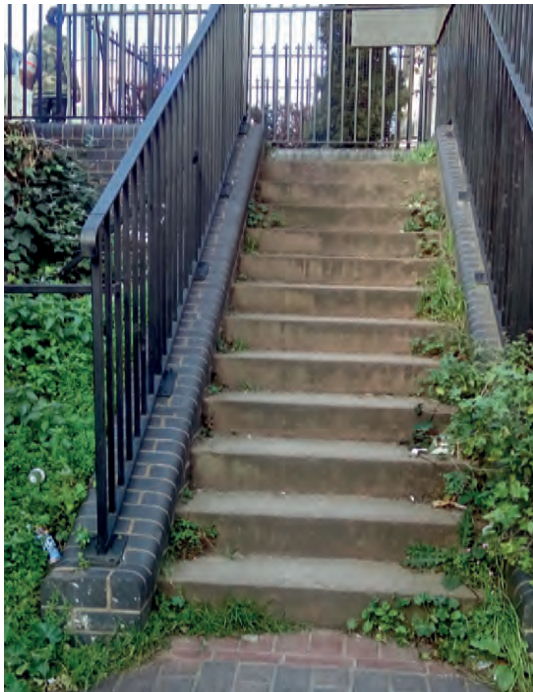
#### 4.7 Vacant/under-used buildings/sites

There may be vacant or underused buildings and land along the canal which, partly, because of their location away from major roads or contamination from previous users, are less attractive to would be investors. These need to be fully utilised and maintained. This may involve thinking of new uses which may be less mainstream, so thinking outside the box, including appropriate temporary uses where a permanent use is not immediately found. There are some obvious choices for new uses if the building is suitable; homes, offices, canal related uses, but there is also the potential for more imaginative uses; retail, restaurants and cafés, galleries and other leisure uses. Importantly, the need for additional purpose built student accommodation (PBSA) is putting considerable pressure on those vacant and underused sites alongside the canal. Whether this is a desirable continued use of such sites and whether it is concentrating students into an area already well provided for and causing some issues locally for existing residents, needs to be assessed. The need for additional student accommodation of this type to meet the growing numbers of students attending the University of Warwick is recognised but needs to be adequately managed. Whilst encouraging and supporting the university in its provision of on-campus accommodation, there is also a need for the provision of additional accommodation beyond the confines of the campus for those students in their second and third year of study, in order to return many of the currently occupied 'houses in multiple occupation' (HMO's) to the family rental market and reduce the number of students living this way: PBSA is the preferred solution. The Council will be producing a PBSA DPD to deal specifically with this issue.

#### 4.8 Access



Wheelchair access direct from boat to bus (Accessible Boating)



Poor access Leamington Spa



Improved access at Gas Street Basin (Wikipedia)

The Canal and River Trust quotes a number of comments it has received about the local canal and access issues:

'Weak cultural connections with the canal for certain economic, social, age and ethnic groups, Cultural diversity needs to make everyone feel the canals are for them.'

'Greater use of towpath by affluent A/B socio economic households. People / communities with different socio-economic and ethnic backgrounds do not view the canal as their local asset. e.g. Leamington.'

'Lack of interpretation & welcoming information, for example at Leamington and at Lapworth, there is a lack of signage and smartphone application information.'

#### 4.9 Flooding

Canals can and do flood from time to time, although it is less common than flooding by rivers, because there is some control over water levels on canals. Features like dams and locks enable users to reduce the risk of flooding by moving water from one part of the canal to another where there is less risk, meaning that canals are less likely to flood than natural waterways.



Great Western Canal, Devon, broke its banks in November 2012 (The Sun)



The Grand Union Canal floods onto towpath and fields near Towcester, November 2012



The Elland, Calder and Hebble Canal flooded in January 2016 (Canal Boat)

**4.10** When there is a threat of a canal flooding, the Canal and River Trust removes excess water in a number of ways:

- ensures weirs which send water out of the canal are not blocked
- turns down the amount of water entering the canal in the flooded area
- removes water from the canal as quickly as possible, using large valves (sluices)
- if a canal has high water levels, it may be possible to move water through locks, down to unaffected locations

**4.11 Water Abstraction**

Canals provide a source of water supply, particularly to industry, agriculture and in times of drought. In order to preserve sufficient water levels in canals for navigation, fishing and wildlife, licences are required for abstraction. This allows the Environment Agency and Canal and River Trust, to monitor levels of abstraction and review licences in times of navigational drought.

**4.12 Residential Moorings**

The only permanent residential moorings that the Council are aware of are at Saltisford Arm where 7 moorings exist. Here, visitor, winter and short term moorings are also provided. Any new proposals for permanent residential moorings would be required to conform to the policies of the Canal and River Trust as outlined on the Trust website <https://canalrivertrust.org.uk/enjoy-the-waterways/boating/moorings/waterside-mooring> and the relevant permissions obtained. The council has not proposed this use as it is not within its control directly. The council may support applications for this use where there is a demonstrated need and in a suitable and sustainable location.

#### 4.13 Marinas

The council has not proposed any marinas on the canal network in the district. There are few suitable, sustainable and available locations for the development of a marina, although there is a need throughout the network for boat moorings and associated services. In the past, the Montague Road area has been considered the most suitable location, being located near to the towns of both Warwick and Leamington Spa where there are community facilities and good shops and services. With specialist boat builders and suppliers already located in this area, it would be the logical area of search. The Canal and River Trust deals with all aspects of marina development on its website <https://canalrivertrust.org.uk/business-and-trade/inland-marina-development-guide> Proposals must accord with the conditions set out by the Trust and with policies within the Warwick District Local Plan and this document.

All proposals to provide such a facility will be judged on their merits, but a sequential test will be imposed and a town centre first approach adopted to ensure that the most sustainable location is found.

#### 4.14 Future Pressures

The Canal and River Trust, in its document 'Putting the Water into Waterways, Water Resources Strategy, 2015 – 2020 lists the pressures that it sees will affect canals and therefore its work into the future. The foreseen pressures listed are:

- Climate change
- Increased boating
- Reduced funding causing asset deterioration that impacts on water resources
- Environmental legislation reducing water availability
- Water transfers (strategic transfers, primarily in response to drought)
- Water rights trading (which will be modified through the Abstraction Reform process)
- Water sales (selling surplus water from the network)
- Expanding the network (new or restored waterways)

The strategy sets out objectives to address these issues. Proposals that may have an effect on any of these issues, should be tested against the criteria listed in the document.

## SECTION 5

# Options

## Identifying the Potential

- 5.1** The Local Plan (2011–2029) has already identified some potential areas for additional residential development alongside the canal in urban areas, i.e. within the Leamington Spa and Warwick stretches of the Grand Union canal. There is already some purpose built student accommodation (PBSA) being constructed which can help to reuse the more neglected canalside sites, but will also provide much needed surveillance over that part of the system. Problems have arisen in the past with regard to security and crime or perception of crime, in areas within the urban area, that are not overlooked or within the 'ownership' of the local community and therefore considered 'no go' areas.
- 5.2** There are additionally some areas along the canalside which would benefit from a facelift or other environmental improvements. This could be achieved at the same time as new development takes place and planning conditions on an approved scheme would ensure that this happens. Financial support may be available from either CIL or Section 106 contributions where appropriate.
- 5.3** In rural areas, problems may be less apparent, but there are environmental issues arising from the use of the canal and land around it and social issues such as access to the canal and the activities associated with it, or remoteness of the canals from facilities and people.



The canal at Lowsonford



The canal through Leamington

### **5.4 Opportunity Sites**

Those identified in the Local Plan:

The Local Plan identified three potential sites that could be considered as opportunity sites as they are employment sites that are no longer entirely fit for purpose.

"These industrial estates arose to accommodate small scale local manufacturing and are characterised by building stock which no longer reflects the requirements of many businesses.

- 5.5** Decline in manufacturing and the fact that modern manufacturing processes have resulted in the need for smaller footprint buildings means levels of vacancy on these sites will increase over time.

- 5.6** In addition these industrial estates do not have easy access to the strategic road network and being located within or adjacent to residential areas do not offer the most suitable environment for certain employment uses."
- 5.7** As these areas are located adjacent to the Canal, they are expected to be brought forward through the Canalside Regeneration Area DPD (Local Plan policy DS17).
- Sydenham Industrial Estate
  - Cape Road/Millers Road
  - Montague Road
- 5.8** In 2013, the council published its Employment Land Review Update, carried out on behalf of the council, by GL Hearn. The review assessed these three areas as follows:

**Sydenham Industrial Estate:**

- 5.9** One of the largest industrial areas in the District to the south east of Royal Leamington Spa town centre, the area is bound by the railway line to the south and west, the Grand Union Canal to the north, and Sydenham Drive to the east. The estate comprises mainly medium/ large industrial units dating from the 1960's, 1970's and 1980's. The estate appears tired and has a high level of vacancies, most notably the northern half of the estate. Residential areas adjoin to the north and east. It is considered that there is potential for rationalisation and consolidation of the estate and redevelopment of the northern half of the estate for residential led development.

**Cape Road/Millers Road:**

- 5.10** A large mixed industrial area located between the Grand Union Canal and Millers Road to the north west of Warwick town centre, the area comprises a range of industrial uses and premises, which vary in age and quality. The north west part of the area has now largely been redeveloped for residential use. There are significant vacancies in the western half of the area and the quality of the buildings is poorer than the eastern half which has better quality, smaller premises. It is considered that there is potential for rationalisation and consolidation of the western area with release of land for alternative uses.

**Montague Road:**

- 5.11** Located to the north of Warwick town centre beside the Grand Union Canal, the highway access is very constrained and there are residential areas adjoining. Montague Road comprises several larger areas, a number of which are either vacant or appear to be coming to the end of their economic life. Redevelopment of this site for alternative uses may be appropriate.
- 5.12** In conclusion, the review recommended that:
- A selected number of sites have employment suitability issues and future redevelopment for alternative uses may be appropriate. A managed release of employment land at these locations would be appropriate. They comprise:
- Rationalisation of employment land at Sydenham Industrial Estate, Leamington Spa, with potential redevelopment of 8 hectares on the northern part of the estate;
  - Rationalisation of employment land in the western part of the Cape/ Millers Road Industrial Estate in Warwick with potential for redevelopment of 4.5 hectares of land;
  - Redevelopment of the Montague Road and Nelsons Lane employment areas in Warwick, the latter offering longer-term redevelopment potential.

## Recent Developments on the Local Plan sites:

### Sydenham Industrial Estate:

- 5.13** Part of the site was assessed and deemed unsuitable for further employment use as part of the Local Plan process. Subsequent planning applications (15/0634, 15/1361, 16/1118) were approved for residential development and the houses have now been constructed.

### Cape Road/Millers Road:

- 5.14** In 2013, a very small part of St George's Business Park, on the western side of the site, was granted planning permission for a total of 9 houses. These have subsequently been built in a small cul-de-sac, High Bank, in two rows of terraced houses. This will put pressure on the other units around them for residential use, although some of those units have been modernised in recent years.

### Montague Road and Nelsons Lane:

- 5.15** A planning application (W/19/0170) is currently being assessed for the use of the former Ridgeway School and adjacent county council depot, for the construction of 148 dwellings with associated open space, landscaping, internal roads, foot ways, cycle ways and retained access for ambulance station. This is the site that was allocated as a residential site in the Local Plan (H11). Development of this site would possibly put pressure for residential development on the adjoining area once built out. The employment site was considered to be a longer term prospect through the local plan assessment of potential sites.
- 5.16** In 2017, planning permission was refused at the former Tamlea building on Nelson Lane for the development of 47no. residential units to include houses and apartments chiefly on the grounds that elements of the proposed design were not considered to be appropriate for the canalside location. A subsequent application is currently under consideration.
- 5.17** In common with other local authority areas, Warwick district suffers issues with regard to its urban sections of canal in particular:
- Conflict arising from different users, e.g. pedestrians, cyclists, anglers, canoeists and other boat users usually on the busier sections of the canal.
  - Problems of littering, graffiti and damage to both the canal elements and the buildings

### Other Opportunity Sites

- 5.18** A series of other sites were also identified and considered in relation to reuse should they be or become available. The table at Appendix 1 lists them all and the results of the analysis for each.

## SECTION 6

# Policies

- 6.1** These issues can be addressed through good quality, well designed developments that have a positive relationship to the waterways, and encourage greater use of the towpath areas contributing to a more secure environment by increasing surveillance.
- 6.2** The policies in the adopted Local Plan will need to be taken into consideration when planning applications are prepared for any new development affecting the canalside and its immediate environs. Additional policies in this document have been prepared to strengthen and contribute to the protection and potential development of the canalside.
- 6.3** The canals, towpaths and adjoining land have a strong character, history and identity. Combined they create a 'sense of place'. New developments or redevelopments and conversions need to reflect and build upon this character. The following policies are intended to achieve this:

### Policy CS1

Proposals for development will address Policy BE1 Layout and Design, of the Warwick Local Plan (2011-2029) which directs the way that a sense of place can be achieved through adopting the same approach to the existing landscape, topography and townscape.

- Developments should be of an appropriate scale, height, form and massing, utilising appropriate materials and details
- Where appropriate, developments should integrate with existing paths, streets, circulation networks and patterns of activity.
- Developments should reflect, respect and reinforce local architectural and historical distinctiveness, particularly where sites fall within the canal conservation area.
- Development frontages should address the canal, allowing views and providing much needed surveillance, increasing security and reducing fear of crime. In residential developments this includes maintaining an open view of the canal from residential properties and gardens.
- The surrounding area should be taken into consideration when development is proposed including the canal corridor, towpath, landscaping and other local and natural features.
- New or improved safe access to the canal is essential and should be included wherever possible, including bridges and accesses to the canal from nearby roads. Access should however be designed to ensure that opportunities for crime are reduced
- Any development of the canal will also include the provision of a towpath which will be wide enough to accommodate pedestrians, cyclists and wheelchair users with the aim of creating a cycle/walking route alongside the canal or, where a towpath already exists, it is widened and/or improved where possible to allow access for all users, without compromising the natural environment
- The development does not have an adverse impact on water quality or increase the risk of flooding
- New residential development will be assessed against the principles outlined in the council's Residential Design Guide to ensure that a high standard is attained, making a positive contribution to the local environment

### Policy CS2

Parking will be provided in accordance with the Council's adopted Parking Standards depending on the type of development. The location and setting of the parking should be sympathetic to any environmental, historic or landscape features ensuring that canalside frontages do not present the view of a car park.

Secure, undercover cycle and motorcycle parking will also be provided located where there is adequate surveillance of access points from windows and access/egress points of buildings, at a rate in accordance with the parking standards for the proposed use(s)

- 6.4** It is important that the understanding of place and how that has developed and changed over time is acknowledged and preserved wherever possible. It may be that some of the historic context is no longer visible, but nonetheless, should be identified and recorded when new development is proposed.

### Policy CS3

An assessment of the archaeological status of the development site should be undertaken and a report submitted with planning applications for development. Reference should be made to the HERS information held by Warwickshire County Council to inform the basis for this assessment

- 6.5** The setting of the canal and the landscape that contributes to the canal as a calm, peaceful and contemplative green corridor must be preserved and wherever possible, enhanced. The green corridor is also important to wildlife, providing a safe route away from traffic and human intrusion. In order to maintain and enhance this, the following policy must be considered when a planning application for development is assessed.

### Policy CS4

Canals provide a wide range of habitats for wildlife and for biodiversity.

Developments should incorporate features that recognise, protect and enhance the biodiversity and environmental quality of the canal corridor, by retaining, maintaining, extending and improving upon the green aspects of the canal corridor. An Environmental Impact report will be required where development directly abuts the canal or towpath or is likely to impact on the setting or environmental credentials of the canal

A detailed arboricultural survey should be carried out to establish what should be preserved within development sites and the report submitted with planning applications for development

- 6.6** In response to climate change, it should be acknowledged that canals and rivers contribute to urban cooling and so reduce carbon dioxide emissions. Introducing more soft landscaping and trees in particular into the design of new developments, will not only result in a more visually appealing scheme, it will also contribute to combating climate change via the green and blue corridors.

### Policy CS5

Canals should be recognised as a potential renewable energy resource by

- utilising canal water for heating and cooling buildings and
- for onshore hydropower where practicable and,
- improving air quality

- 6.7** There have been a number of planning applications for developments of PBSA alongside the canal on urban sites where there are vacant, underused or outdated buildings and land. To ensure that PBSA is located on suitable sites and to reduce the concentration of such developments in one area, the council will produce a development plan document (DPD) dealing with this specific aspect of development throughout the district. Proposals for PBSA in close proximity to the canal should be considered in line with any emerging policy in that document or in compliance with any subsequently adopted policy brought forward through the adoption of the PBSA SPD. Linear development of PBSA along the canal will not be suitable.

### Policy CS6

Proposals for PBSA will be encouraged where the development is in accordance with policy HO6 of the adapted Local Plan and any relevant 'made' neighbourhood development plan or any subsequent review of such plans. The council will prepare a PBSA DPD which will replace policy H6 in due course.

- 6.8** Signage to the canals from the towns and other local centres is limited and uncoordinated. This is also true along the canal itself which isn't helpful to users. In order to address this issue;

### Policy CS7

New and improved directional and informational signage will be permitted where it is appropriately designed and suitably located and accords with the policies of the Local Plan and advice set out within the relevant published conservation area documents.

- 6.9** Other towns and cities have included art trails or encourage developers to include public art in their proposals.

### Policy CS8

The inclusion of public art in new schemes is encouraged where it makes a positive contribution to the local area

## Site specific policies

- 6.10** Sydenham Industrial Estate has already seen rationalisation and has been partially redeveloped along the canal and Sydenham Drive boundaries for new housing. Any future development therefore will be expected to complement the existing.

### Policy CS9

Any further redevelopment of Sydenham Industrial Estate for residential use will be expected to reflect and complement the existing houses and flats by;

- Reflecting and matching the existing designs, density, materials and layout
- Providing 100% low cost housing as a mix of affordable rented, private low cost and shared ownership units according to the current housing need in the area
- Providing an open aspect onto the canal to provide a soft transition between the canal and the development and good surveillance of and to the new dwellings
- Any existing public access to the canal is maintained and improved where possible and new public access is provided where there is an opportunity to do so
- The open space created immediately adjacent to the canal on the existing residential element on the site, is continued through any new development adjoining the canal

**6.11** The potential site at Millers Road/Cape Road, will only come forward when demand falls off for the industrial units. This is only likely to happen when they are no longer fit for purpose. As the whole of the estate is unlikely to come into this category at the same time, some rationalisation will be required before redevelopment takes place to avoid pepper-potting residential units amongst the industrial uses. This should then provide a suitable area which can be developed in a holistic way.

### Policy CS10

Development of part or all of the land currently in use as the industrial estate at Millers Road/Cape Road for residential use will be supported provided that:

- The whole estate is assessed and rationalised if industrial uses are to be retained to enable a logical development for residential use and to avoid sporadic development of individual units
- The residential development maintains an open access to the canal frontage by:
  - a) Providing a soft, open aspect onto the canal for any residential units immediately adjacent
  - b) Providing new public access in suitable locations
- Residential development provides at least the minimum percentage (40%) of affordable homes if not more
- New residential development takes into account the design of the existing residential properties to the west of the site and reflects the heritage of the canal and its character
- An area of green space is provided immediately adjacent to the canal to provide an area for biodiversity and wildlife habitat, including the planting of native trees and shrubs to be advised in a soft landscaping scheme submitted with a planning application

**6.12** The Montague Road site has already been subject of planning applications for residential development. There have been some issues highlighted with regard to air pollution in this area and there are ongoing talks to address these before an application can be determined.

### **Policy CS11**

The potential development of the former school site at Montague Road provides an opportunity to provide a pleasant outlook and green area facing the canal.

Any proposed development adjacent to the canal will provide a green space by way of a linear park from the Coventry Road Bridge alongside the canal

Easy access will be provided to the canal tow path from the Coventry Road bridge and at a point along the frontage of the development next to the canal

Residential development will provide surveillance of the canal by either:

- Locating residential units which front onto the canal and towpath and provide a view over the canal, or
- Providing a soft, open aspect to the canal where residential units turn their backs to the canal

Issues of air pollution and any other identified form of contamination are addressed and dealt with in a way that is acceptable to the Council's environmental health officer before a planning application is submitted and an environmental statement is included as part of the evidence base, accompanying the planning application.

## SECTION 7

**Is there any  
future for  
canals as  
freight  
corridors?**

- 7.1** Much of the use of canals for the transportation of freight has died out and certainly in the Midlands. This is largely due to the restrictions on size of boats able to negotiate the smaller canals prevalent here. Elsewhere in the country, it was the demise of industries that utilised the canals rather than the canals themselves that caused a drop in the use of canals for transporting goods and raw materials, particularly in the heavy industry sector.



Cargo on the Trent, the Aire & Calder Navigation and the Sheffield & South Yorkshire Navigation included coal, stone, oil, gravel and sand. But this traffic has disappeared (Photo: Canal and River Trust)

- 7.2** In 2014, the Canal and River Trust carried out a survey to ascertain whether carrying freight on the canals was still a viable practice and if it could be escalated to reduce freight movements by road and rail.
- 7.3** The report shows that in the Midlands, the smaller canals located here are no longer used for this purpose and are unlikely to be viable into the future without major investment in infrastructure and expansion of the existing system, moreover there appears to be little or no appetite for trying. Further north however, particularly in the north east of the country, this is still a possibility and dependent upon the level of interest shown by those businesses currently or potentially using canals for this use, it may increase in popularity again and provide an alternative to current freight logistics.
- 7.4** As this is not a potential future use for local canals, emphasis will be on the leisure, accessibility, biodiversity and well-being aspects of the canal system.

#### **Who is involved?**

- 7.5** Who can participate?

- There are a number of statutory consultees who have been invited to comment on the work that is being undertaken and contribute to the progress of this project
- There are a number of special interest groups, user groups and experts who have been invited to offer their views and advice. Specialist advice is always welcome
- There are other departments within the Council at both district and county level that have been involved and contribute
- Parish and Town Councils also have the opportunity to comment and take part
- Businesses both on and close to the canal and beyond are invited to participate in developing new ideas and uses
- Anyone can have a say, suggest ideas, offer solutions or point out omissions



# Appendices

## APPENDIX 1

# Table of Opportunity Sites Analysis

NO. OF SITE	ADDRESS	DESCRIPTION	CURRENT USE/PLANNING HISTORY	POTENTIAL
A	North of Warwick Parkway Station	Gog Brook passes east to west through the site. Located between Warwick Parkway station and the canal car park at Hatton Bottom Lock. Land is wholly within the area granted pp in 1997 for the construction of the station and all associated parking and facilities. Residential pp refused in 1980 on 2.8ac.	Station car park/land owned by WCC	Would be difficult to reconcile any development here as it is still within the green belt. The works associated with the transport interchange were considered 'appropriate development'.
B	WCC site adjacent A46	Part of a complex of buildings and storage spaces owned and used by WCC. Some are used as offices, others are used to store highways equipment and as salt stores etc. Previously developed land in the green belt.	Highway depot and head office Fire Safety HQ Trading Standards HQ	Unavailable unless WCC wishes to vacate and sell. May have some long term potential as Green Belt 'infilling' or 'partial or complete redevelopment of a brownfield site' (para 89 NPPF). However highway sensitivities may preclude this.
C	Units off Budbrooke Road	Charles Court – offices for sale; Old Budbrooke Road – pair of adjoining industrial units for sale	Industrial units	Units appear viable and in good order. There are actually some recent builds here and the whole site has been given an update recently. No immediate potential. Well placed for the road network for businesses. Proposed junction improvements at Stanks roundabout and toward Warwick should assist access in future
D	Opposite Spring Cottage, Birmingham Road and Spring Cottage, Birmingham Road	Previous scrapyards (land contamination issues) and unused space with a couple of derelict cottages	Currently for sale with outline pp (2015) for up to 5 dwellings at an asking price of 650k	None beyond what is already proposed/has permission to develop
E	Saltisford Common Bridge	Saltisford Trust run businesses and events from adjacent land	Previous planning application for use of canal arm for boat sales, chandlery, private and public moorings and facilities for canal traffic was refused in 1978 2001 reserved matters application for residential development refused. This part of the larger residential pp was deleted before reserved matters approved	Valuable community/recreational resource – unlikely to become available

NO. OF SITE	ADDRESS	DESCRIPTION	CURRENT USE/PLANNING HISTORY	POTENTIAL
F	North end of Saltisford Common	Allotments (0.344ha)	Open land	Unless these are underused or abandoned (which they currently are not), they are unlikely to be supported for development. There is a shortage of allotment space in the district overall. It would be difficult to make a case for developing on them.
G	Unit off Harris Road (Wedgnock Industrial Estate)	Unit 1 currently to let (marketed)	Large industrial unit of 29020 sq ft (2696 sq m) with offices	Condition is good and therefore unlikely to remain vacant and no reason to believe it is likely to be suitable for other development in the short term at least. Local Plan Policy EC3 protects employment land and buildings
H	Wedgnock Park Bridge	Small area of land cut off from road access	None	Landlocked / inaccessible
I	Land rear of units on Ladbrooke Park (Millers Road)	Typical industrial estate layout close to main road network	Open land	A mixture of units in term of age and size, but nonetheless popular and occupied. These units are meeting a need for a variety of employment units
J	Coventry Road Bridge	Part of larger site allocated for residential in the Local Plan	Planning application (W/19/0170) received for Montague Road allocated site for the demolition of existing buildings and construction of 148 dwellings with associated open space, landscaping, internal roads, foot ways, cycle ways and retained access for ambulance station	Housing allocation in the Local Plan H11 Montague Road for 140 dwellings
K	Unit on Nelson Lane with landing stages to rear	Immediately adjacent to the canal with nearby landing stages ideally located for moorings associated with the existing business.	Industrial unit  Adjacent vacant site is subject of planning application W/19/0067 for the redevelopment of the former Tamlea Building for residential purposes, (including the demolition of all existing buildings) and creation of associated access, parking, landscaping and associated infrastructure, to provide 31 residential units	This area is occupied by Kate Boats and the wider area by other small business uses. There doesn't appear to be any current potential. The current planning application for residential use could put pressure on any future vacant sites for residential use however

NO. OF SITE	ADDRESS	DESCRIPTION	CURRENT USE/PLANNING HISTORY	POTENTIAL
L	Warehouse, Nelson Lane	Older building but occupied long term and no indication that the site may become vacant in the short term	Industrial unit fully occupied	Protected by Local Plan policy EC3
M	Adjacent Charles Street Bridge/ Wharf Street	An older set of buildings in the occupation of one company which has been there for a long time. While not attractive, it is fulfilling a purpose	Industrial units fully occupied	If the site were to become vacant, it could be considered for residential use, but is currently protected by Local Plan policy EC3
N	East of All Saints Road bridge, Emscote Road	Small site next to the road bridge over the canal near to Tesco supermarket		Car rental / sales – may become available in the long term but access would be an issue – would have to be onto All Saints Road
O	Lidl, Myton Road	Small retail unit with parking and access onto Myton Road	Supermarket, previously garden centre/nursery	Lidl is hoping to develop a new retail unit on Emscote Road without plans to close this unit. If this site were to become available however, it could be suitable for residential use or even a PBSA development
P	North west of Europa Way roundabout	A tiny piece of land left over from development of the roundabout on Europa Way	Open land/scrub	Too small to be of any use and in noisy location for non-commercial uses with access issues onto the existing roundabout. Not suitable for development
Q	Shrublands Recreation Ground north of Queensway	WDC recreation ground	Recreation ground	Protected by LP policy HS2
R	Land between canal and properties fronting Bury Road	Appears to be just wider areas of open land adj. to canal and towpath	Open land	No development potential, in fact these are the sorts of areas we should be trying to protect as wildlife corridors and more natural landscape areas. Landlocked and a narrow steep embankment

NO. OF SITE	ADDRESS	DESCRIPTION	CURRENT USE/PLANNING HISTORY	POTENTIAL
S	Rangemaster, Ranelagh Street	Existing industrial unit which has been, from time to time, rumoured to be moving location, but has never put forward any serious proposals. The unit has a façade to the canal and is surrounded on all three remaining sides by residential properties. The building presents an unwelcoming expanse of wall to the canal and is the target of much graffiti. Frequently commented upon negatively by visitors using the canal and local residents alike.	Industrial unit	As it seems unlikely that the current user will relocate, at least in the foreseeable future, the building and in particular the canal frontage, needs to be subject of some intensive improvements to enhance the environment along this stretch of the canal. Potential for residential as already surrounded by houses, but in the long term. Local Plan policy EC3 currently applies.
T	Althorpe Industrial Estate	Application (W/18/1476) withdrawn for part of the site for PBSA with some employment uses at ground level in some of the blocks but another submitted for similar mixed use scheme (application W/19/0505) yet to be determined. Althorpe St is part of the Creative Quarter and mixed use development promoted by that designation	Industrial units	There is potential here as demonstrated by designation as part of the creative quarter and as outlined in the LP for mixed use development, however this needs to take account of existing employment uses, proximity to existing PBSA and the canal
U	1-13 Neilston Street	Eight units for sale/let. Known as Victoria Business Centre	Industrial/warehouse units	Small industrial units (around 700sq ft) used mostly for automotive services etc. set into railway arches. Look well used and popular, although seem to have a high turnover given current marketing levels. Any redevelopment would be exceedingly limited and would require imagination and investment. A shortage of these types of unit generally means that they are unlikely to become available
V	Berrington Road, Sydenham	Part of Sydenham Industrial Estate 10 Berrington Road is for sale/let (unit of 5,510 sq ft (512.08 sq m); Unit B for sale/let (unit of 19,281 sq ft industrial / warehouse unit including 5451 sq ft of office space)	Industrial units	Commercial property here is being sold/let and with a smaller supply now that part of the land has been redeveloped for housing, it is likely that this will continue to be the case

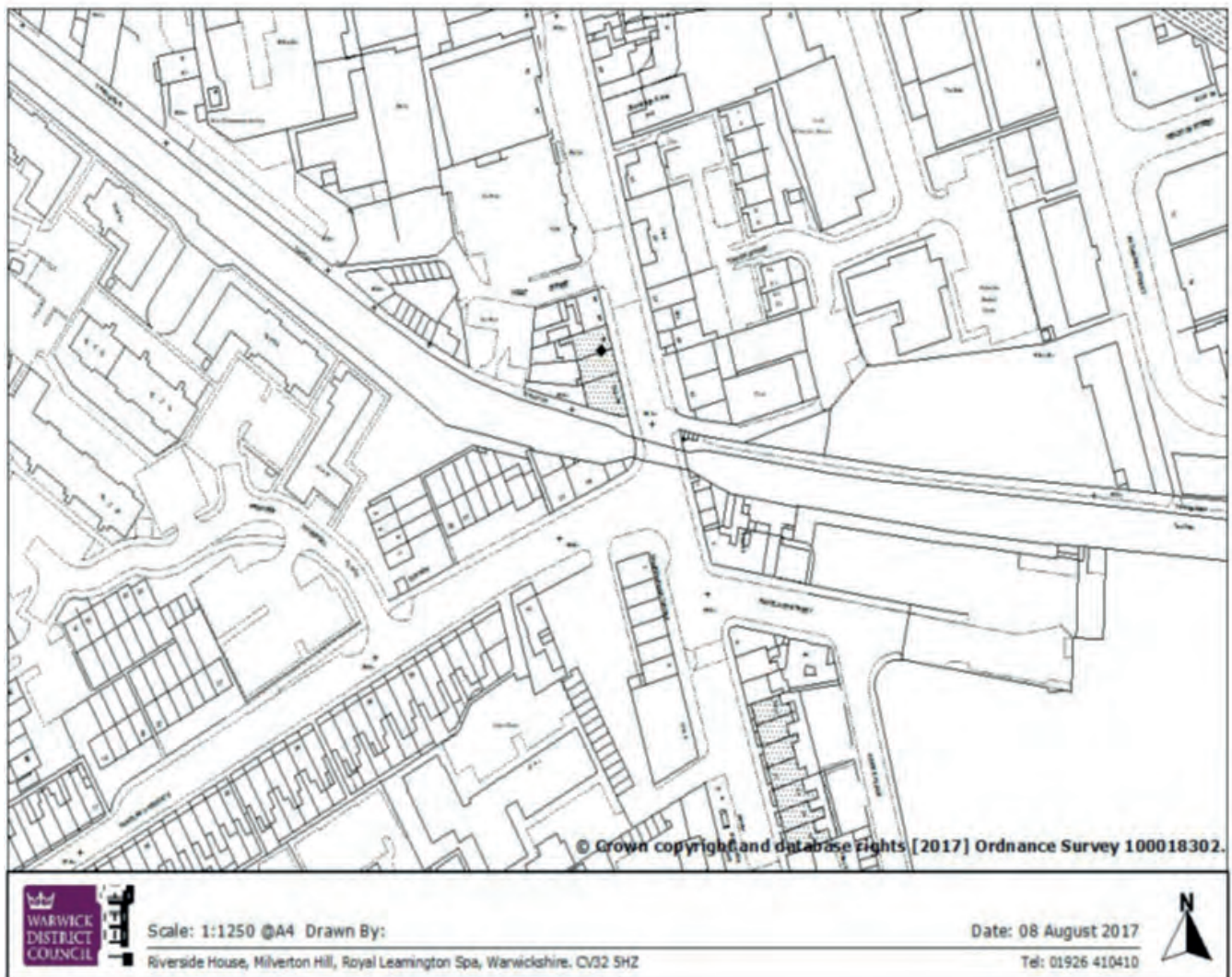
NO. OF SITE	ADDRESS	DESCRIPTION	CURRENT USE/PLANNING HISTORY	POTENTIAL
W	Playground, Rushmore Street	Playground with equipment for young and older children. Rated quite highly in the Value Assessment carried out on behalf of WDC by Playdell Smithyman in 2008 for the Warwick Parks & Open Spaces Audit, with a 40.35% quality rating	Playground	None unless playground becomes non-viable in the future. Currently a valuable local resource protected by LP policy HS2
X	Units between St Mary's Road and Clapham Street	Industrial estate fronting the road in mixed use area	Industrial units	Part of Sydenham Industrial Est – potential under DS8 but with the remaining units being currently occupied and popular, it seems unlikely in the short term
Y	Employment uses, north of St Mary's Road, west of Ramsey Road	Continuation of Sydenham Industrial estate	Industrial units	Part of Sydenham Industrial Est – potential under Local Plan policy DS8 as above
Z	Land at the end of Gulliman's Way	Open land but on flood zone 3 and 3a, as are a few of the houses! Tributary of R Leam runs between houses and this land with a weir toward the southern end	Open land	In flood zone 3 and 3a which makes the land unsuitable for development

## APPENDIX 2

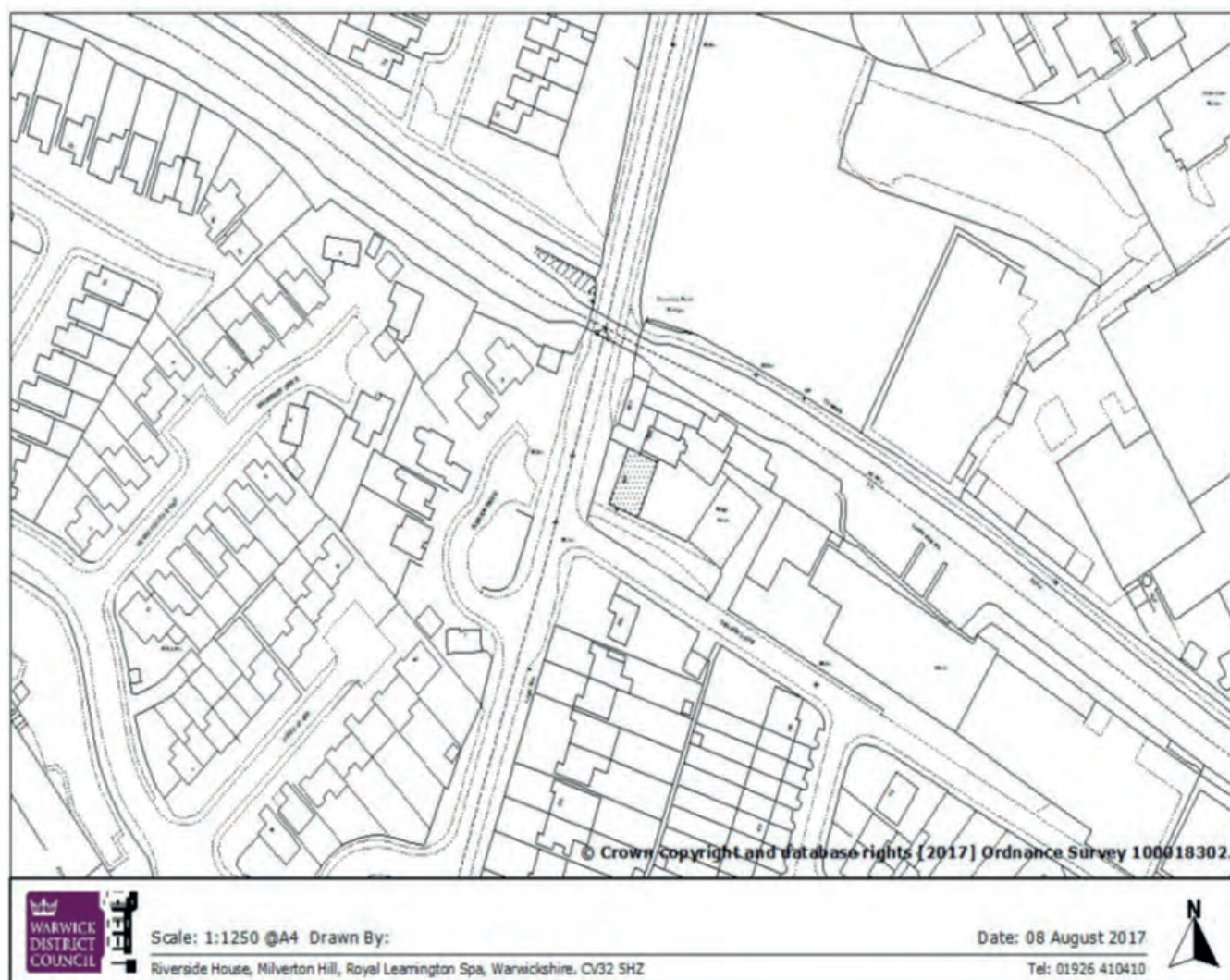
# Canalside Listed Buildings

## Grand Union Canal

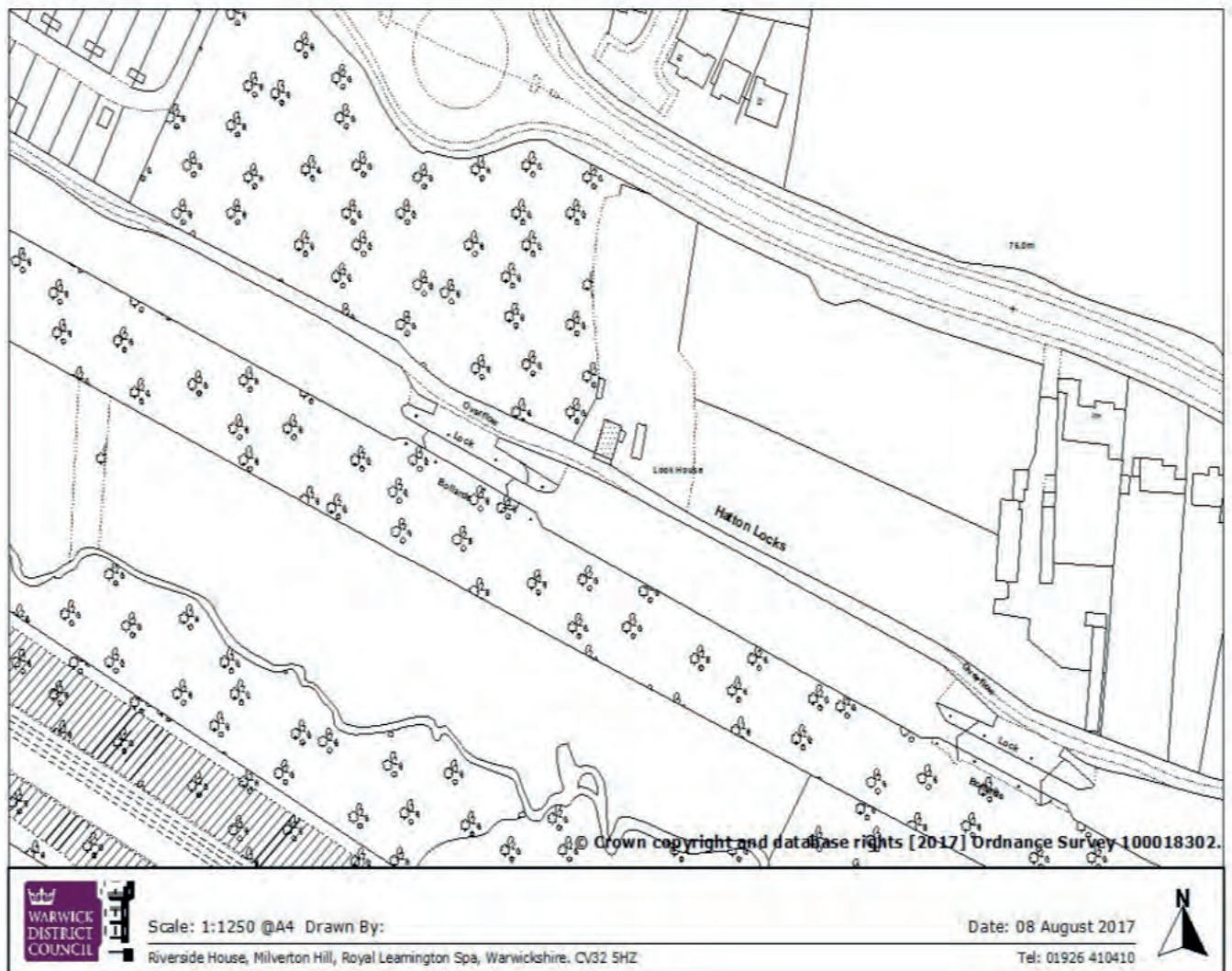
Clemens Street, Leamington Spa



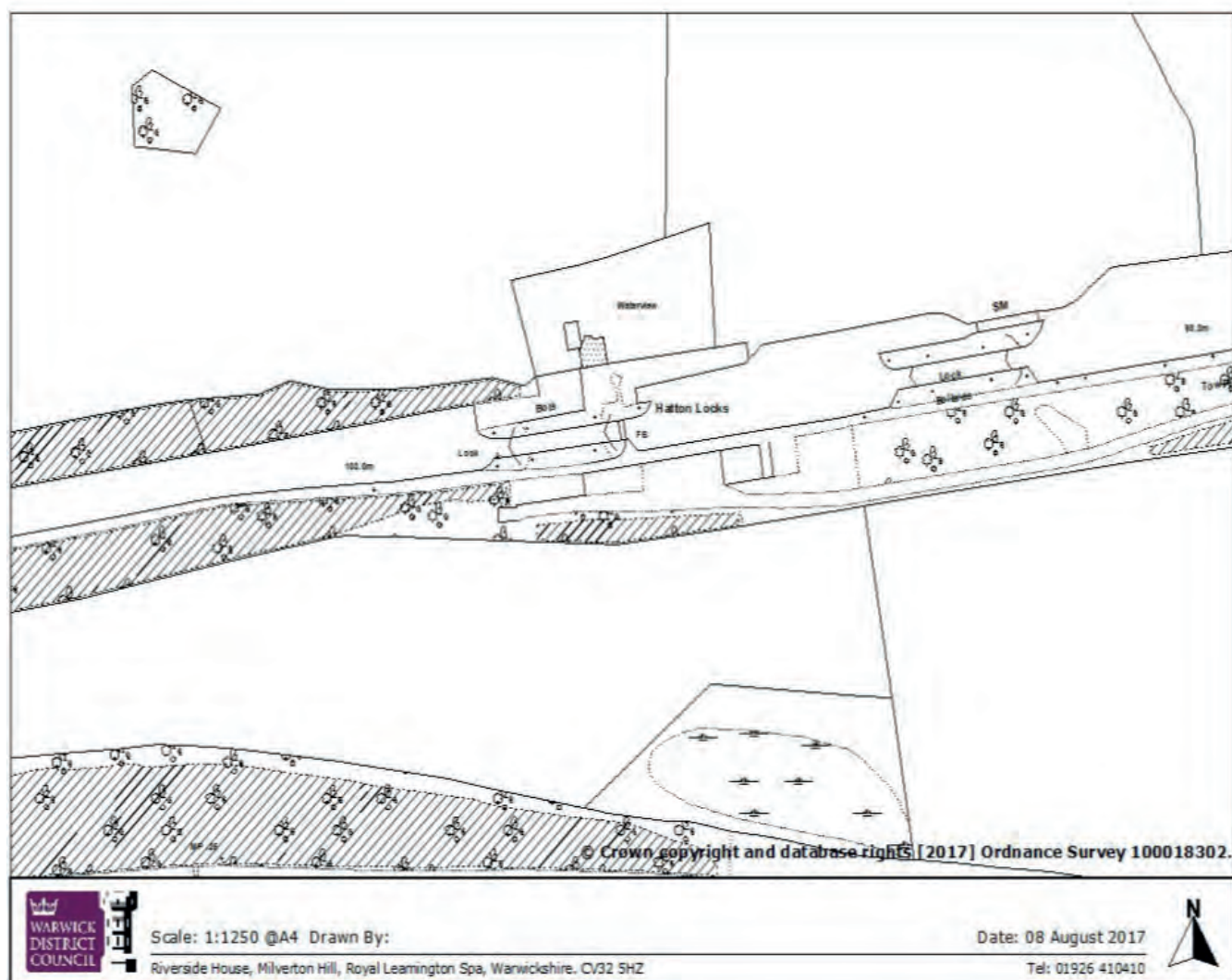
Bridge House, Coventry Road, Warwick



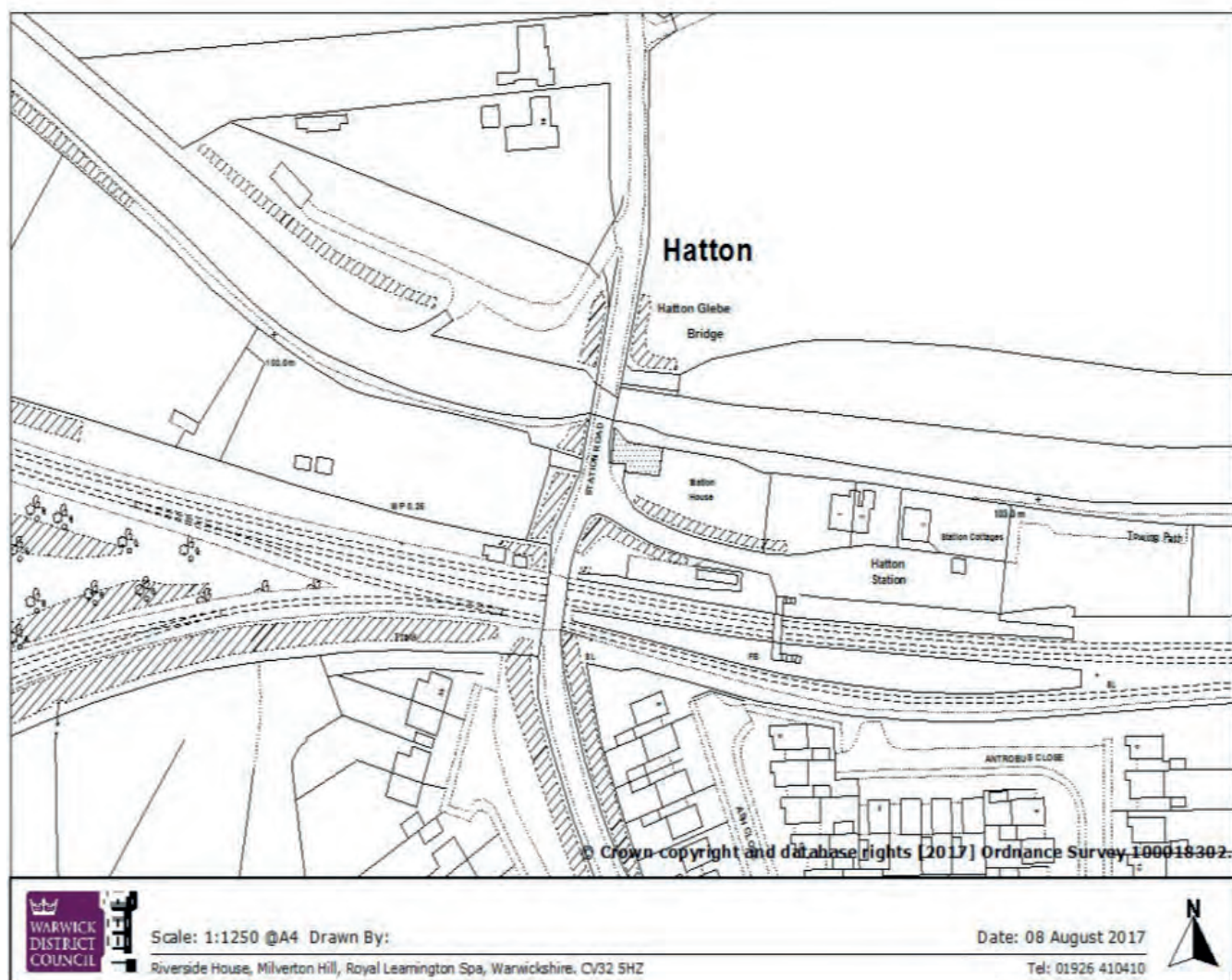
## Lock House, Hatton Locks



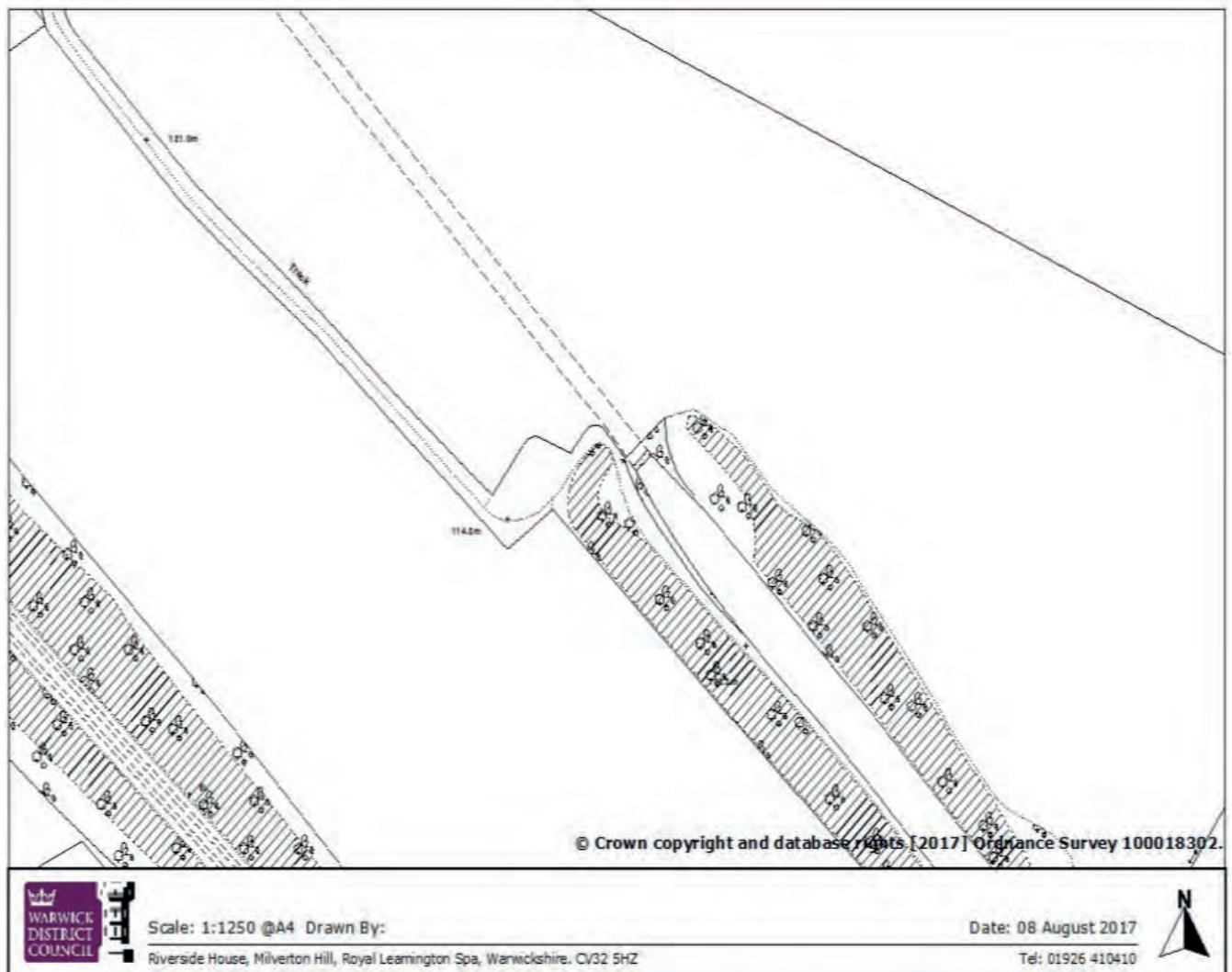
## Water View at Hatton Locks



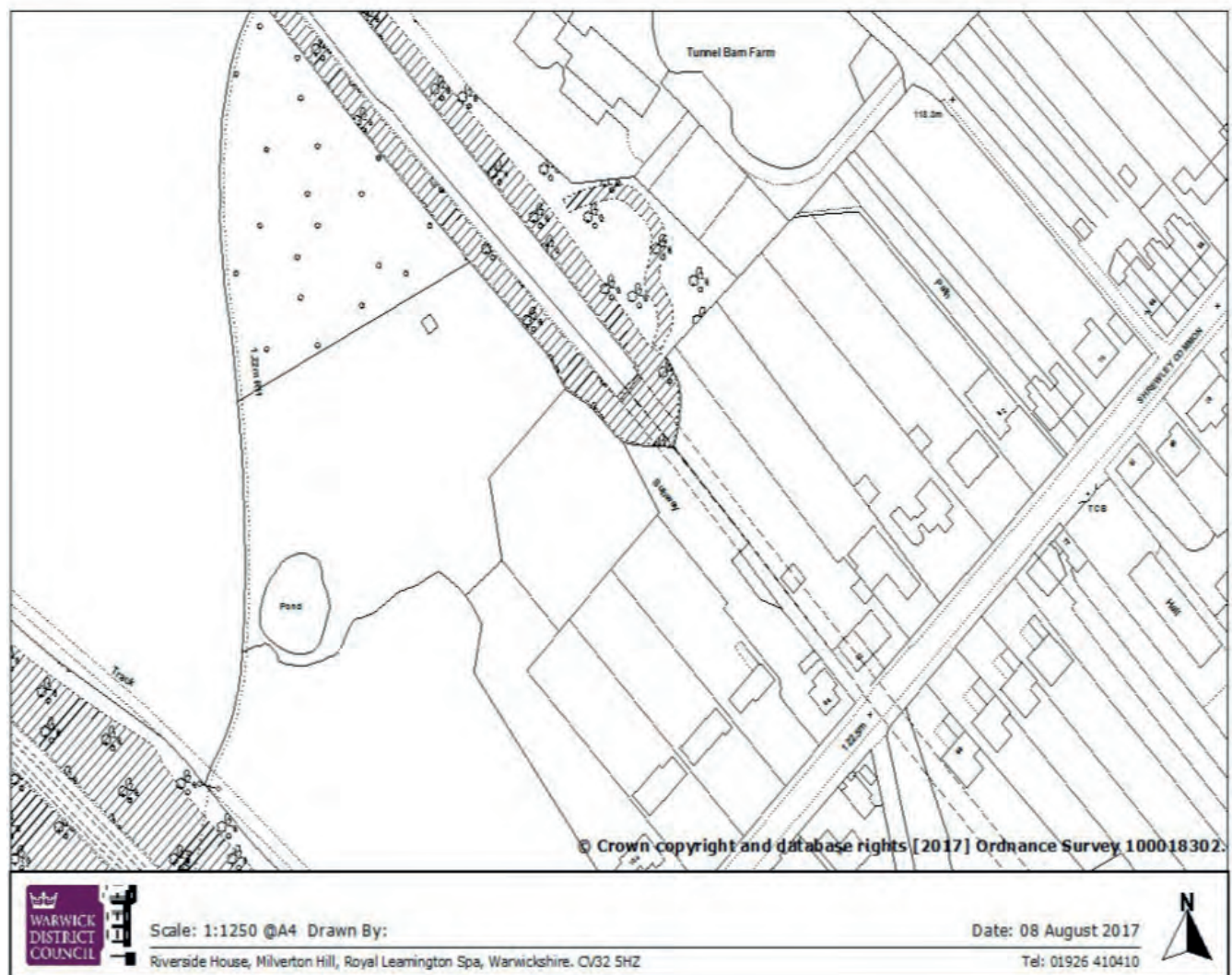
# Station House, Hatton Junction, Shrewley



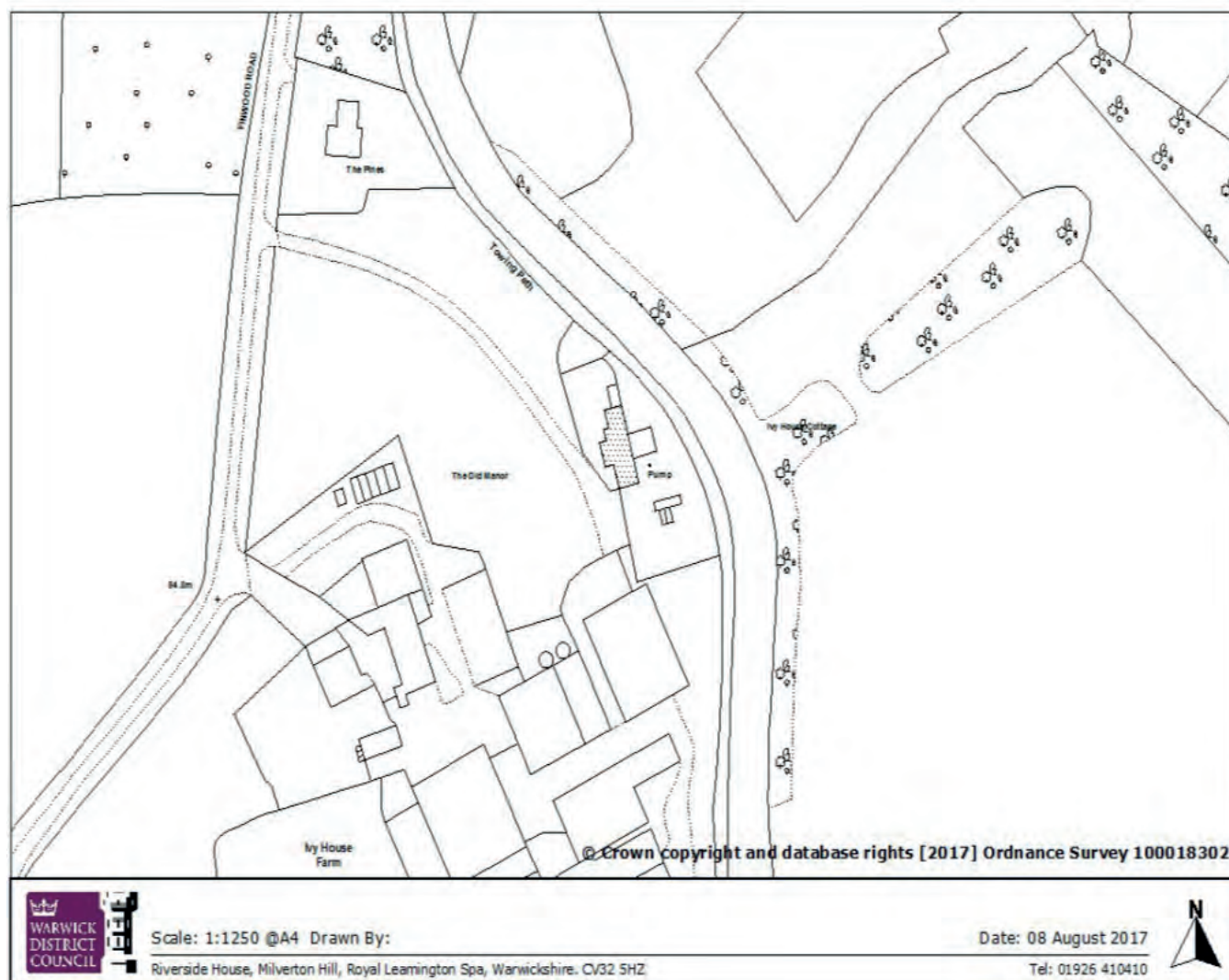
## Shrewley Tunnel, south portal



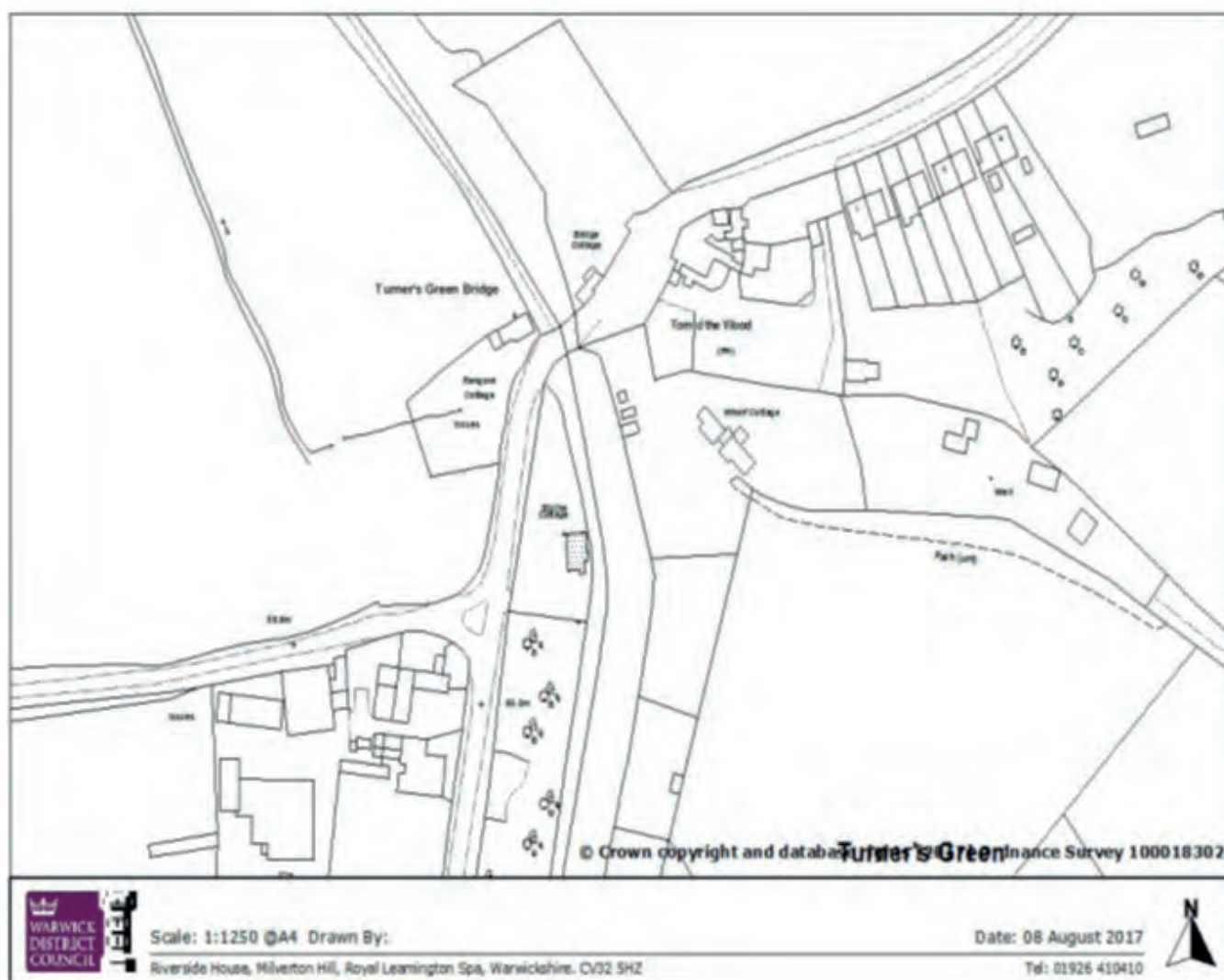
## Shrewley Tunnel, north portal



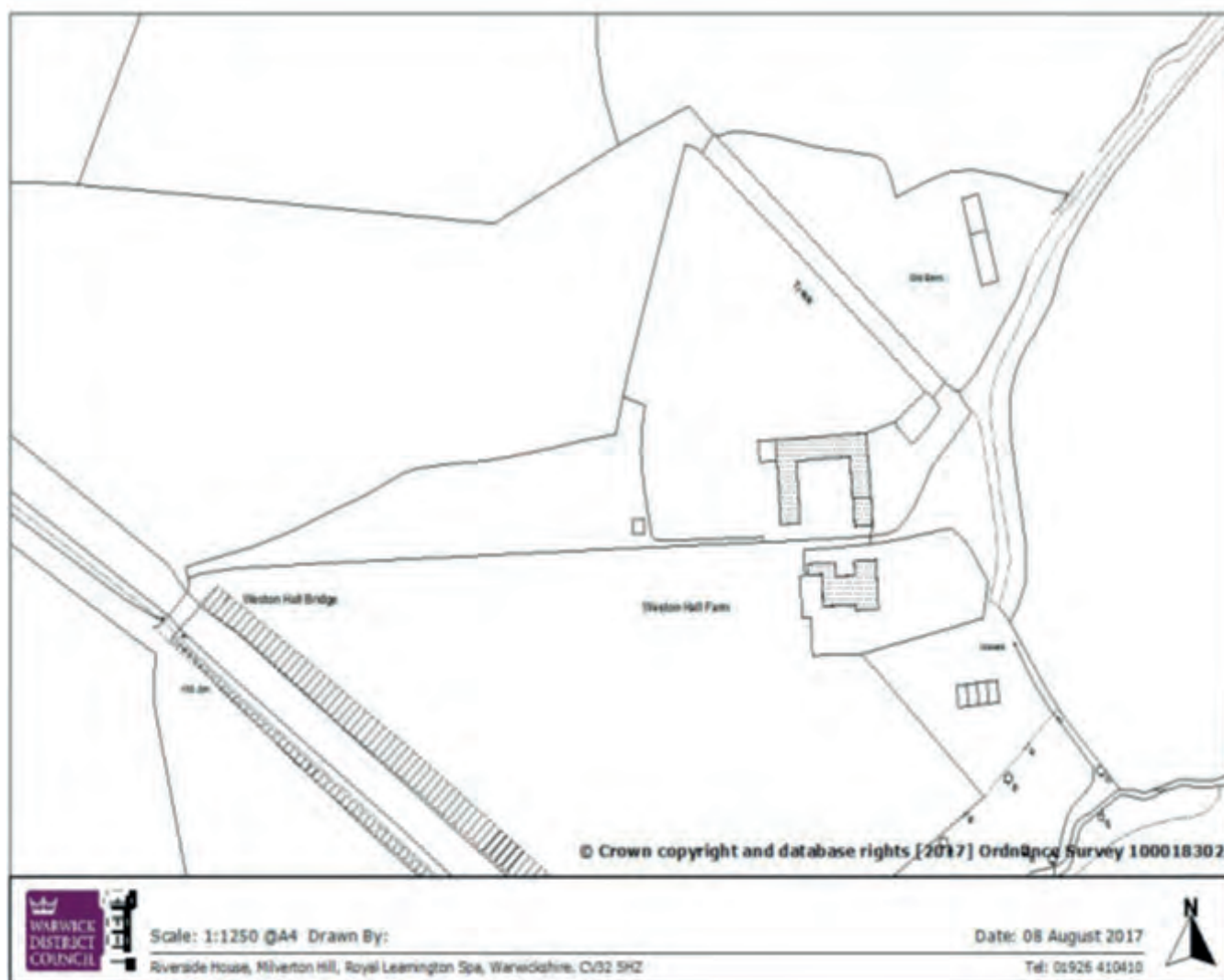
# Manor Cottages, Turner's Green



Shrewley Tunnel, north portal



## Western Hall Farm, Rowington



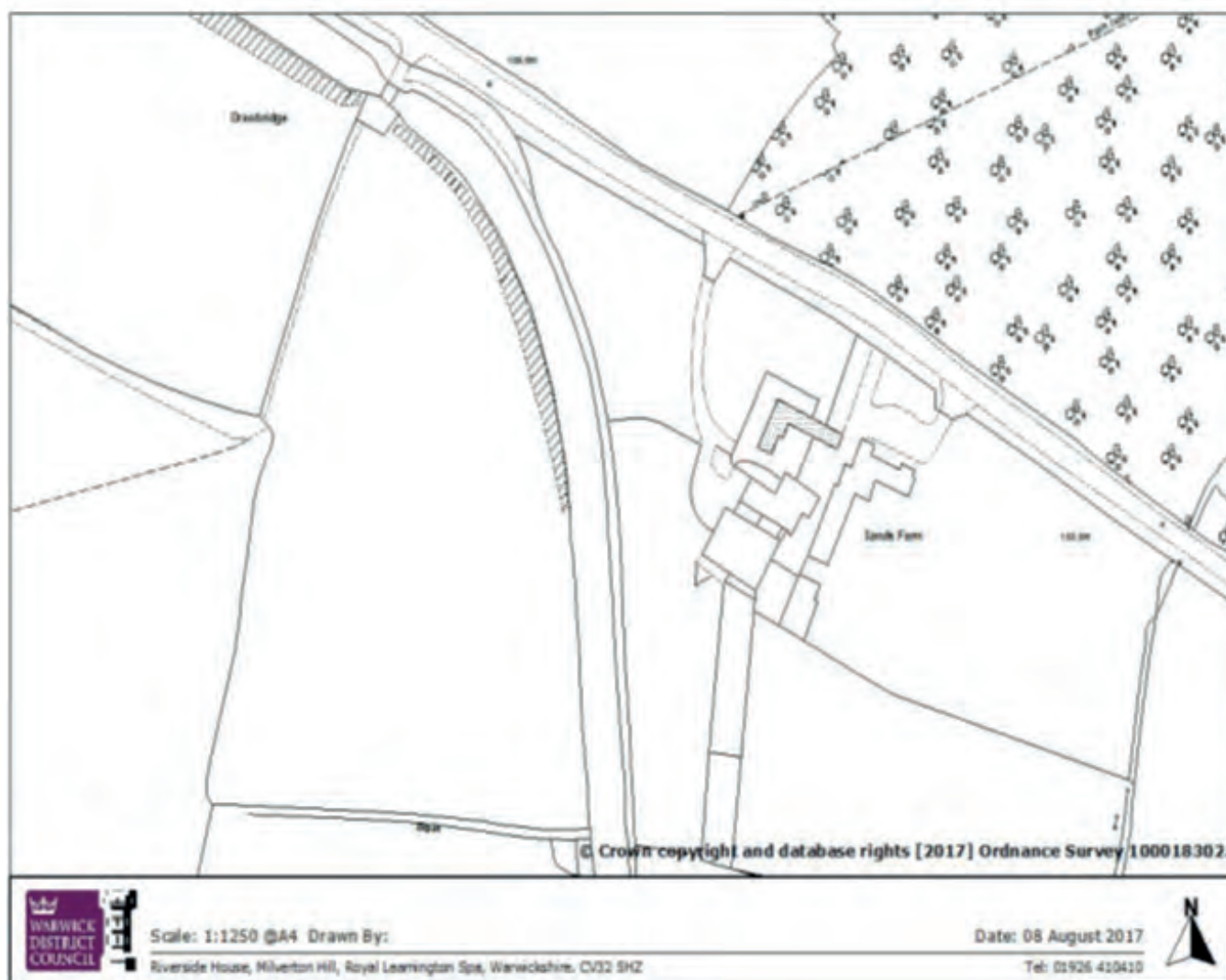
© Crown copyright and database rights (2017) Ordnance Survey 100018302

## Stratford Canal

Locks at Lapworth



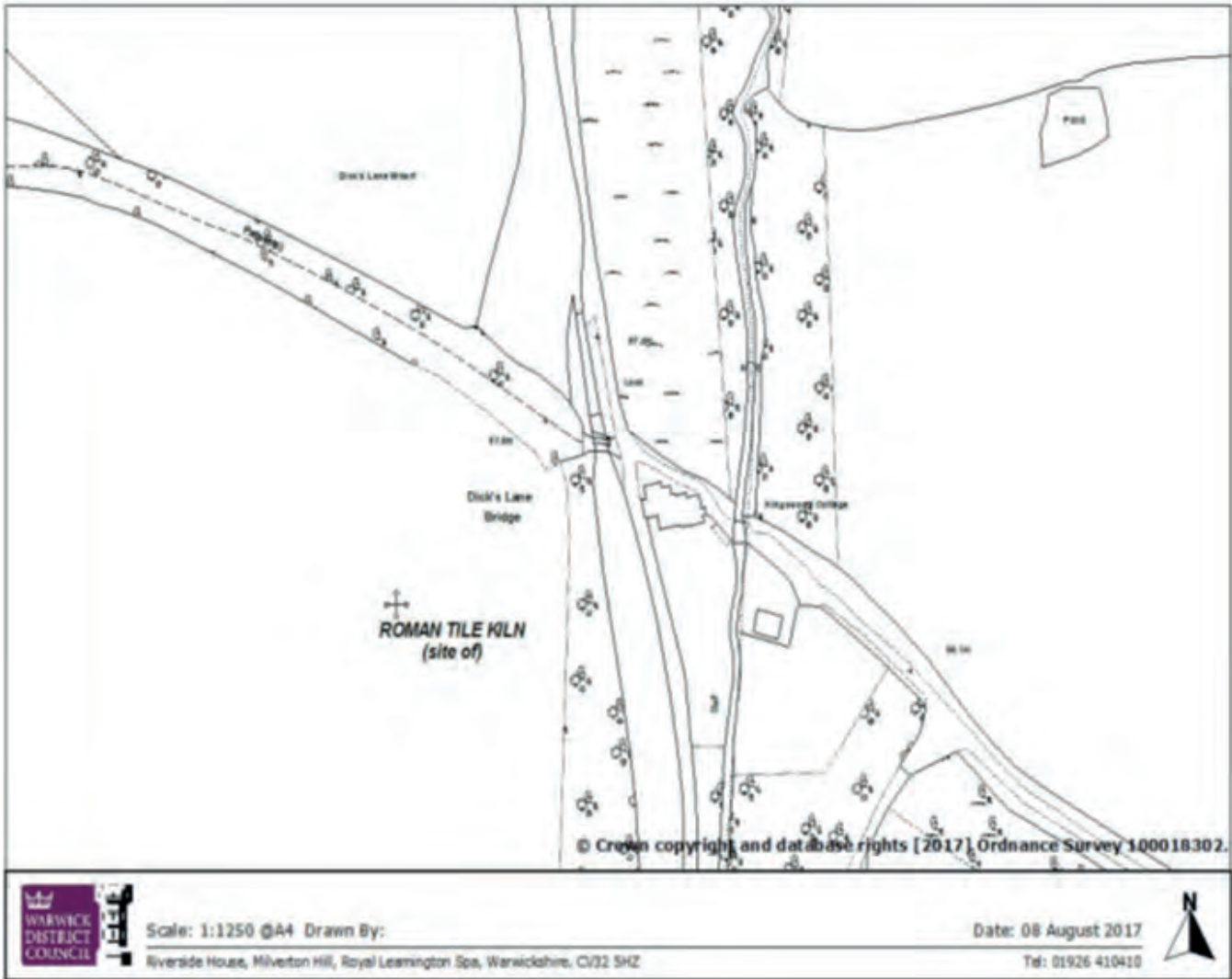
## Sands Farm Barn, Hockley Heath



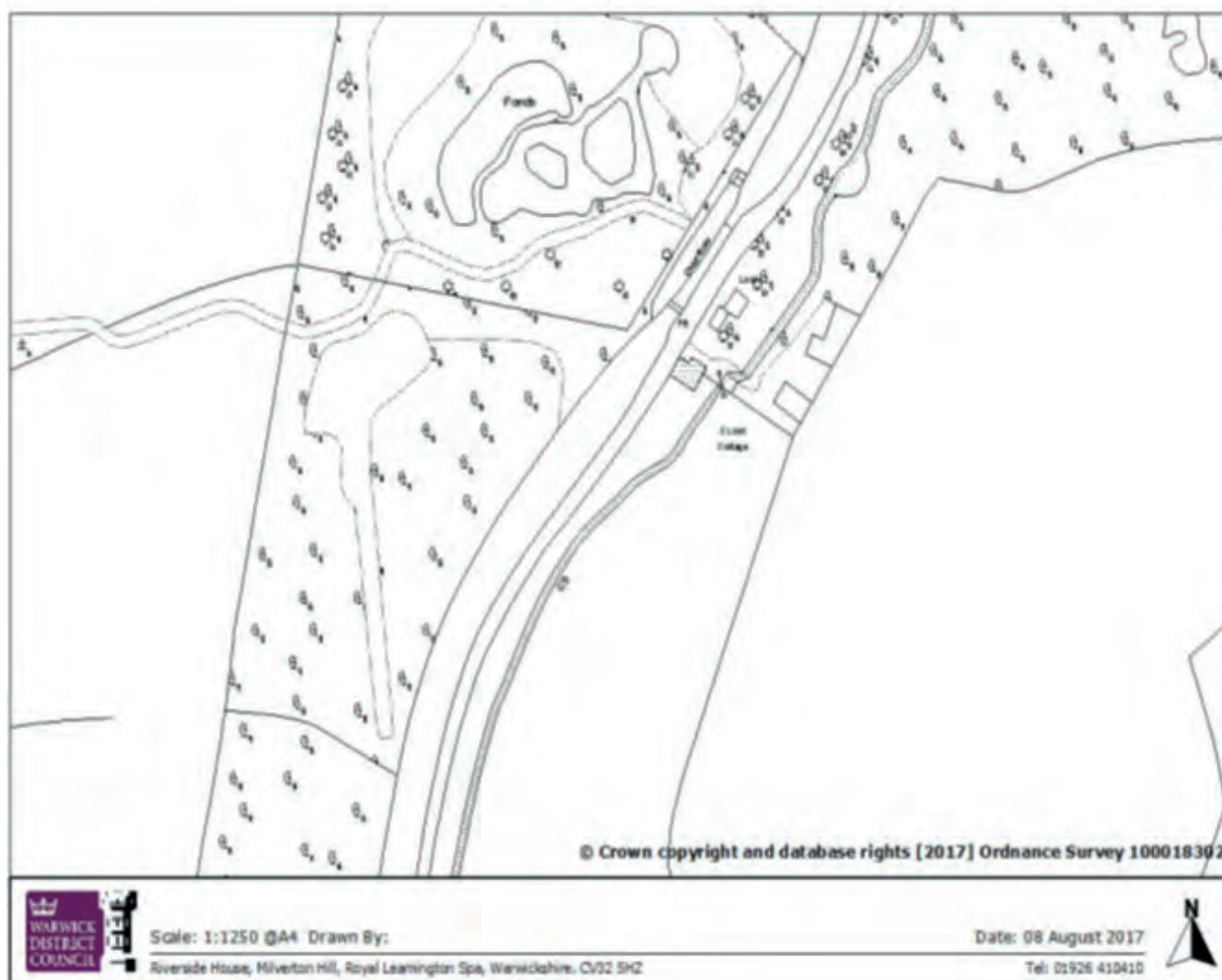
Group of canal buildings and cottages, Lapworth



Dick's Lane Bridge, Lapworth



Lock Cottage No. 3 Lapworth



© Crown copyright and database rights [2017] Ordnance Survey 100018302

WARWICK DISTRICT COUNCIL

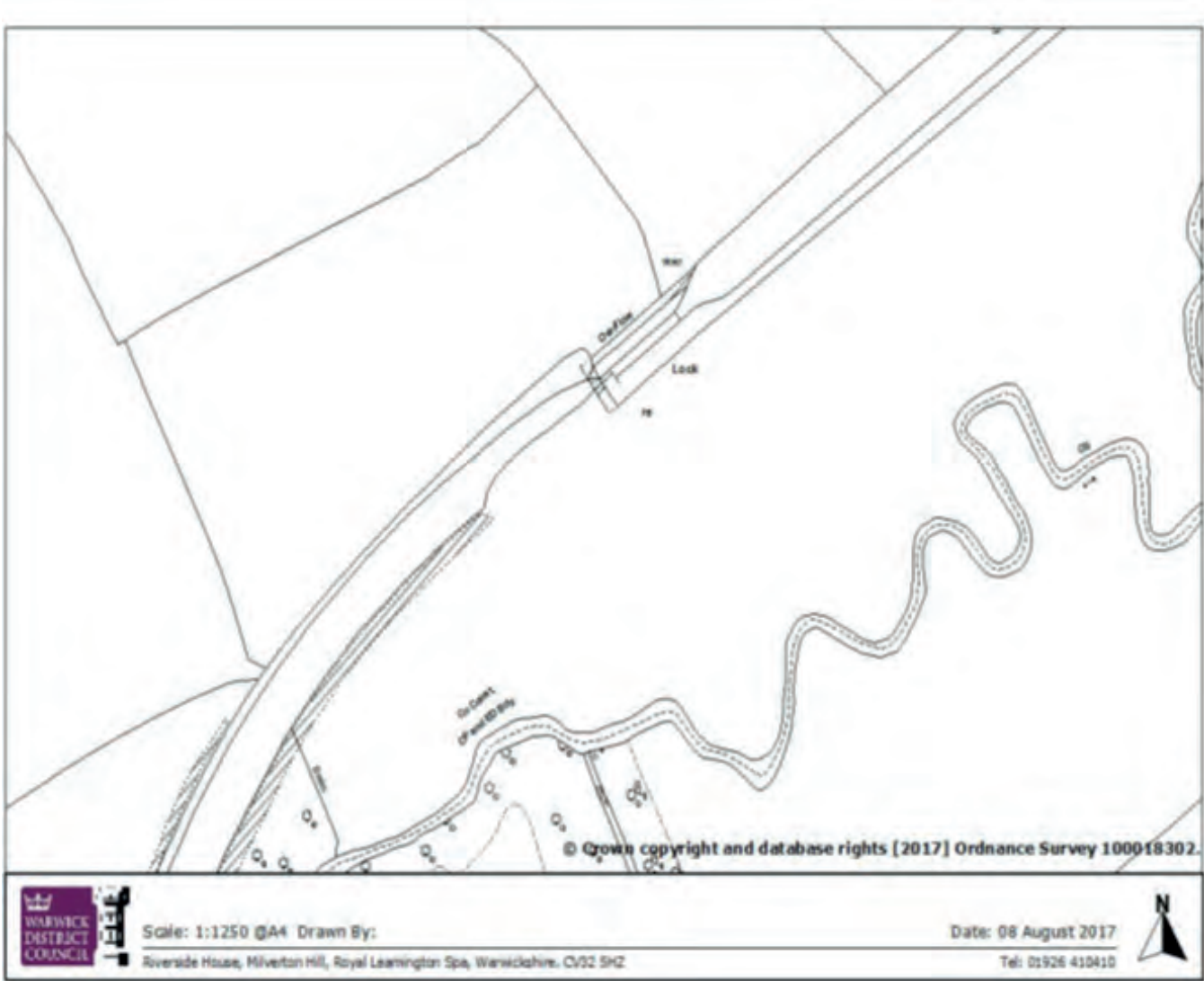
Scale: 1:1250 @A4 Drawn By:

Riverside House, Hilverton Hill, Royal Leamington Spa, Warwickshire. CV32 5HZ

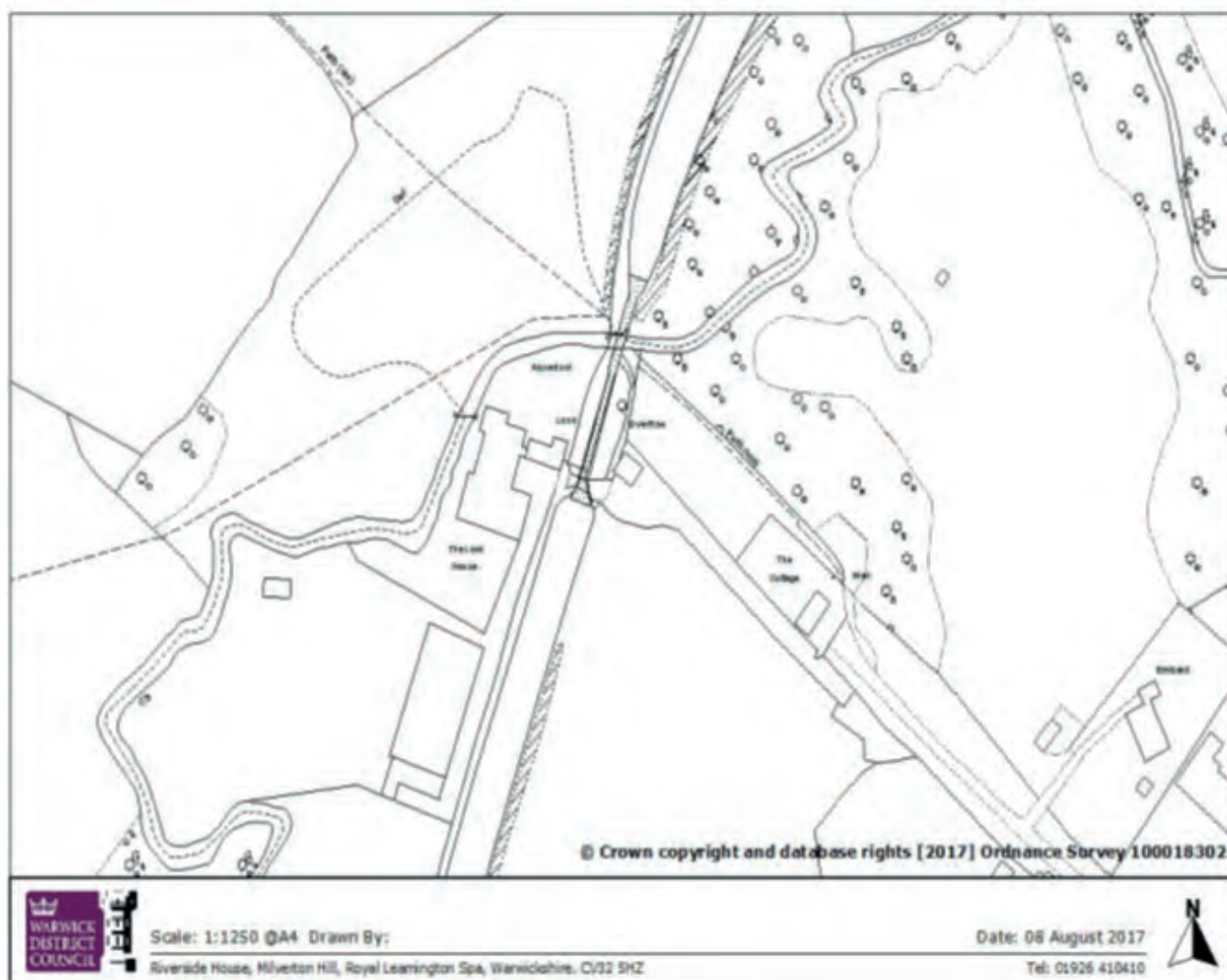
Date: 08 August 2017

Tel: 01926 410410

Canal Bridge No. 44, South Stratford Canal



Yarningdale Aqueduct (that part in Rowington parish), South Stratford Canal



## APPENDIX 3

# Constraints



FEATURE	LOCATION
<b>Local Nature Reserves</b>	
Leam Valley Local Nature Reserve	North of Grand Union canal
Newbold Comyn Park	North of Radford Semele
<b>Local Wildlife Sites</b>	
Grand Union Canal (potential)	
Stratford on Avon Canal (potential)	
Hatton Lock Meadows (potential)	Hatton
Turners Green Farm (north) (potential)	
Hockley Heath Meadow (potential)	Hockley Heath
Meadows adjacent Grand Union Canal (potential)	Lapworth
Stratford Canal Floodplain Meadows (potential)	Lapworth
Alder Wood (potential)	Lapworth
Meadows bordering Grand Union Canal (potential)	Shrewley
Hatton Hill Fields (potential)	Hatton
Field adjacent to canal (potential)	Budbrooke
Warwick Cemetery (potential)	Warwick
Warwick Racecourse (potential)	Warwick
Welches Meadow and Leam Valley (potential)	Royal Leamington Spa
Woodland adjacent Grand Union Canal (potential)	Radford Semele
Fosse Pastures and Wood (potential)	Offchurch
<b>HP Gas Pipelines</b>	
Gas pipelines cross the canals at three points in the east of the district and two points in the west	
<b>High Voltage Overhead Power Lines</b>	
HV power lines cross the canals at two points south of where the canals link	
<b>Minerals</b>	
Sand and Gravel Safeguarded areas along virtually whole length of waterways	
<b>Conservation Areas (other than the canal conservation area)</b>	
Canal runs through Conservation Area	Lowsonford
Adjacent to Conservation Area	Rowington
Runs through Conservation Area	Royal Leamington Spa

FEATURE	LOCATION
<b>Historic Landfill and Contaminated Land</b>	
<b>Grand Union Canal</b>	
Cutting	Offchurch
Filled pond	East of Royal Leamington Spa
Canalside Factory Sites (various)	Royal Leamington Spa
Railway	Royal Leamington Spa
Ford Foundry site	Royal Leamington Spa
Warwick Cemetery	Warwick
Former Landfill Site	Old Budbrooke Road
<b>Stratford on Avon Canal</b>	
The Willows	Lowsonford
Sewage Works	Turner's Green
<b>Green Belt</b>	
Through all rural areas	
<b>HS2 Safeguarding</b>	
Safeguarded land	East of Radford Semele



**Warwick District Council**  
**Riverside House**  
**Milverton Hill**  
**Royal Leamington Spa**  
**CV32 5HZ**





# **Warwick District Local Plan 2011-2029: Canalside DPD**

## **Sustainability Appraisal (SA) Report**

**September 2019**

*enfusion* 

# Warwick Local Plan 2011-2029: Canalside DPD

## Sustainability Appraisal (SA) incorporating Strategic Environmental Assessment (SEA) & Habitats Regulations Assessment (HRA)

September 2019

date:	September 2019 v01 Draft v02 Final	
prepared for:	Warwick District Council	
prepared by:	Barbara Carroll	Enfusion
quality assurance:	Barbara Carroll	Enfusion

## CONTENTS

Non-Technical Summary (NTS) (available separately)

<b>1</b>	<b>INTRODUCTION</b>	<b>1</b>
	Sustainability Appraisal (SA), Strategic Environmental Assessment (SEA) & Habitats Regulations Assessment (HRA)	
	The Warwick Local Plan 2011-2029	3
	The Warwick Canalside Development Plan Document	5
	Consultation	5
	Compliance with the Requirements of the EU SEA Directive	5
	This SA Report	6
<b>2</b>	<b>SUSTAINABILITY APPRAISAL METHODS</b>	<b>7</b>
	Approach, Guidance & Methods	7
	The SA Framework	7
	Screening & Scoping	7
	Appraising the Canalside DPD	11
<b>3</b>	<b>SUSTAINABILITY CONTEXT, OBJECTIVES &amp; BASELINE CHARACTERISATION</b>	<b>13</b>
	Other Plans & Projects (PP)	13
	Baseline Characteristics	13
	Key Sustainability Issues & Opportunities	16
<b>4</b>	<b>CONSIDERATION OF PLAN-MAKING OPTIONS &amp; ALTERNATIVES IN SA/SEA</b>	
	Alternatives in SA/SEA	17
	Options in Plan-Making	17
	Options Considered for the Canalside DPD	18
	The Do-Nothing Scenario	21
<b>5</b>	<b>SUSTAINABILITY APPRAISAL OF THE WARWICK CANALSIDE DPD</b>	<b>22</b>
	Compatibility Analysis of DPD & SA Objectives	22
	SA of Site-Specific Policies CS9-CS11	23
	SA of Policies CS1-8	26
	Habitats Regulations Assessment (HRA)	30
	SA of Implementing the Warwick Canalside DPD	33
<b>6</b>	<b>MONITORING</b>	<b>34</b>
<b>7</b>	<b>CONCLUSIONS, CONSULTATION &amp; NEXT STEPS</b>	<b>35</b>
	<b>APPENDICES</b>	
I	Statement of Compliance with SEA Directive & Regulations	
II	SA of Site-Specific Policies CS9-CS11	
	<b>TABLES &amp; FIGURES</b>	
1.1	SA & Plan-Making Stages & Tasks	
1.2	Location of the Warwick Canalside DPD	

- 2.1 The SA Framework
- 2.2 SA Significance
- 4.1 Other Potential Sites Investigated
- 5.1 Compatibility Analysis DPD Objectives & SA Objectives
- 5.2 Site-Specific Policies – SA summary

## 1.0 INTRODUCTION

### **Sustainability Appraisal (SA), Strategic Environmental Assessment (SEA) & Habitats Regulations Assessment (HRA)**

- 1.1 Strategic Environmental Assessment (SEA)<sup>1 2</sup> is a systematic process used during the preparation of plans and policies and it aims to provide a high level of protection for the environment. Sustainability Appraisal (SA) is a process that similarly investigates plans and policies, including consideration of socio-economic factors in the same way as environmental factors. SA incorporating SEA is a mandatory requirement for Local Plans in accordance with planning legislation<sup>3</sup> and paragraph 32 of the National Planning Policy Framework (revised 2018)<sup>4</sup>. Government advises<sup>5</sup> that an integrated approach should be taken so that the SA process incorporates the requirements for SEA – and to the same level of detail.
- 1.2 Local Plan Documents must also be subject to Habitats Regulations Assessment (HRA)<sup>6</sup>. The Habitats Regulations (amended 2018)<sup>7</sup> afford a high level of protection to sites in a network of internationally important sites designated for their ecological status. These sites comprise European Special Areas of Conservation (SACs) and Special Protection Areas (SPAs), and Ramsar<sup>8</sup> sites. It is a requirement to consider if the plan is likely to have significant effects on any relevant designated site. HRA is a two staged process – screening and appropriate assessment (if significant adverse effects are screened as likely).
- 1.3 National Planning Practice Guidance sets out the key stages and tasks for the SA process and their relationship with the Local Plan process – as illustrated in the following Figure 1.1. These key stages and tasks are applicable to the SA process for the Warwick Canalside DPD. It is important to note that SA is an iterative and on-going process. Stages and tasks in the SA process may be revisited and updated or revised as a plan develops, to take account of updated or new evidence as well as consultation responses. The role of the SA is to inform the plan-making process.
- 1.4 This SA Report explains the Stage A Scoping that was completed earlier and sent to the statutory consultation bodies in accordance with good practice. It reports the findings of Stage B Alternatives & Assessment and comprises Stage C Preparation of the SA Report. This SA Report accompanies the Warwick

---

<sup>1</sup> EU Directive 2001/42/EC

<sup>2</sup> Environmental Assessment of Plans and Programmes Regulations, 2004  
<http://www.legislation.gov.uk/uksi/2004/1633/contents/made>

<sup>3</sup> Section 19(5) of the 2004 Planning & Compulsory Purchase Act and Regulation 22(a) of the Town & Country Planning (Local Planning) (England) Regulations 2012

<sup>4</sup> <https://www.gov.uk/government/publications/national-planning-policy-framework--2>

<sup>5</sup> <https://www.gov.uk/guidance/strategic-environmental-assessment-and-sustainability-appraisal>

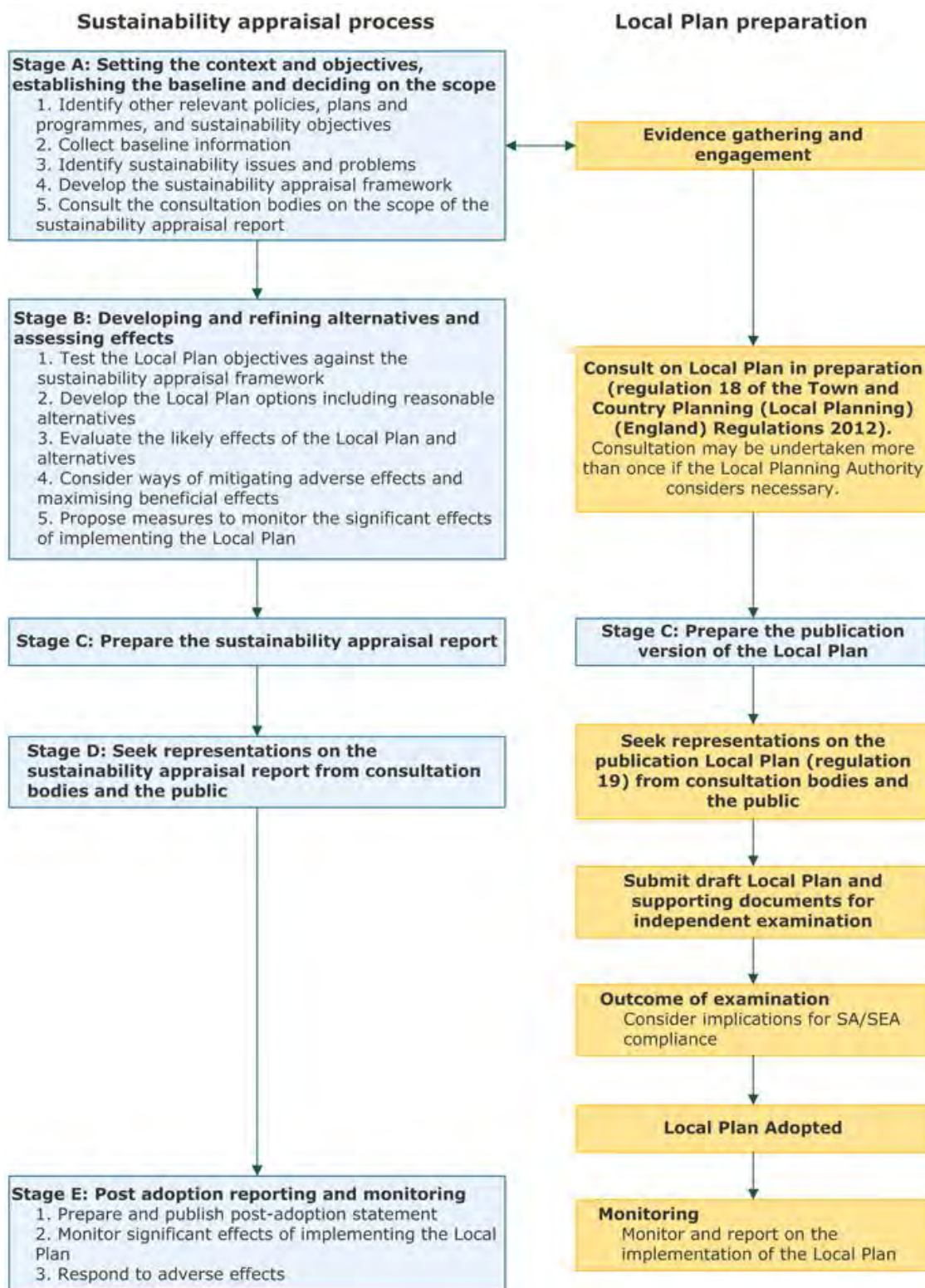
<sup>6</sup> <https://www.gov.uk/guidance/appropriate-assessment>

<sup>7</sup> <http://www.legislation.gov.uk/uksi/2018/1307/contents/made>

<sup>8</sup> Support internationally important wetland habitats and are listed under the Ramsar Convention on Wetlands of International Importance

Canalside DPD on public consultation for Stage D and seeks comments from the public and the statutory consultees.

**Figure 1.1: SA and Plan-making Stages and Tasks**



## The Warwick Local Plan 2011-2029

- 1.5 The overarching development plan document (DPD) for the Warwick District area is the Local Plan that was adopted in September 2017<sup>9</sup>. The Local Plan set out a commitment<sup>10</sup> to draft two DPDs for the District: Gypsy & Traveller DPD and Canal DPD. The Canal DPD will identify a new Conservation Area(s), consider how the canalside can be improved in relation to opportunity sites for new/redevelopment in the urban sections and consider issues around the canal environment throughout the district. Issues around improving access to the canals and encouraging new users will also be examined. The Council has also published a Supplementary Planning Document (January 2019)<sup>11</sup> to update the situation with regard to air quality and reflect the increasing concern about air quality and climate change. The Local Plan DPDs, SPD and Neighbourhood Plans comprise the hierarchy of planning documents that, together with the NPPF, guide applications and decisions for new development in the Warwick District area.

## The Warwick Canalside Development Planning Document (DPD)

- 1.6 The Canalside DPD has been prepared in accordance with the policy requirement in the Local Plan (2011-2029). Policy DS17 states:

*"The Council will prepare and adopt a Canalside Development Plan Document (DPD) to:*

- a) assess the canals in the District and their environment and setting;*
- b) identify areas for regeneration along urban sections, particularly for employment, housing, tourism and cultural uses; and*
- c) identify areas for protection, where these are appropriate, throughout the canal network within the District.*

*This document will designate particular areas and uses and will set out policies for use in assessing planning applications."*

- 1.7 The canalside has been given special consideration as it is considered that this area has long been neglected in terms of development and public use and that there are opportunities in this area that could be exploited for both the local and wider community. The draft Canalside DPD comprises the following:

- Objectives of the DPD
- Policy Background
- The New Conservation Area
- Context of canals in Warwick District - Grand Union Canal, The Stratford upon Avon and Birmingham and Fazeley Canals
- Issues - rubbish dumping, crime & perception of crime, vandalism, aesthetics, HS2, vacant & underused buildings, access, flooding
- Potential Options
- Opportunity Sites

<sup>9</sup> [https://www.warwickdc.gov.uk/info/20410/local\\_plan](https://www.warwickdc.gov.uk/info/20410/local_plan)

<sup>10</sup> [https://www.warwickdc.gov.uk/info/20799/development\\_plan\\_documents](https://www.warwickdc.gov.uk/info/20799/development_plan_documents)

<sup>11</sup> [https://www.warwickdc.gov.uk/downloads/file/5043/air\\_quality\\_spd](https://www.warwickdc.gov.uk/downloads/file/5043/air_quality_spd)

- Policies: CS1 Design; CS2 Parking; CS3 Archaeology; CS4 Biodiversity; CS5 Renewable Energy; CS6 PBSA; CS7 Signage; site-specific - CS9 Sydenham Industrial Estate; CS10 Industrial Estate Millers Road/Cape Road; CS11 former school at Montague Road
- Who will be involved?
- Appendix I Other Opportunity Sites Analysed
- Appendix II Listed Buildings close to the Canals
- Appendix III Constraints (Local Nature reserves; Local Wildlife Sites; HP gas pipelines; HV overhead power lines; minerals; Conservation Areas; historic landfill & contaminated land; HS2 safeguarding)

1.8 The Objectives of the Canalside DPD are as follows:

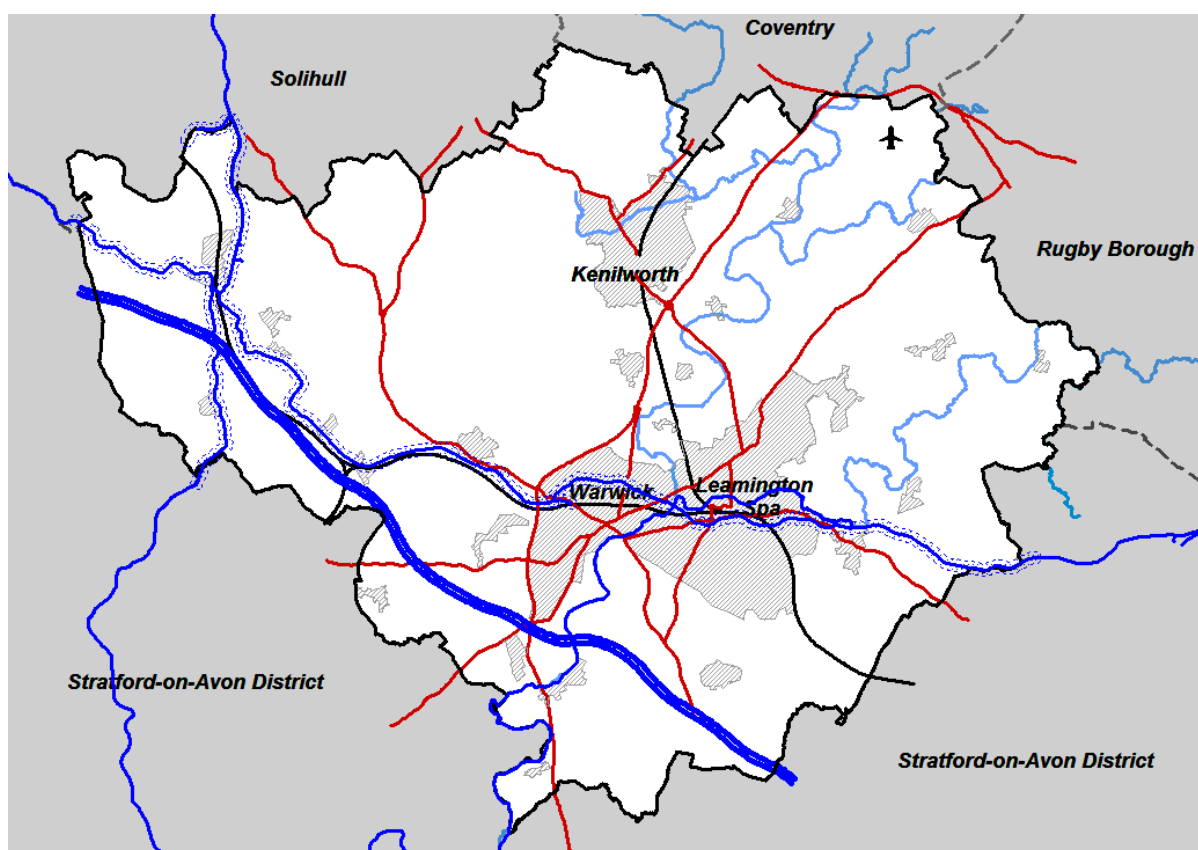
- Identify issues and opportunities and address/exploit them
- Look at a wide range of potential schemes to encourage more use of the canals and be imaginative and creative
- Increase the use of the canals and their environs to open them up to a new range of activities
- Create new frontages to face the canals instead of backing onto them, especially with new residential development
- Change perceptions of hidden backwaters as dangerous and crime ridden
- Make the canals safe and attractive and accessible to everyone
- Improve the visual aspects of the canals and widen their appeal to include all sectors of the community
- Protect any aspect of the canal that needs to be preserved whether tangible or conceptual
- Protect wildlife, habitats and water quality
- Increase awareness by use of directional and information boards in appropriate location

1.9 The DPD covers the whole length of all sections of canal that run through the district. It considers the canals themselves and the land to either side, the state of the towpaths and any facilities that are provided and the land beyond where there is vacant or under-utilised land and/or buildings or other opportunities for regeneration. It also considers the existing communities, both on the canals and alongside. The extent of the waterways, canals and the canalsides in the Warwick District area is shown in the map<sup>12</sup> following:

---

<sup>12</sup> From the emerging draft Warwick District Canalside DPD

**Figure 1.2: Location of Canals in Warwick District**



## **Consultation**

- 1.10 The statutory consultation bodies were consulted upon the SA/SEA & HRA scoping and screening report (September 2019). The Warwick District Council is publishing the draft Canalside DPD together with this SA Report for statutory and wider public consultation. Any comments on the draft DPD and SA will be taken into account.

## **Compliance with the Requirements of the EU SEA Directive**

- 1.11 The Strategic Environmental Assessment Regulations set out certain requirements for reporting the SEA process and specify that, if an integrated appraisal is undertaken (i.e. SEA is subsumed within the SA process), then the sections of the SA Report that meet the requirements set out for reporting the SEA process must be clearly signposted. This SA Report presents the SA/SEA testing of the emerging Development Plan Document and includes a Non-Technical Summary and an appendix that clearly signposts the requirements for reporting the SEA.

## This SA Report

- 1.10 The Warwick Local Plan was subject to SA/SEA (Submission Report 2015 & Addendum 2017)<sup>13</sup> and HRA (Screening Report 2014) during its preparation and examination, including formal and public consultation. The Canalside DPD must be in conformity with the adopted Local Plan and it is important that the SA/SEA is also in conformity with the previous assessments. However, the NPPF was revised in 2018, including significant implications for biodiversity net gain. This SA seeks to incorporate the updated requirements, including the information set out in planning practice guidance.
- 1.11 A Court of Justice of the European Union (CJEU) Judgment (2017)<sup>14</sup> has had implications for the established methods in the UK for undertaking HRA (and through which the Local Plan had been assessed). The implication of this judgment is that competent authorities cannot take account of any integrated or additional avoidance or reduction measures when considering at the Habitats Regulations Assessment (HRA) screening stage whether a plan is likely to have an adverse effect on a European Site. Therefore, this report seeks to update the assessment process and make explicit that the initial stage of HRA screening has been applied without consideration of embedded mitigation such as through Local Plan policies.
- 1.12 This report has been prepared in accordance with regulatory requirements, government guidance and in consideration of good practice. A proportionate approach has been taken since the Local Plan was adopted in 2017 and the DPD focuses on the canals with their canalsides through the District. The HRA considerations have been addressed within this SA Report. Warwick District Council has commissioned independent SA/SEA & HRA specialists Enfusion Ltd to undertake the work on behalf of the Council.
- 1.13 Section 2 of this SA Report describes the approach taken and methods used with the baseline characterisation presented in Section 3. The approach to options in plan-making and reasonable alternatives in SA/SEA is explained in Section 4. The findings of the SA and HRA assessments are presented in Section 5. An outline of the approach for monitoring is set out in Section 6 and conclusions with next steps outlined in Section 7.

---

<sup>13</sup> [https://www.warwickdc.gov.uk/info/20410/local\\_plan/1197/local\\_plan\\_evidence\\_base](https://www.warwickdc.gov.uk/info/20410/local_plan/1197/local_plan_evidence_base)

<sup>14</sup> People over Wind & Sweetman v Coillte Teoranta Case C-323/17

## 2.0 SUSTAINABILITY APPRAISAL METHODS

### Approach, Guidance & Methods

- 2.1 SA incorporating SEA is a mandatory requirement for Local Plan documents in accordance with paragraph 32 of the National Planning Policy Framework (revised 2018)<sup>15</sup>. Guidance on undertaking SA/SEA of plans is provided through UK government planning practice<sup>16</sup>; guidance<sup>17</sup> on HRA for plans is also available. The SA and HRA have been undertaken in accordance with this government guidance and drawing upon professional experience.
- 2.2 The SA has built upon the previous SA work undertaken during the development of the Local Plan, refining it to be focused on the Canalside DPD with relevant sustainability topics and issues. The opportunity was taken to update the assessments in line with the revised NPPF (2018) and the updated requirements for HRA.
- 2.3 Available information from Defra Magic maps, Environment Agency flood risk maps, the Council's evidence base for the local planning documents, and the evidence base for the draft Canalside DPD, together with professional judgment, was used to identify the sensitivity of the DPD area and to undertake the assessments.

### Screening & Scoping

- 2.4 The scoping for SA/SEA considered whether the policies and proposals in the emerging DPD are likely to have significant sustainability effects, as follows:
- how they might affect the environment, communities or economy
  - whether any of the proposals are likely to affect a "sensitive area", such as a Site of Special Scientific Interest (SSSI) or an internationally designated Site for nature conservation (SAC, SPA, Ramsar)
  - whether implementation of policies in the plan might lead to new development in the future

The DPD includes new policies, including 3 site-specific policies for land adjacent to the canal; the canalside areas include nationally important natural and historic environmental assets and their settings.

- 2.5 The scoping/screening for HRA considered whether the draft DPD could have any likely significant effects (LSEs) on internationally designated sites – Special Protection Areas (SACs), Special Areas of Protection (SPAs) and Ramsar – alone or in-combination with other plans or projects. There is only one isolated internationally designated site – Ensor's Pool SAC – within the Warwick District

---

<sup>15</sup> <https://www.gov.uk/government/publications/national-planning-policy-framework-2>

<sup>16</sup> <https://www.gov.uk/guidance/strategic-environmental-assessment-and-sustainability-appraisal>

<sup>17</sup> <https://www.gov.uk/guidance/appropriate-assessment>

area. There are no other designated sites within a 20 km radius and therefore, unlikely to be significant effects. However, since the DPD is focused on canals that are linked to other water systems, such as the River Severn, there could be the potential for environmental pathways and implications for functionally linked land and water connected with the Severn Estuary SPA/SAC/Ramsar.

- 2.6 Therefore, the HRA screening stage has been developed further and the appropriate assessment stage applied with regard to potential changes to water quality & water levels. The HRA process comprises two stages: an initial screening stage considers whether a plan or project is likely to have a significant effect on a European site either alone or in combination with other plans or projects. If likely significant effects (LSEs) are identified through the screening stage, then the plan or project should be tested through a second stage – the appropriate assessment (AA). The Warwick Local Plan and the DPD do include relevant policy mitigation and the approach essentially reinforces this through the updated methodology - thus making the process and conclusions explicit with regard to the updated requirements. This precautionary approach is being taken in particular consideration of the significant changes to HRA methods in the UK since the screening undertaken for the Local Plan.

## The SA Framework

- 2.7 The SA Framework provides the basis by which the sustainability effects of the DPD are described, evaluated and options compared. It includes objectives, elaborated by decision making criteria, that are relevant to the objectives of the Local Plan and the DPD, the role and duties of the Warwick District Council, and sustainable development in the Warwick and canalside areas. These objectives were identified through the SA scoping stage for the Local Plan from the information collated in the plans & programmes review, baseline analysis, identification of sustainability issues, and subject to consultation. This SA Framework is the same as that used to assess the emerging Local Plan in order to clearly demonstrate conformity with the higher level of development planning and assessment, as follows:

**Table 2.1: SA Framework**

Objective	Key Questions
1. To have a strong and stable economy  <i>SEA Directive topics: population &amp; health</i>	Will it help meet the employment needs of the local community? Will it help diversify the economy in general? Will it enhance the vitality and viability of the town centre? Will it encourage or enable inward investment? Will it promote investment in future prosperity (for example by supporting R&D, small businesses and/or encouraging skills development)?
2. To enable a range of sustainable transport options	Will it encourage the use of public transport, walking or cycling? Will it help reduce traffic congestion?

SEA Directive topics: air, climatic factors, health	
3. To reduce the need to travel  SEA Directive topics: air, climatic factors, health	Will it reduce the overall need to travel? Will it help reduce the need to travel by car / lorry?
4. To reduce the generation of waste and increase recycling  SEA Directive topics: soil, health, biodiversity	Will it encourage the management of waste in line with the waste management hierarchy, giving first priority to reducing waste, followed by reuse and recycling, then other forms of energy recovery and lastly disposal? Will any residual disposal be undertaken in the least environmentally detrimental manner?
5. To ensure the prudent use of land and natural resources  SEA Directive topics: biodiversity, flora, fauna and soil	Does it optimise the use of previously developed land and buildings? Will it minimise development on Greenfield land? Will it reduce the amount of derelict, degraded or underused land? Does it make efficient use of existing physical infrastructure (i.e. instead of requiring new infrastructure to be built)? Does it encourage resource-efficient design and/or construction (in terms of water and/or raw materials)? Does it encourage the use of materials from alternative and renewable sources?
6. To protect and enhance the natural environment  SEA Directive topics: biodiversity, flora, fauna and landscape	Will it protect and enhance species, habitats and sites designated for their nature conservation interest? Will it safeguard and/or enhance the character of significant landscape areas?
7. To create and maintain safe, well-designed, high quality built environments  SEA Directive topics: landscape, cultural heritage	Will it help provide a sense of identity and local distinctiveness? Will it protect or enhance the setting of the town? Will it promote design that enhances townscapes? Will it protect or improve safety in built environments?
8. To protect and enhance the historic environment  SEA Directive topics: cultural heritage	Will it protect and enhance sites, features and areas of historical, archaeological and cultural value? Will it encourage appropriate use of and/or access to buildings and landscapes of historical/cultural value?
9. To create good quality air, water and soils	Will it affect local air quality? Will it affect air quality in the Air Quality Management Areas? Will it minimise pollution of soils? Will it minimise light and noise pollution levels?

SEA Directive topics: soil, water, air	Will it retain the best quality agricultural land? Will it minimise adverse effects on ground and surface water quality? Will it prevent deterioration of water quality as measured by the Water Framework Directive?
10. To minimise the causes of climate change by reducing greenhouse gases and increasing the proportion of energy generated from renewable and low carbon sources.  SEA Directive topics: air, climatic factors	Will it reduce overall energy use through increased energy efficiency? Will it reduce or minimise greenhouse gas emissions? Will it increase the proportion of energy generated from renewable and low carbon sources?
11. To adapt to the predicted impacts of climate change including flood risk  SEA Directive topics: water, climatic factors	Will it reduce or minimise the risk of flooding? Will it minimise sensitive development in medium and high risk flood zones?
12. To meet the housing needs of the whole community (ensuring the provision of decent and affordable housing for all, of the right quantity, type, size and tenure)  SEA Directive topics: population, health	Is it enabling the housing target to be met? Does it provide for the development of balanced communities by encouraging an appropriate mix of housing (in terms of type, size and tenure)? Will it reduce homelessness and housing need? Will it reduce the number of empty homes?
13. To protect, enhance and improve accessibility to local services and community facilities  SEA Directive topics: population, health	Will it maintain and enhance existing community facilities? Will it put unacceptable pressure on existing services and community facilities? Will it improve access to local services and facilities for the whole community?
14. To improve health and well being  SEA Directive topics: health	Will it promote healthy lifestyles? Will it provide and improve access to health and social care services? Will it provide and/or enhance the provision of open space? Will it improve opportunities to participate in the district's cultural, sport and recreational opportunities?
15. To reduce poverty and social exclusion  SEA Directive topics: population, health	Will it reduce poverty and social exclusion in those areas most affected?

16. To reduce crime, fear of crime and antisocial behaviour	Will it reduce actual levels of crime?  Will it reduce the fear of crime?
<i>SEA Directive topics: population, health</i>	Will it reduce / discourage anti-social behaviour?

**Table 2.2: Significance Key**

Categories of Significance		
Symbol	Meaning	Sustainability Effect
++	Major Positive	Proposed development encouraged as would resolve existing sustainability problem
+	Minor Positive	No sustainability constraints and proposed development acceptable
=	Neutral	Neutral effect
?	Uncertain	Uncertain or Unknown Effects
-	Minor Negative	Potential sustainability issues: mitigation and/or negotiation possible
--	Major Negative	Problematical & improbable because known sustainability issues; mitigation likely to be difficult and/or expensive
+	-	SA Objectives 2, 5, 6, 13 and 14 consider more than one topic & as a result there is the potential for different effects. For example, Objective 2 relates to encouraging the use of public transport, walking & cycling as well as reducing traffic congestion. Development could have a negative effect on traffic; however, it could also provide new cycle/walking routes with a positive effect – and thus, two symbols.

## Appraising the Warwick Canalside DPD

- 2.8 The number and extent of reasonable alternatives to be considered through plan-making and the SA are limited. However, the development of the draft DPD has considered vacant or under-utilised land and/or opportunities for regeneration. Section 6 in the draft DPD carefully explains the approach and that the adopted Local Plan identifies some potential areas for additional residential development alongside the canal in urban areas. Appendix 1 lists the potential sites A-Z that were investigated. The 3 areas identified within the Local Plan are proposed to be taken forward in the DPD and these three sites were assessed as the reasonable alternatives identified.
- 2.8 The 3 DPD site-specific Policies CS9-CS11 will be assessed using the full SA framework and details provided in an appendix in order to show compatibility and correlation with the SA of the Local Plan. The assessment of the other DPD Policies and the DPD as a whole will be presented as a narrative to allow the SA to focus on the aspects of the DPD that are likely to have significant effects, thus providing further detail whilst minimising the number of detailed technical matrices. It allows for the consideration of mitigation measures that may be provided through policies in the adopted Local Plan and embedded within the DPD. This is appropriate and proportional for the level of plan-

making and assessment. The SA objectives were grouped into sustainability topics, as follows:

- Economy: SA No 1 Economy
- Housing, Communities, Health & Wellbeing: SA No 12 Housing; SA No 13 Access to Services/Facilities; SA No 15 Reduce Poverty; SA No 16 Reduce Crime
- Transport: SA No 2 sustainable Transport; SA No 3 Reduce Need to Travel
- Air Quality & Climate Change: SA No 9 Good Quality Air; SA No 10 Minimise Causes of Climate Change
- Land/Soil Resources: SA No 4 Reduce Waste; SA No 5 Land/Soil & Sustainable Construction; SA No 9 Good Quality Soils
- Natural Environment: SA No 6 Biodiversity; SA No 6 Landscape; SA No 7 High Quality Design
- Historic Environment: SA No 8 Historic Environment
- Water: SA No 11 Adapt to Impacts of climate change – flooding; SA No 9 Good Quality Water

- 2.9 The assessment includes consideration of the likely effects on sustainable development, including short, medium and long-term effects, permanent and temporary effects, positive and negative effects, and secondary, cumulative and synergistic effects in accordance with Schedule 2 12(3) of the SEA Regulations. Any possibilities for mitigating any potential significant negative effects, or enhancing potential positive effects, were suggested to the plan-makers, as relevant.
- 2.10 The SA/SEA & HRA scoping and screening report (September 2019) was sent to the statutory environmental bodies for 5 weeks consultation in early September. No comments were received from the statutory consultees at this stage.

### 3.0 SUSTAINABILITY CONTEXT & BASELINE CHARACTERISATION

#### Other Plans and Projects

- 3.1 The SA/SEA and Habitats Regulations include a requirement to consider the implications of other relevant plans and projects. This was undertaken during the SA of the Warwick District Local Plan. The key plans and projects relevant to the Canalside DPD are as follows:

- Stratford-on-Avon District Local Plan
- Solihull District
- Coventry District
- Rugby Borough
- Warwick District Neighbourhood Plans<sup>18</sup>
- Warwick District Green Infrastructure Study (2012)
- Warwickshire, Coventry & Solihull Green Infrastructure Strategy (2014)<sup>19</sup>
- Severn River Basin Management Plan (2016)<sup>20</sup>
- Severn Trent Water Resource Management Plan 2019<sup>21</sup>
- Water Resources Strategy 2015-2020 Canal & River Trust<sup>22</sup>
- The Green Plan Canal & River Trust<sup>23</sup>
- Fisheries & Angling Action Plans<sup>24</sup>
- High Speed 2 HS2<sup>25</sup>

#### Baseline Conditions

- 3.2 The baseline characterisation of the Warwick District area was undertaken as part of the SA scoping stage in 2014 and updated as the SA progressed in line with the development of the Local Plan through to adoption in 2017. The key relevant information has been updated further here and the characterisation of the District area with its canals, the canalside land and their communities may be summarised as follows:

- 3.3 **Biodiversity & the Natural Environment:** There are no internationally designated sites<sup>26</sup> (SACs, SPAs or Ramsar) within a 15 km radius of the Warwick District area; one SAC (Ensor's Pool, Nuneaton) is within a 20 km radius. Areas

---

<sup>18</sup> [https://www.warwickdc.gov.uk/info/20444/neighbourhood\\_plans](https://www.warwickdc.gov.uk/info/20444/neighbourhood_plans)

<sup>19</sup> <https://www.warwickshire.gov.uk/greeninfrastructure>

<sup>20</sup> <https://www.gov.uk/government/publications/severn-river-basin-district-river-basin-management-plan>

<sup>21</sup> <https://www.severntrent.com/about-us/future-plans/water-resource-management/water-resource-managment-plan/>

<sup>22</sup> <https://canalrivertrust.org.uk/specialist-teams/managing-our-water/water-resources-strategy>

<sup>23</sup> <https://canalrivertrust.org.uk/specialist-teams/caring-for-our-environment/the-green-plan>

<sup>24</sup> <https://canalrivertrust.org.uk/enjoy-the-waterways/fishing/angling-strategies>

<sup>25</sup> <https://www.hs2.org.uk/where/>

<sup>26</sup> <https://magic.defra.gov.uk/MagicMap.aspx>

of environmental national importance in the District as a whole include 7 Sites of Special Scientific Interest (SSSIs) and 15 Sites of Importance for Nature Conservation (SINCs). There is no nationally designated landscape (AONB) but the landscapes in the District are valued for their scenic qualities, rich wildlife and cultural associations, and are fundamental to the intrinsic character and local distinctiveness of the area. Much of the rural areas through which the canals run is designated as Green Belt and their openness is protected.

- 3.4 The Leam Valley Local Nature Reserve (LNR) is located north of the Grand Union Canal and to the east of Leamington Spa. The Newbold Combyn Park LNR is to the south of the Grand Union Canal to the east of Leamington Spa and north of Radford Semele. There are various Local Wildlife Sites (LWSs)<sup>27</sup> associated with the two canals and their canalsides including sites at Budbrooke, Hatton, Hockley Heath, Lapworth, Offchurch, Radford Semele, Royal Leamington Spa, and Shrewley. There are rich networks of green infrastructure throughout the District and including the water and canal networks.
- 3.5 **The Historic Environment:** The District has a rich historic and cultural heritage and includes 2,145 Listed Buildings; 30 Conservation Areas; and 11 Registered Parks and Gardens. One of the major outcomes of the assessment of the canals in developing the Canalside DPD was the designation of a new Canal Conservation Area<sup>28</sup> in recognition of the special qualities and character of and interest in the canals and their immediate environs. The canal runs through the Conservation Area at Lowsonford and through the Conservation Area at Leamington Spa; the canal runs adjacent to the Conservation Area at Rowington.
- 3.4 **Air Quality & Transport:** There are good road and rail links with surrounding major urban areas with railway stations at Warwick, Leamington Spa, Kenilworth, Hatton and Lapworth. However, air quality and traffic congestion, particularly in the main towns, are key issues. Warwick District Council has designated five air quality management areas (AQMA)s<sup>29</sup> due to elevated annual average concentrations of nitrogen dioxide (NO<sub>2</sub>). The AQMAs include Warwick Town Centre, Coventry Road (Warwick), Leamington Spa and two AQMAs in Kenilworth. The Council's recent Air Quality SPD (January 2019) guides new development with regard to transport, air quality, energy and green infrastructure.
- 3.5 **Water Quality, Levels & Resources:** There is a network of rivers and watercourses running through the District, including the two canals and the Warwickshire River Avon. The river runs north to south through the district and then feeds into the Severn Estuary towards the south-west. The Grand Union Canal runs east-west through the southern part of the district including through the urban areas of Warwick and Leamington Spa. It links to the Birmingham & Fazeley Canal south east of Kingswood. The Stratford upon

---

<sup>27</sup> <https://data.gov.uk/dataset/669d39c1-df92-4974-aa39-fa815acaba44/warwickshire-local-wildlife-sites-lws>

<sup>28</sup> [https://www.warwickdc.gov.uk/info/20004/planning/1264/canal\\_conservation\\_area](https://www.warwickdc.gov.uk/info/20004/planning/1264/canal_conservation_area)

<sup>29</sup> [https://www.warwickdc.gov.uk/downloads/file/5043/air\\_quality\\_spd](https://www.warwickdc.gov.uk/downloads/file/5043/air_quality_spd)

Avon Canal enters the district south of Lowsonford and runs northwards to become the Birmingham & Fazeley Canal. It then runs westwards and leaves the district near Hockley Heath in the north-west; there are feeder lakes at Earlswood at the edge of the district area.

- 3.6 The networks of watercourses and water bodies are interconnected. Water is abstracted from the canal system for both agriculture and commercial uses. There are issues around the level of topping up and abstraction, since there are more applications for licences to abstract water made year on year for both agricultural and commercial use. The water levels need to be maintained for navigation and to support the multifunctionality of the water including biodiversity/green infrastructure, recreation/leisure & wellbeing, together with its contribution to climate change resilience and role in sustainable water management.
- 3.7 The local water quality of the canals and River Avon is not precisely known but nationally (Environment Agency, 2018), nitrates are a major issue<sup>30</sup> – mostly water run-off from agricultural land or deposited on land and water from traffic emissions. About 20% of abstractions were considered to be unsustainable in 2017, reducing water levels and damaging wildlife. High winter river flows have increased over the past 30 years, with a subsequent increase in the frequency and magnitude of flooding. There is no clear trend in droughts, but summer river flows and groundwater levels may decrease in the future.
- 3.8 Water is supplied to the Warwick district by Severn Trent Water Ltd within the Strategic Grid Water Resource Zone (WRZ) that extends from the Peak District to Gloucester and covers most of Worcestershire<sup>31</sup>. The Strategic Grid is made up of 14 major water treatment works (WTWs), five reservoir complexes, three major grid booster pumping stations and a number of strategic pipeline network connections and aqueducts – representing a complex interaction of abstraction, treatment and transfer, and particularly focused on the River Trent catchment system. The WRMP includes the ongoing commitment to restore sustainable abstraction. There appears to be no significant major water proposals that would affect the water systems in the Warwick District area. Severn Trent Water also plans and manages the wastewater treatment and sewerage systems in the Warwick district area.
- 3.9 **Soils/Land Use:** The rural parts of the district comprise mostly agricultural land quality Grades 3a & 3b but there are significant areas of the best and most versatile agricultural land at Grade 2 adjacent to the south-west of Whitnash and north of Leamington Spa<sup>32</sup>. The canals run through the important cultural/historic urban areas of Warwick and Leamington Spa; the rest of the routes are through rural areas. The canals were built for transportation but fell out of use with the coming of the railways and then the road network. Some canalside areas had previous industrial uses and may have contaminated land, for example, various factory sites through Leamington Spa; other

---

<sup>30</sup> <https://www.gov.uk/government/publications/state-of-the-environment>

<sup>31</sup> <https://www.severntrent.com/about-us/future-plans/water-resource-management/wrmp-19-documents/>

<sup>32</sup> <https://magic.defra.gov.uk/MagicMap.aspx>

canalside areas have been used as historic landfills or for sewage treatment works. Some parts of the canals have become a quiet place for wildlife, angling and water-based leisure; others have become overgrown, abandoned and used as rubbish tips.

- 3.10 **Communities, Housing & Employment:** Approximately 90% of the District's population live in the four main urban areas (Royal Leamington Spa, Warwick, Kenilworth and Whitnash) with the remaining 10% living in a number of relatively small villages. These main centres contain a wide range of different types of housing but there are some affordability issues. The population has grown from 124,000 in 2000 to around 140,000 in 2017<sup>33</sup>. Compared to other parts of Warwickshire, a higher proportion of the District's population is of working age. The highest rate of projected population growth in the future is expected to be amongst those aged 65 and over – in line with the rest of the UK.
- 3.11 It is thought that there are only permanent residential moorings at the Saltisford Canal Arm in Warwick with 7 moorings. The canals are widely used for boating holidays and leisure use with the Warwickshire Ring a popular route for the enthusiast. There are major marinas in other parts of Warwickshire but limited boatyards and specialist facilities within the Warwick district area.
- 3.12 Neighbourhood Plans (NPs) are the local level of plans that sit within the Local Plan and the DPDs; they reflect local community interests. The Budbrooke NP is adopted and the area is located adjacent south of the Grand Union. Other NPs are in preparation, including at Leamington, Radford Semele and Lapworth.
- 3.14 The District has a strong local economy, with a skilled population and higher than average levels of productivity and earnings compared with regional and national averages. However, the changing needs of business means that some of the District's traditional industrial areas require regeneration, with many of these areas located alongside the Grand Union Canal in Warwick and Royal Leamington Spa. The District's 40km of canal offer particular opportunities for recreation, regeneration and environmental improvement.

### Key Sustainability Issues & Opportunities

- 3.15 The key issues and opportunities for sustainable development and the Canalside DPD may be summarised as follows:
- Degraded environment with dumping of litter/rubbish, vandalism with crime and the perception of crime, and poor visual and aesthetic quality – strong opportunities to regenerate and improve the local environments, including safety and improved access
  - Vacant and underused buildings – opportunity to facilitate regeneration and reuse; maintain and repair significant buildings and historic assets

---

<sup>33</sup> [www.ons.gov/](http://www.ons.gov/)

- Accessibility – canals provide important linear routes for walking and cycling for healthier living as well as routes for water-based transport; accessibility could be improved including for a wider cultural diversity
- Flooding and water resources – canals may be subject to flooding; the canals also provide water supplies to industry and agriculture, but levels need to be maintained to support navigation and wildlife. The canals also have a wider role in sustainable water management and climate change resilience.
- Green infrastructure – making linkages to networks and improvements with biodiversity gains for wildlife and people
- Increased boating use<sup>34</sup>
- Pressures for overdevelopment at some sites
- High Speed 2<sup>35</sup>

---

<sup>34</sup> <https://canalrivertrust.org.uk/specialist-teams/managing-our-water/water-resources-strategy>

<sup>35</sup> <https://www.hs2.org.uk/> (now delayed for 5 years)

## 4.0 PLAN-MAKING OPTIONS & ALTERNATIVES IN SA/SEA

### Assessment of Alternatives in SA/SEA

- 4.1 The EU SEA Directive requires assessment of the likely significant effects of implementing the plan and “reasonable alternatives” taking into account “the objectives and geographical scope” of the plan and the reasons for selecting alternatives should be outlined in the report. The Directive does not specifically define the term “reasonable alternative”; however, UK SA/SEA guidance advises that it is taken to mean “realistic and relevant” i.e. deliverable and within the timescale of the plan.
- 4.2 It is acknowledged that there is a hierarchy of alternatives that are relevant and proportionate to the tiering of plan-making. The SA does not need to be done in any more detail, or using more resources, than is considered to be appropriate for the content and level of detail in the plan. Case law in England has clarified and provided further guidance for SA/SEA practice of development plans. The SA Report must include an outline of the reasons for selecting or rejecting options; it is the plan-making authority that is the primary decision-maker in relation to identifying what is to be regarded as a reasonable alternative.

### Assessment of Options in Plan-Making

- 4.3 Development planning issues, such as how much, what kind of development and where, are considered within the requirements of legislation and policy together with the characteristics of the plan area and the views of its communities. Potential options for resolving such issues are identified by the local planning authorities through various studies, such as population projections and housing need, community strategies, infrastructure capacities, and environmental constraints analysis – and through consultation with the regulators, the public, businesses, service providers, and the voluntary sector.
- 4.4 At the earlier and higher levels of strategic planning, options assessment is proportionate and may have a criteria-based approach and/or expert judgment; the focus is on the key differences between possibilities for scale, distribution and quality of development. At the later and lower levels of development planning for site allocations, options assessment tends to be more specific - often focused on criteria and thresholds, such as land availability, accessibility to services, and impacts on local landscape.

### Options Considered for the Canalside DPD

- 4.5 The Local Plan in Policy DS17 identified 3 potential areas for additional residential development alongside the canal in areas of Leamington Spa and Warwick. These areas are industrial estates for small scale local manufacturing and are characterised by buildings that no longer reflect the

needs of many businesses and less than easy access to the road network.  
The 3 areas are:

- Sydenham Industrial Estate
- Cape Road/Millers Road
- Montague Road

- 4.6 The Council's Employment Land Review (2013) concluded that future redevelopment for alternative uses may be appropriate with a managed release of employment land at these 3 locations. Therefore, rationalisation and regeneration at these 3 locations was progressed into the draft Canalside DPD as the evidence indicated suitability and deliverability of such site options. Accordingly, these 3 sites were subject to SA using the full SA framework and to demonstrate compatibility with the previous SA undertaken during the development of the Local Plan and its Site Allocations.
- 4.7 A number of other potential sites were identified and investigated for reuse (residential and/or employment) should they be available, suitable or become available. Information on the sites is listed in Appendix I of the draft DPD with a summary of current use/planning history and includes an outline of the analysis together with an indication of whether there might be potential in the future. The other potential sites investigated may be summarised, as follows:

**Table 4.1: Other Potential Sites Investigated**

Ref No	Site Location	Description Key issues or Opportunities	Potential Site if becomes Available?
A	North of Warwick Parkway Station	Station car park & located within the Green Belt	No
B	WCC site adjacent to A46	Used as offices, highways storage etc	Only if WCC vacate & sell
C	Units off Budbrooke Road	Industrial units in comparative good order & appear viable – for sale	Yes?
D	Spring Cottage Birmingham Road & opposite	Previous scrapyards & derelict cottages with outline planning permission for up to 5 dwellings	None beyond that proposed
E	Saltisford Common Bridge	Saltisford Trust run businesses & events from Canal Arm land – viable community & recreational resource	No
F	North end of Saltisford Common	Allotments	No
G	Unit off Harris Rd (Wedgnock Industrial Estate)	Industrial unit with offices in good condition	No
H	Wedgnock Park Bridge	Small area of land with no road access	No

I	Land rear of units on Ladbroke Park (Millers Rd)	Industrial units occupied and meeting a variety of employment needs	No
J	Coventry Road Bridge	Part of larger site allocated for residential in Local Plan - allocated H11 Montague Rd for 140 dwellings	No
K	Unit of Nelson Lane with landing stages to rear	Ideal for moorings associated with existing boating & other small businesses.	No
L	Warehouse, Nelson Lane	Industrial unit fully occupied & protected by Local Plan EC3	No
M	Adjacent Charles Street Bridge & Wharf Street	Industrial unit fully occupied & protected by Local Plan Policy EC3	No
N	East of All saints Bridge, Emscote road	Small site currently used as car rental/sales; access would be an issue	Unlikely
O	Lidl, Myton Road	Small retail unit	Possibly?
P	NW of Europa Way roundabout	Small area of open land/scrub; too small, access & noise problems	No
Q	Shrublands Recreation Ground north of Queensway	WDC recreation ground, protected by LP Policy HS2	No
R	Land between canal & Bury Road	Open land adjacent to canal & towpath – best for green infrastructure not development	No
S	Rangemaster, Ranelagh Street	Industrial unit in use	Possibly in longer term?
T	Althorpe Industrial Estate	Part of Creative Quarter & mixed-use development; subject of current planning application	Possibly?
U	1-13 Neilston Street	Small industrial, warehouse units for sale; appear well- used	No
V	Berrington Road Sydenham	Small industrial units; part of land already redeveloped for housing	No
W	Playground, Rushmore Street	Playground & important local space, protected by LP Policy HS2	No
X	Units between St Mary's Rd & Clapham St	Industrial units in mixed-use area – occupied & appear popular	Possible under DS8 but unlikely in short term
Y	North of St Mary's Rd, west of Ramsey Rd	Continuation of Sydenham Industrial Estate	Possible under DS8 but unlikely in short term

Z	Land at end of Gulliman's Way	Open land in flood zone 3 & 3a	No
---	-------------------------------	--------------------------------	----

- 4.8 Thus the other potential sites investigated were found mostly to be not suitable for new development or were not available; a few sites were indicated as possibly suitable if they were to become available in the longer term. Therefore, these sites were not considered to be reasonable alternatives for the purposes of SA/SEA, and they were not investigated any further through the assessment process.

### **The Do-Nothing Scenario**

- 4.9 Doing nothing is not a reasonable alternative for the Council as the local planning authority is required to provide sufficient development land to meet the needs of the local communities for housing and employment. The adopted Local Plan with Policy DS17 makes the commitment to preparation of a Canalside DPD and the importance of the canals and their immediate environs has been recognised with the development of the Canal Conservation Area.

## 5.0 SUSTAINABILITY APPRAISAL OF THE WARWICK CANALSIDE DPD

### SA of DPD Objectives

5.1 The Canalside DPD includes a list of objectives as follows:

- Identify issues and opportunities and address/exploit them
- Look at a wide range of potential schemes to encourage more use of the canals and be imaginative and creative
- Increase the use of the canals and their environs to open them up to a new range of activities
- Create new frontages to face the canals instead of backing onto them, especially with new residential development
- Change perceptions of hidden backwaters as dangerous and crime ridden
- Make the canals safe and attractive and accessible to everyone
- Improve the visual aspects of the canals and widen their appeal to include all sectors of the community
- Protect any aspect of the canal that needs to be preserved whether tangible or conceptual
- Protect wildlife, habitats and water quality
- Increase awareness by use of directional and information boards in appropriate locations

5.2 A compatibility analysis was undertaken of the DPD's objectives against the SA objectives in the SA Framework using professional judgment and a simple compatibility approach - + compatible; - not compatible; ? uncertain; and O not applicable. The findings are shown in the table following:

**Table 5.1: Compatibility Analysis – DPD & SA Objectives**

DPD Objectives	Issues & Opportunities	Range of schemes	Increase Use	Create new Frontages	Change Perceptions	Safe & accessible	Improve visual	Protect any aspect	Protect wildlife & WQ	Increase Awareness
SA Objectives										
1.Economy	+	+	+	+	+	+	+	+	+	+
2.Sustainable Transport	+	+	+	O	+	+	+	+	?	+
3.Reduce Travel	+	+	+	O	+	+	+	+	?	+
4.Reduce Waste	+	+	?	O	+	+	+	+	+	+
5.Use of Land	+	+	+	O	+	+	+	+	+	+
6.Natural Environment	+	+	?	O	?	O	+	+	+	?
7.High Quality	+	+	+	+	+	+	+	+	+	+
8.Historic Environment	+	+	?	O	+	O	+	+	O	+

9.Air, Water, Soil Quality	+	+	?	○	+	○	+	+	+	+
10.Climate Change	+	+	+	○	+	+	+	+	?	+
11.Flood Risk	+	+	+	○	○	+	○	+	+	+
12.Housing	+	+	+	+	+	+	+	+	+	+
13.Services & Facilities	+	+	+	○	+	+	○	+	?	+
14. Health & Wellbeing	+	+	+	+	+	+	+	+	+	+
15.Reduce Poverty	+	+	+	○	+	+	+	+	+	+
16. Reduce Crime	+	+	+	+	+	+	+	+	+	+

- 5.3 Most SA Objectives were found to be compatible with the DPD objectives; there were no incompatibilities identified. A few uncertainties were recorded, for example, the historic and natural environments and increased use. However, other policies in the Local Plan will ensure that both objectives are progressed and protected. The SA only made one suggestion – to amend the objective on protecting wildlife and water quality to “improving” and thus be more in line with the recent changes to biodiversity net gain in planning<sup>36</sup>.

### SA of Site-Specific Policies CS9-CS11

- 5.4 The detailed SA of the 3 sites proposed for residential development is presented in Appendix II of this SA Report.

**Table 5.2: Site Specific Policies – SA Summary**

DPD Site Specific Policies  SA Objectives	CS9 Sydenham Industrial Estate		CS10 Industrial Estate Millers Road/ape Road		CS11 Former school at Montague Road	
1.Economy	=		=		=	
2.Sustainable Transport	+	+?	+	+?	+	+?
3.Reduce Travel	+		+		+	
4.Reduce Waste	=		=		=	
5.Use of Land	++		++		++	
6.Biodiversity; Landscape	+	+	++	+	++	++
7.High Quality	+		+		+	
8.Historic Environment	+		=		+	
9.Air, Water, Soil Quality	=		=		=	
10.Climate Change	+		+		+	
11.Flood Risk	=		=		=	
12.Housing	+		+		+	
13.Services & Facilities	=		=		=	

<sup>36</sup> <https://www.gov.uk/government/consultations/biodiversity-net-gain-updating-planning-requirements>

14. Health & Wellbeing	+	+	+
15.Reduce Poverty	+	+	+
16. Reduce Crime	+	+	+?

- 5.5 The SA found mostly neutral or positive effects; there were no negative effects identified. The review of industrial estates undertaken to inform the Local Plan found that these estates no longer reflect the requirements of many businesses as explained in Local Plan Policy DS8 Employment Land. Employment land to meet needs is allocated in Policy DS9 and guided through Policy EC1 Directing New Employment Development. Criteria in DPD Policies CS9 & 10 further explain the current situation with regard to the current use of industrial units and requirements for redevelopment. Therefore, no loss of employment land and neutral effects for SA No 1 Economy.
- 5.6 The 3 site areas are well located within the urban areas of Leamington/Sydenham (CS9) and Warwick (CS10-11) for sustainable transport with good access to bus stops and railway stations – minor positive effects for SA No 3 Travel; some uncertainty as to the extent that this might help reduce congestion elsewhere. DPD CS2 provides some mitigation measures that could help reduce congestion by requiring new development to meet with district parking standards. Also, good access to local services and community facilities nearby indicating neutral effects for SA No 13. All new development can reduce waste & increase recycling in accordance with other LP Policies – neutral effects.
- 5.7 Reuse of previously developed land has major positive effects for prudent use of land and resources, reducing loss of greenfield or agricultural land – for all three areas; remediation of any contamination associated with CS11 will have further positive effects for the soil resource and helping to resolve an existing sustainability problem.
- 5.8 Local Plan Policy NE3 Biodiversity requires new development to lead to no net loss and where possible a net gain; DPD Policy CS4 requires protection and enhancement of the canal green corridor – minor positive effects for biodiversity and SA No 6. DPD Policies CS10 & CS11 include specific requirements for green space indicating further positive effects for biodiversity and the green infrastructure networks that could be synergistic and cumulative in the longer term, extending beyond the canals themselves.
- 5.9 Proposals must comply with LP Policy BE1 Layout & Design and DPD Policy CS1 that requires new development to be of an appropriate scale, height, form and massing, utilising appropriate materials and details; and reflect, respect and reinforce local architectural and historical distinctiveness, particularly where sites fall within the Canal Conservation Area. The redevelopment and enhancements will result in positive effects for landscape/townscape for SA Nos 6 & 7 protecting/enhancing local character and promoting high quality-built environments.
- 5.10 Such an approach to design and redevelopment will also promote positive effects for SA Nos 7 and 16 – to improve safety; reduce crime, fear of crime

and antisocial behaviour. DPD Policies CS9 & CS11 specifically refer to requirements for design/layout that provides surveillance of the canal, increasing safe access – all with positive effects that could be synergistic and extend beyond the immediate area thus helping to resolve an existing sustainability issue.

- 5.11 The historic environment is protected through LP Policies HE1-4 and DPD Policy CS1 requires new development to respect and reinforce the local historical distinctiveness indicating at least neutral effects but likely positive effects through regeneration, enhancement of the built environment. There are no Listed Buildings or Scheduled Monuments near to the sites, with the exception of the Grade II listed Bridge House adjacent to the Coventry Road Bridge at edge of CS11 – redevelopment here may improve the existing setting. The potential for archaeological resources is recognised at the CS9 site and there are site-specific requirements to investigate. Overall, no significant sensitive assets and mitigation measures in place, indicating neutral effects for SA No 8 Historic Environment.
- 5.12 LP Policy NE5 Protection of Natural Resources requires that new development should not give rise to air, or water pollution, indicating neutral effects for SA No 9. It is noted that there may be some particular issues associated with air quality for CS11 and the DPD draws attention to the need for proposals to address this – any proposal will need to be in compliance with the Air Quality SPD (January 2019) and indicating that mitigation measures are in place. DPD CS2 requires that parking standards should be met, and this may reduce congestion and associated air quality emissions.
- 5.13 New development must comply with LP Policies CC1-2 on climate change adaptation including sustainable construction, multifunctional green infrastructure, and water efficiency (also Policy FW3) - with minor positive effects that will be cumulative in the longer term. DPD Policy CS5 requires that canals should be recognised as a potential renewable energy resource. All development must also comply with LP Policy FW1 Reducing Flood Risk indicating at least neutral effects; reinforced by DPD Policy CS1 that requires there should be no increase in the risk of flooding.
- 5.14 Provision of housing will have positive effects for SA No 12, contributing to meeting the identified needs. Policies CS9 & CS10 require specific proportions for low cost or affordable homes – and this will contribute to positive effects for SA No 15 aiming to reduce poverty and social exclusion.
- 5.15 DPD Policy CS1 requires new or improved safe access to the canal; this is reinforced by DPD Policies CS9-11 that specifically require maintenance, enhancement of open access to the canal with new public access in suitable locations – all contributing to enhanced access to the community asset of the canal with positive effects for SA No 13 on accessibility. These effects may be synergistic and extend beyond the immediate environs of the sites.
- 5.16 Provision of good quality housing will contribute to health and wellbeing; enhanced access to the canal for walking, cycling and other leisure or

reflective activities will all encourage a healthier lifestyle and contribute to positive effects for health & wellbeing and SA No 14 for improving health. The canals are nationally waymarked long distance paths and the enhancements to these sites will contribute to an improved environment for other users.

## SA of Policies CS1-CS8

### **Economy:**

SA Objective No 1: Economy

*SEA Directive Topics: Population; Health*

- 5.17 The adopted Local Plan recognises the changing requirements for business and commercial/industrial estates as explained in Local Plan Policy DS8 Employment Land with the commitment to investigate the potential for these three sites set out in LP Policy DS17. Thus, the LP and the DPD have set in place guidance to enable effectiveness use of land resources with overall neutral effects indicated through protection of employment land elsewhere.

### **Housing, Communities, Health & Wellbeing:**

SA Objective No 12 Housing; SA No 13 Access to Services/Facilities; SA 14 Improve Health & Well-being; SA No 15 Reduce Poverty; SA No 16 Reduce Crime

*SEA Directive Topics: Population; Health*

- 5.18 Provision of high-quality housing will contribute to health and well-being with positive effects. The DPD notes that some purpose built student accommodation (PBSA) is already being constructed and that this can help to reuse the more neglected canalside sites. DPD Policy CS6 seeks to ensure that PBSA is located in suitable areas and to reduce the concentration of such developments in any one area – the Council is committed to preparing another DPD dealing with this specific type of housing development through the district. For now, the Canalside DPD explains that linear PBSA development will not be suitable along the canal and that such proposals must be in accordance with LP Policy H6 and any made Neighbourhood Plans. This ensures mitigation measures are in place to encourage the appropriate range and mix of housing in the most suitable locations.
- 5.19 The site areas are all located within the urban areas of Warwick and Leamington Spa/Sydenham with good access to local services and facilities. The Grand Union Way is a national long-distance walking route and is a component of the Centenary Way<sup>37</sup> – 100 miles of walking networks throughout Warwickshire. The redevelopment and enhancements of these sites, including improved accessibility and safety will encourage more use of the path – to access local services and the wider network – and this could

<sup>37</sup> <http://www.gps-routes.co.uk/routes/home.nsf/routeslinkswalks/warwickshire-centenary-way-walking-route>

have synergistic and cumulative positive effects in the longer term that extend beyond the sites through into the wider district and beyond. The use of canals is promoted widely for a range of activities by the Canal & River Trust (CART)<sup>38</sup> for boating, angling, walking, cycling, wildlife, art & learning – all with positive effects for health and well-being, both mental and physical.

- 5.20 Policy CS7 requires new and improved directional and informational signage where appropriately designed and located. Policy CS8 encourages the inclusion of public art in new schemes where it makes a positive contribution to the local area. Both these policies will help encourage use of the canal areas for sustainable transport and other activities, further enhancing the positive effects indicated for well-being and health.
- 5.21 Policy CS1 requires that development frontages should address the canal, allowing views and providing much needed surveillance, increasing security and reducing fear of crime. In residential developments this includes maintaining an open view of the canal from residential properties and gardens. Increasing security and reducing crime or fear of crime overall will have positive effects for health and well-being.

**Transport:**

SA Objective SA No 2 sustainable Transport; SA No 3 Reduce Need to Travel

*SEA Directive Topics: Material assets; Population*

- 5.22 The increased accessibility and safety of the canal pathways as described previously will have positive effects for objectives on sustainable transport and the location of the sites in urban areas will reduce the need to travel. DPD Policy CS1 requires new or improved safe access to the canal as essential and should be included wherever possible, including bridges and accesses to the canal from nearby roads. Where appropriate, developments should integrate with existing paths, streets, circulation networks and patterns of activity.
- 5.23 CS1 also requires the provision of a towpath which will be wide enough to accommodate pedestrians, cyclists and wheelchair users with the aim of creating a cycle/walking route alongside the canal or, where a towpath already exists, it is widened and/or improved where possible to allow access for all users, without compromising the natural environment. This will ensure implementation of sustainable transport with positive effects that should be cumulative and synergistic in the longer term.
- 5.24 Policy CS2 recognises that parking will be required for new development and requires that it should be in accordance with the Council's adopted Parking Standards. However, the location and setting of the parking should be sympathetic to any environmental, historic or landscape features ensuring that canalside frontages do not present the view of a car park – mitigating any negative effects for SA No 6 the natural environment. CS2 also requires safe

---

<sup>38</sup> <https://canalrivertrust.org.uk/>

parking for cycle and motorcycles where there is adequate surveillance – further contributing to positive effects for SA No 16 to reduce crime or fear of crime. The DPD acknowledges that movement of freight on the canal systems is not viable and that the use of the canals is focused on leisure, access, biodiversity and well-being.

**Air Quality & Climate Change:**

SA Objective No 9 Good Quality Air; SA No 10 Minimise Causes of Climate Change

*SEA Directive Topics: Air; Climate Change*

- 5.25 The major threat to air pollution is from traffic emissions<sup>39</sup>. Warwick District Council has designated five air quality management areas (AQMA) due to elevated annual average concentrations of nitrogen dioxide (NO<sub>2</sub>). The AQMAs include Warwick Town Centre, Coventry Road (Warwick), Leamington Spa and two AQMAs in Kenilworth. Guidance on air quality and planning is provided through the Air Quality SPD (January 2019)<sup>40</sup> that includes information and suggests mitigation measures. Any new development arising from the Canalside DPD will need to take into account other LP policies and the Air Quality SPD such that potential negative effects should be mitigated. The selection of areas of redevelopment within the existing urban areas and with good accessibility to services and facilities should reduce the need to travel by private vehicles and associated reduced traffic emissions.
- 5.26 Policy CS5 recognises that canals are a potential renewable energy resource; canal water could be used for heating and cooling buildings – also for onshore hydropower where practicable. Implementation of such schemes will have positive effects for air quality and climate change in the longer term. The supporting text explains that canals and rivers contribute to urban cooling and thus reduce carbon dioxide emissions. Introducing more soft landscaping and trees into new developments will also contribute to reducing climate change effects in the longer term.

**Land/Soil Resources:**

SA Objective No 4 Reduce Waste; SA No 5 Land/Soil & Sustainable Construction; SA No 9 Good Quality Soils

*SEA Directive Topics: soil*

- 5.27 LP Policy NE5 Protection of Natural Resources requires that new development should not give rise to land, air, or water pollution, indicating neutral effects for SA No 9. ensure that, where evidence of contamination exists, the land is made fit for its intended purpose and does not pose an unacceptable risk to sensitive receptors Reuse of previously developed land is an effective use of

<sup>39</sup> <https://uk-air.defra.gov.uk/air-pollution/causes>

<sup>40</sup> [https://www.warwickdc.gov.uk/downloads/file/5043/air\\_quality\\_spd](https://www.warwickdc.gov.uk/downloads/file/5043/air_quality_spd)

land resources and provides mitigation measures by avoiding use of greenfield or best and most versatile agricultural land for development.

**Natural Environment:**

SA Objective SA No 6 Biodiversity; SA No 6 Landscape; SA No 7 High Quality Design

*SEA Directive Topics: Biodiversity, flor, fauna; landscape*

- 5.28 The DPD explains the importance of the canals as green corridors for wildlife and people. Policy CS4 requires that new development should incorporate features that recognise, protect and enhance the biodiversity and environmental quality of the canal corridor; a detailed arboricultural survey is also required. An environmental impact report is required where development directly abuts the canal or towpath or is likely to impact on the setting of the canal. These requirements provide mitigation measures to ensure that biodiversity is enhanced and will be implemented with positive effects that will be cumulative in the longer term, helping to extend green infrastructure networks.
- 5.29 Policy CS1 provides detailed guidance for new development with regard to building being of an appropriate scale, height, form and massing, utilising appropriate materials and details. Where appropriate, developments should integrate with existing paths, streets, circulation networks and patterns of activity. Developments should respect and reinforce local architectural and historical distinctiveness, particularly where sites fall within the Canal Conservation Area. New residential development will be assessed against the principles outlined in the Council's Residential Design Guide to ensure that a high standard is attained – further confirming that there should be positive effects for townscape/landscape objectives that will be synergistic and cumulative in the longer term.

**Historic Environment:**

SA Objective No 8: Historic Environment

*SEA Directive Topics: Historic environment*

- 5.30 The recent designation of the Canal Conservation Area<sup>41</sup> with documents and maps provides detailed guidance for new development to ensure that the historic environment is understood, protected and enhanced, including the settings of historic assets. Policy CS1 requires that developments should reflect, respect and reinforce local architectural and historical distinctiveness, particularly where sites fall within the Canal Conservation Area, thus providing further mitigation measures and ensuring at least neutral effects with the potential for some positive effects.

<sup>41</sup> [https://www.warwickdc.gov.uk/info/20004/planning/1264/canal\\_conservation\\_area](https://www.warwickdc.gov.uk/info/20004/planning/1264/canal_conservation_area)

- 5.31 The potential for archaeological interest has been recognised and Policy CS3 requires that new development should undertake an assessment of the archaeological status of the site. This provides mitigation measures to further protect the historic environment and avoid or minimise any negative effects.

**Water:**

SA Objective SA No 11 Adapt to Impacts of climate change – flooding; SA No 9 Good Quality Water

*SEA Directive Topics: Water; Climate Change*

- 5.32 The adopted Local Plan provides guidance to protect water resources: LP Policy FW4 Water Supply requires developers to ensure that there is an adequate water supply having regard to the Severn Trent Water's WRMP; it also recognises the ecological status of water and requires that development must not affect objectives as set out in the River Severn RBMP. LP Policy NE5 Protection of Natural Resources requires that new development should not give rise to water pollution where the level of discharge, emissions or contamination could cause harm to sensitive receptors; does not result in a reduction in the quality or quantity of groundwater resources. Thus, the Local Plan Policies provide mitigation measures to ensure that there are no significant negative effects on water resources, water levels or water quality.
- 5.33 LP Policies FW1 Reducing Flood Risk and FW2 Sustainable Drainage provide strong clear guidance to ensure that there will be no increase in flood risk and that sustainable water management will be encouraged with requirements for incorporation of sustainable drainage systems (SuDS) that provide biodiversity, water quality and amenity benefits. The LP Policies are further reinforced by DPD Policy CS1 that requires new development should not have an adverse impact on water quality or increase the risk of flooding. Overall, there is strong mitigation provided through embedded policy to ensure no negative effect on the water environment.

### **Habitats Regulations Assessment (HRA)**

- 5.34 The HRA screening (2014)<sup>42</sup> undertaken of the developing Local Plan concluded that there would be no likely significant effects (LSEs) associated with changes in air quality, water quality and levels, recreational disturbance or habitat loss/fragmentation on Ensor's Pool SAC. The SAC is somewhat isolated as an abandoned claypit and designated for the presence of the white-clawed crayfish such that it was unlikely that the new development proposed in the Local Plan would have any impacts. The pool is clay-lined and not connected to other waterbodies/watercourses; it is replenished through rainfall.
- 5.35 The HRA screening at that time also noted that the need for supplying water from Wales to growing Midland conurbations could have a potential impact

<sup>42</sup> <https://www.warwickdc.gov.uk/downloads/file/2425/b02-habitat-regulations-assessment-screening-report-march-2014>

on hydrologically dependant Welsh SACs. At that time, Severn Trent Water advised that water resources in the Warwick District area would continue to be sourced locally and therefore, the HRA screening concluded that this would not be a potential issue for the Warwick Local Plan.

- 5.36 The Warwickshire River Avon drains into the Severn Estuary to the south-east and this is designated as a SPA, SAC & Ramsar. The canals are supplied through surfacewater and groundwater sources and therefore, there is the potential for environmental pathways through the water networks. It is considered very unlikely that any development activities arising from the Canalside DPD would have significant effects on designated sites.
- 5.37 The Warwick District area is some 75 km distance<sup>43</sup> from the Severn Estuary such that it is considered very unlikely that there is any relevant functionally linked land. It is understood that there is some concern about increased recreational use arising from new development in Gloucestershire and potential impacts on functionally linked habitats used by certain bird species associated with the Severn Estuary SPA/SAC/Ramsar. However, it is considered that the Warwick area is too distant and the limited new development proposed in the Canalside DPD indicates that there would be no LSEs in this respect.
- 5.38 However, it is appreciated that the HRA screening for the Warwick Local Plan was prepared before certain recent CJEU's (2017-2018)<sup>44</sup> were issued with significant implications for the HRA methods used in the UK. Competent authorities cannot take account of any integrated or additional avoidance or reduction measures when considering at the HRA screening stage whether a plan is likely to have an adverse effect on a European Site. The HRA screening (2014) for the Local Plan reached its conclusions taking into account embedded policy mitigation such as environmental criteria in policies that have to be met.
- 5.39 Therefore, in consideration of the increased awareness and requirements for sustainable water management and building resilience to climate change; the fundamental change to the UK method of undertaking HRA screening/ appropriate assessment with recent updated Government guidance (July 2019)<sup>45</sup> that takes into account the implications of the CJEU's; increased understanding of potential disturbance on SPA/SAC/Ramsar sites, particularly the Severn Estuary; and since the Canalside DPD is focused on the water environment – the HRA screening with regard to water levels & water quality was updated.
- 5.40 A pragmatic and proportional approach was taken and to clearly demonstrate due process in line with the updated guidance. Since the DPD is focused on canals that are linked to other water systems, there could be the potential for environmental pathways. The Warwick Local Plan does include relevant policy mitigation and this HRA essentially clarifies this through the

---

<sup>43</sup> Measured directly from the centre of the area to the nearest designated point of the Severn Estuary using Defra Magic Mapping <https://magic.defra.gov.uk/MagicMap.aspx>

<sup>44</sup> For example, please see *People over Wind & Sweetman v Coillte Teoranta* Case C-323/17

<sup>45</sup> <https://www.gov.uk/guidance/appropriate-assessment>

updated methodology - thus making the process and conclusions explicit with regard to the updated requirements. This precautionary approach is being taken in particular consideration of the significant changes to the HRA process in the UK since the screening undertaken for the Local Plan.

- 5.41 The primary reason for designation of habitats in the Severn Estuary SAC<sup>46</sup> is for its estuaries, mudflats, sandflats and Atlantic salt meadows; also, for species of lamprey and the Twaite shad. The Severn Estuary SPA<sup>47</sup> supports internationally important assemblages of overwintering birds with conservation objectives for Bewick's Swan, Gadwall, White-fronted Goose Dunlin, Shelduck and Redshank. The Ramsar<sup>48</sup> designation relates to the importance of the estuary and river for migratory fish (salmon, trout, lamprey, shad and especially eel) and the particular importance for birds during spring and autumn.
- 5.42 HRA screening indicates that there is the potential for an environmental pathway through the linkages between the water networks of river, canal and groundwater with the River Severn catchment area<sup>49</sup> covering the Warwick District area. Whilst the extent of the new development that will be supported through the Warwick Canalside DPD is limited, there could be the potential for likely significant effects on the designated site – its functionally linked water and/or land since migratory birds may extend some distance upstream on the River Severn.
- 5.43 Therefore, if this aspect is taken to the second stage of the HRA process – appropriate assessment – the embedded policy mitigation measures may be taken into consideration. Local Plan Policy FW4 Water Supply requires developers to ensure that there is an adequate water supply having regard to the Severn Trent Water's WRMP; it also recognises the ecological status of water and requires that development must not affect objectives as set out in the River Severn RBMP. LP Policy NE5 Protection of Natural Resources requires that new development should not give rise to water pollution where the level of discharge, emissions or contamination could cause harm to sensitive receptors; does not result in a reduction in the quality or quantity of groundwater resources. DPD Policy CS1 that requires new development should not have an adverse impact on water quality or increase the risk of flooding. Local Plan Policy NE1 Green Infrastructure and NE2 Protecting Designated Biodiversity provide further embedded mitigation measures through policy requirements.
- 5.44 Therefore, it was concluded that the Warwick Canalside DPD will not have adverse effects, alone or in combination with other plans and projects, on the integrity of the internationally designated site Severn Estuary SPA/SAC/Ramsar. The major project of HS2 could interact with the DPD. It is explained in the document that only a very small section of the canal on the edge of the district in a rural area would be affected by the new high speed railway. At the time of writing, HS2 has been put on hold for 5 years such that

---

<sup>46</sup> <https://sac.jncc.gov.uk/site/UK0013030>

<sup>47</sup> <http://archive.jncc.gov.uk/pdf/SPA/UK9015022.pdf>

<sup>48</sup> <http://archive.jncc.gov.uk/pdf/RIS/UK11081.pdf>

<sup>49</sup> <https://environment.data.gov.uk/catchment-planning/RiverBasinDistrict/9>

its progress is uncertain at this stage. Mitigation measures are provided through the Local Plan and DPD Policies.

### **SA of Implementing the Warwick Canalside DPD**

- 5.45 Overall, the Canalside DPD is likely to have positive effects for housing and communities. Strong policies are in place to protect and enhance environmental and historic resources and assets with at least effects mitigated to neutral with some enhancements indicating positive effects. For example, the requirements for biodiversity, green infrastructure and landscape/townscape will have positive effects that could be synergistic and cumulative in the longer term.
- 5.46 The DPD recognises likely future business needs, enabling regeneration and new residential development on underused industrial estates that will also facilitate improved accessibility. This is likely to have wider and synergistic effects on sustainable transport and health and well-being through increased safe use.
- 5.47 The DPD helps to resolve existing sustainability problems, for example, the poor access to the canal in certain urban areas and the concerns over crime and anti-social behaviour. Requirements in the DPD to improve access and the canal pathway, and for design/layout to provide surveillance will help reduce problems regarding safety and crime or fear of crime. These positive effects are likely to extend beyond the environs of the canals and development site areas. The approach of developing previously used land has major positive effects for the effective use of land.

## 6.0 MONITORING

- 6.1 The SEA Directive and Regulations require that the significant effects (positive and negative) of implementing the plan should be monitored in order to identify at an early stage any unforeseen effects and to be able to take appropriate remedial action. Government guidance<sup>50</sup> on SA/SEA advises that existing monitoring arrangements should be used where possible in order to avoid duplication. Government requires local planning authorities to produce Monitoring Reports (MRs), and the Warwick District Council Monitoring Report (produced annually)<sup>51</sup> is considered sufficient to ensure appropriate monitoring takes place.

---

<sup>50</sup> <https://www.gov.uk/guidance/strategic-environmental-assessment-and-sustainability-appraisal>

<sup>51</sup> [https://www.warwickdc.gov.uk/info/20376/planning\\_policy/270/monitoring\\_reports](https://www.warwickdc.gov.uk/info/20376/planning_policy/270/monitoring_reports)

## 7.0 CONCLUSIONS, CONSULTATION & NEXT STEPS

- 7.1 The SA has been undertaken according to good practice and in line with Government requirements and guidance. It is aligned with the SA of the adopted Local Plan, following the same methods and approach, and is proportionate - acknowledging the hierarchy of plan-making and the tiering of assessments processes. Overall, the SA has found that the implementation of the Warwick Canalside DPD will have positive effects; mitigation measures for any potential negative effects on the natural and historic environments are provided through policies in the DPD and the Local Plan.
- 7.2 A pragmatic and proportionate HRA screening and appropriate assessment was undertaken to demonstrate that the HRA had been considered in line with recent changes to Government guidance. Whilst unlikely, there is the potential for environmental pathways through the canal and river systems for adverse effects on the internationally protected Severn Estuary and linked land and water. It was demonstrated that there is embedded mitigation through Local Plan and DPD Policies such that there will be no significant effects on the designated Severn Estuary, alone or in-combination with other plans and projects.
- 7.3 This document reports the SA and HRA processes for the Warwick Canalside DPD and is submitted for public consultation alongside the Draft DPD. Any comments on the SA report will be taken into account at the next stage of planning. The DPD will be submitted to the Secretary of State for independent examination by a Planning Inspector.
- 7.4 Any comments on this SA Report should be sent to:

[https://www.warwickdc.gov.uk/info/20376/planning\\_policy](https://www.warwickdc.gov.uk/info/20376/planning_policy)

## APPENDICES

- I Statement of Compliance with the SEA Directive & Regulations**
- II SA of Site-Specific Policies CS9-CS11**

## Appendix I: Statement on Compliance with SEA Directive & Regulations

The EU SEA Directive (Annex 1) requires certain information to be provided in the Environmental Report. This requirement is implemented into UK legislation through the SEA Regulations (2004). This is Appendix 1 of the Environmental Report as required by the SEA Directive and the UK SEA Regulations. This Appendix 1 sets out how the requirements for SEA have been met and signposts where this information is found in the Sustainability Report (September 2019) - and in accordance with paragraph 32 of the National Planning Policy Framework (revised 2018).

SEA Directive & Regulation Requirements	SEA Report Section	Summary of Contents
<i>An outline of the contents, main objectives of the plan and relationship with other relevant plans</i>	Section 1 Introduction	Sets out the contents and purpose of the Draft Canalside DPD
	Section 3 Context & Baseline	Outlines context, baseline & including the relationship with other relevant plans; also signposts links with the WDC Local Plan & SA/SEA Scoping (2014)
<i>The relevant aspects of the current state of the environment and the likely evolution thereof without the implementation of the plan</i>	Section 3 Context & Baseline	Summarises the relevant baseline conditions for environmental/sustainability aspects in the WDC & canalside area, and likely evolution without the DPD
<i>The environmental characteristics of the area likely to be affected</i>	Section 3 Context & Baseline	Summarised in Section 3 of SA Report
<i>Any existing environmental problems which are relevant to the plan including, in particular, those in relation to any areas of a particular environmental importance</i>	Section 3 Context & Baseline	Summarises existing environmental & sustainability issues/problems for the WDC canalside area
<i>The environmental protection objectives relevant to the plan and the way those objectives and any environmental considerations have been taken into account during its preparation</i>	Section 2 SA Methods Section 3 Context & Baseline	Detailed SA Framework guiding assessment of effects against the Objectives – same as in the SA/SEA for the Local Plan.
<i>The likely significant effects on the environment including on issues such as biodiversity, population, human health, fauna, flora, soil, water, air, climatic</i>	Section 2 SA Methods Table 2.1	Presents the SA Framework of objectives that shows the issues listed by the SEA Regulations that are progressed by which SA objective. The draft DPD was assessed against SA objectives by themes to avoid

SEA Directive & Regulation Requirements	SEA Report Section	Summary of Contents
<i>factors, material assets, cultural heritage including architectural and archaeological heritage, landscape and the interrelationship between the above factors. These effects should include secondary, cumulative, synergistic, short, medium and long-term permanent and temporary, positive and negative effects</i>		duplication and address inter-relationships.
	Section 5 Appendix II	Describes the likely significant effects of implementing the Draft DPD.  Where possible, an indication is given of whether the effect is likely to be cumulative, short, medium and long term.
<i>The measures envisaged to prevent, reduce and as fully as possible offset any significant adverse effects on the environment of implementing the plan</i>	Section 5	No significant negative effects were predicted; the SA noted where the Local Plan provided mitigation measures through Policies.
<i>An outline of the reasons for selecting the alternatives dealt with, and a description of how the assessment was undertaken including any difficulties encountered in compiling the required information</i>	Section 2 Section 4 table 4.1	There are no other reasonable alternatives to the DPD; site options detailed in Table 4.1. The do-nothing scenario is this is explained in section 2.
	Section 2 Method	Outlines how the assessment was undertaken.
<i>A description of the measures envisaged concerning monitoring</i>	Section 6	Outlines measures proposed for monitoring the environmental effects of the implementation of the Draft WNP.
<i>A non-technical summary of the information provided under the above headings</i>	Report preface	Provides a non-technical summary.

## Warwick Canalside DPD: Sustainability Appraisal

### Appendix II SA of Site-Specific Policies

Policy CS9: Further Redevelopment of Sydenham Industrial Estate for Residential Use																
SA Objectives	Economy	Sustainable transport	Reduce need to travel	Waste & Recycling	Prudent use of land & natural resources	Natural environment & landscape	Safe & High-Quality Built environment	Historic environment	Air, water & soil quality	Climate change mitigation	Climate change adaptation - flood risk	Housing needs	Local services & community facilities	Health & well being	Poverty & social exclusion	Crime
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16
Appraisal Summary	=	+	+	+	+	+	+	+	=	+	=	+	=	+	+	+
<p><b>Commentary:</b></p> <p>The Industrial Estate has already seen rationalisation and been partly redeveloped along the canal and Sydenham Drive boundaries for new housing. The review of industrial estates undertaken to inform the Local Plan found that this estate no longer reflects the requirements of many businesses as explained in Local Plan Policy DS8 Employment Land. Employment land to meet needs is allocated in Policy DS9 and guided through Policy EC1 Directing New Employment Development and Policy EC3 Protecting Employment Land &amp; Buildings. Therefore, there are no significant effects through loss of this industrial estate land on employment and neutral effects for SA No 1.</p> <p>The estate area is well located for sustainable transport within the urban area of Sydenham/Leamington Spa, close to bus stops and the railway station; provision of housing within an area close to services and facilities and sustainable transport is likely to reduce the need to travel and to help reduce congestion elsewhere but some uncertainty – minor positive effects for SA Nos 2 &amp; 3. All new development can reduce waste &amp; increase recycling in accordance with other LP Policies – neutral effects.</p> <p>Reuse of previously developed land has major positive effects for prudent use of land and resources, reducing loss of greenfield or agricultural land.</p> <p>Local Plan Policy NE3 Biodiversity requires new development to lead to no net loss and where possible a net gain; DPD Policy CS4 requires protection and enhancement of the canal green corridor – all with positive effects for biodiversity that could be synergistic and cumulative in the longer term.</p>																

Proposals must comply with LP Policy BE1 Layout & Design and DPD Policy CS1 that requires new development to be of an appropriate scale, height, form and massing, utilising appropriate materials and details; and reflect, respect and reinforce local architectural and historical distinctiveness, particularly where sites fall within the Canal Conservation Area. New and redevelopments will build upon the character and identity of the area providing enhancements and aligned with the Council's Residential Design Guide with positive effects for landscape/townscape for SA Nos 6 & 7, including frontages that provide surveillance, increase security and reduce fear of crime – thus helping to resolve an existing sustainability problem for safety & fear of crime with positive effects for SA No 16 to reduce crime, fear of crime, and anti-social behaviour.

The historic environment is protected through LP Policies HE1-4 and DPD Policy CS1 requires new development to respect and reinforce the local historical distinctiveness indicating at least neutral effects but likely positive effects through regeneration, enhancement of the built environment; further mitigation is provided through DPD CS3 requiring an archaeological assessment – overall likely positive effects. The nearest listed buildings are some 150m distance<sup>52</sup> to the north on St Mary's Road.

LP Policy NE5 Protection of Natural Resources requires that new development should not give rise to air, or water pollution, indicating neutral effects for SA No 9.

New development must comply with LP Policies CC1-2 on climate change adaptation including sustainable construction, multifunctional green infrastructure, and water efficiency (also Policy FW3) - with minor positive effects that will be cumulative in the longer term. DPD Policy CS5 requires that canals should be recognised as a potential renewable energy resource. All development must also comply with LP Policy FW1 Reducing Flood Risk indicating at least neutral effects; reinforced by DPD Policy CS1 that requires there should be no increase in the risk of flooding.

Provision of housing will have positive effects for SA No 12. Policy CS9 requires provision of 100% low cost housing as a mix of affordable rented, private low cost and shared ownership units according to the current housing need in the area – and this will contribute to positive effects for SA No 15 aiming to reduce poverty and social exclusion.

DPD Policy CS1 requires new or improved safe access to the canal; this is reinforced by DPD Policy CS9 that requires any existing access to the canal to be maintained and improved with new public access, where possible – all contributing to enhanced access to the community asset of the canal with positive effects for SA No 13.

Provision of good quality housing will contribute to health and wellbeing; enhanced access to the canal for walking, cycling and other leisure or reflective activities will all encourage a healthier lifestyle and contribute to positive effects for health & wellbeing and SA No 14.

---

<sup>52</sup> Measured approximately through Defra Magic mapping <https://magic.defra.gov.uk/MagicMap.aspx>

**Policy CS10: Industrial Estate at Millers Road/Cape Road, Warwick – new residential & retention of some employment**

SA Objectives	Economy	Sustainable transport	Reduce need to travel	Waste & Recycling	Prudent use of land & natural resources	Natural environment & landscape	Safe & High-Quality Built environment	Historic environment	Air, water & soil quality	Climate change mitigation	Climate change adaptation - flood risk	Housing needs	Local services & community facilities	Health & well being	Poverty & social exclusion	Crime
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16
<b>Appraisal Summary</b>	=	+ ?	+	=	++	+ +	+	=	=	+	=	+	=	+	+	+

**Commentary:**

The supporting text explains that this potential site at Millers Road/Cape Road will only come forward when demand falls off for the industrial units and only likely when they are no longer fit for purpose. Therefore, rationalisation will be required before redevelopment to ensure that the area is considered in a holistic way. Employment land to meet needs is allocated in Policy DS9 and guided through Policy EC1 Directing New employment Development and Policy EC3 Protecting employment Land & Buildings. Therefore, there are no significant effects through loss of this industrial estate land on employment and neutral effects for SA No 1.

The estate area is well located for sustainable transport within the urban area of Warwick, close to bus stops and about 1.5 km<sup>53</sup> walk to the railway station Warwick Parkway; provision of housing within an area close to services and facilities and sustainable transport is likely to reduce the need to travel and to help reduce congestion elsewhere but some uncertainty – minor positive effects for SA Nos 2 & 3. All new development can reduce waste & increase recycling in accordance with other LP Policies – neutral effects.

Reuse of previously developed land has major positive effects for prudent use of land and resources, reducing loss of greenfield or agricultural land.

Local Plan Policy NE3 Biodiversity requires new development to lead to no net loss and where possible a net gain; DPD Policy CS4 requires protection and enhancement of the canal green corridor – all with positive effects for biodiversity that could be synergistic and cumulative in the longer term. DPD Policy CS10 requires provision of an area of green space immediately adjacent to the canal for biodiversity and trees/shrubs – contributing to the green infrastructure network with potential for major positive effects.

<sup>53</sup> Measured approximately through google maps <https://www.google.com/maps/>

Proposals must comply with LP Policy BE1 Layout & Design and DPD Policy CS1 that requires new development to be of an appropriate scale, height, form and massing, utilising appropriate materials and details; and reflect, respect and reinforce local architectural and historical distinctiveness, particularly where sites fall within the Canal Conservation Area. New and redevelopments will build upon the character and identity of the area providing enhancements and aligned with the Council's Residential Design Guide through CS1 with positive effects for landscape/townscape for SA Nos 6 & 7.

The historic environment is protected through LP Policies HE1-4 and DPD Policy CS1 requires new development to respect and reinforce the local historical distinctiveness indicating at least neutral effects but likely positive effects through regeneration, enhancement of the built environment. There are no Listed buildings in the vicinity and the nearest Scheduled Monument is St Sepulchre's Priory some 1.5 km to the south - overall likely neutral effects.

LP Policy NE5 Protection of Natural Resources requires that new development should not give rise to air, or water pollution, indicating neutral effects for SA No 9.

New development must comply with LP Policies CC1-2 on climate change adaptation including sustainable construction, multifunctional green infrastructure, and water efficiency (also Policy FW3) - with minor positive effects that will be cumulative in the longer term. DPD Policy CS5 requires that canals should be recognised as a potential renewable energy resource. All development must also comply with LP Policy FW1 Reducing Flood Risk indicating at least neutral effects; reinforced by DPD Policy CS1 that requires there should be no increase in the risk of flooding.

Provision of housing will have positive effects for SA No 12. Policy CS10 requires at least the minimum percentage (40%) of affordable homes – and this will contribute to positive effects for SA No 15 aiming to reduce poverty and social exclusion.

DPD Policy CS1 requires new or improved safe access to the canal; this is reinforced by DPD Policy CS10 that requires an open access to the canal to be maintained with new public access in suitable locations – all contributing to enhanced access to the community asset of the canal with positive effects for SA No 13.

Provision of good quality housing will contribute to health and wellbeing; enhanced access to the canal for walking, cycling and other leisure or reflective activities will all encourage a healthier lifestyle and contribute to positive effects for health & wellbeing and SA No 14.

It is understood that there are no known particular problems associated with this estate and therefore neutral effects for SA No 16 to reduce crime, fear of crime, and anti-social behaviour. Nonetheless, the new residential development will provide surveillance and likely improvements in safety with some positive effects but uncertainty of significance at this stage.

**Policy CS11: Potential Residential Development of former School at Montague Road, Warwick**

SA Objectives	Economy	Sustainable transport	Reduce need to travel	Waste & Recycling	Prudent use of land & natural resources	Natural environment & landscape	Safe & High-Quality Built environment	Historic environment	Air, water & soil quality	Climate change mitigation	Climate change adaptation - flood risk	Housing needs	Local services & community facilities	Health & well being	Poverty & social exclusion	Crime
	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16
<b>Appraisal Summary</b>	=	+ ?	+	=	++	+ +	+	+	=	+	=	+	=	+	+	+

**Commentary:**

The proposed area does not include any extant employment units and neutral effects for SA No 1.

The area is well located for sustainable transport within the urban area of Warwick, close to bus stops and some 600m distance<sup>54</sup> from the Warwick railway station; provision of housing within an area close to services and facilities and sustainable transport is likely to reduce the need to travel and to help reduce congestion elsewhere but some uncertainty – minor positive effects for SA Nos 2 & 3. All new development can reduce waste & increase recycling in accordance with other LP Policies – neutral effects.

Reuse of previously developed land has major positive effects for prudent use of land and resources, reducing loss of greenfield or agricultural land. It is noted that the DPD draws attention to recent proposals where contamination of the previously used land has been raised as an issue. DPD Policy CS11 requires that any identified contamination should be dealt with to the satisfaction of the Council's environmental health officer and an environmental statement should be submitted with any planning application – providing mitigation measures to resolve any potential negative effects.

Local Plan Policy NE3 Biodiversity requires new development to lead to no net loss and where possible a net gain; DPD Policy CS4 requires protection and enhancement of the canal green corridor – all with positive effects for biodiversity that could be synergistic and cumulative in the longer term. DPD Policy CS11 requires provision of a green space as a linear park from the Coventry Road Bridge alongside the canal indicating further positive effects for biodiversity and the green infrastructure network.

<sup>54</sup> Measured approximately through google maps <https://www.google.com/maps/>

Proposals must comply with LP Policy BE1 Layout & Design and DPD Policy CS1 that requires new development to be of an appropriate scale, height, form and massing, utilising appropriate materials and details; and reflect, respect and reinforce local architectural and historical distinctiveness, particularly where sites fall within the Canal Conservation Area. New and redevelopments will build upon the character and identity of the area providing enhancements and aligned with the Council's Residential Design Guide through CS1 with positive effects for landscape/townscape for SA Nos 6 & 7.

The historic environment is protected through LP Policies HE1-4 and DPD Policy CS1 requires new development to respect and reinforce the local historical distinctiveness indicating at least neutral effects but likely positive effects through regeneration, enhancement of the built environment. The nearest listed building is Grade II Bridge House adjacent to the Coventry Road Bridge and redevelopment should enhance the setting of this building; other listed buildings are over 250m distance<sup>55</sup> to the south.

LP Policy NE5 Protection of Natural Resources requires that new development should not give rise to air, or water pollution, indicating neutral effects for SA No 9. It is noted that the DPD draws attention to recent proposals where air pollution has been raised as an issue and it is assumed that this relates to emissions from traffic, parking and any contamination from previous uses of the land. Any further proposals will need to comply the DPD CS2 Parking and the Warwick Air Quality SPD, indicating that there are mitigation measures in place to progress any effects towards neutral for air quality.

New development must comply with LP Policies CC1-2 on climate change adaptation including sustainable construction, multifunctional green infrastructure, and water efficiency (also Policy FW3) - with minor positive effects that will be cumulative in the longer term. DPD Policy CS5 requires that canals should be recognised as a potential renewable energy resource.

All development must also comply with LP Policy FW1 Reducing Flood Risk indicating at least neutral effects; reinforced by DPD Policy CS1 that requires there should be no increase in the risk of flooding.

Provision of housing will have positive effects for SA No 12. Policy CS11 does not specify any particular provision for low cost housing – and therefore, indicating neutral effects for SA No 15 aiming to reduce poverty and social exclusion. However, it is expected that the affordable housing provision will be met through the LP Policy specifying 40% on a site of the expected size of this development – therefore, positive effects for SA No 15.

DPD Policy CS1 requires new or improved safe access to the canal; this is reinforced by DPD Policy CS11 that requires easy access to the canal towpath from the Coventry Road Bridge and at a point along the frontage of the development next to the canal – all contributing to enhanced access to the community asset of the canal with positive effects for SA No 13.

Provision of good quality housing will contribute to health and wellbeing; enhanced access to the canal for walking, cycling and other leisure or reflective activities will all encourage a healthier lifestyle and contribute to positive effects for health & wellbeing and SA No 14.

---

<sup>55</sup> Measured approximately through Defra Magic mapping <https://magic.defra.gov.uk/MagicMap.aspx>

DPD Policy CS11 requires surveillance of the canal to be provided through the careful location of dwellings indicating positive effects for SA No 16 to reduce crime, fear of crime, and anti-social behaviour.

## NON-TECHNICAL SUMMARY (NTS)

This is the NTS of the Sustainability Appraisal (SA) Report

1. This is the NTS of the SA Report documenting the processes of Sustainability Appraisal (SA) incorporating Strategic Environmental Assessment (SEA) within an integrated appraisal for the draft Warwick District Canalside Development Plan Document (DPD). This summary is an integral part of the SA Report that accompanies the Regulation 19 Pre-Submission draft DLP for public consultation during October to November 2019. It provides an outline of the SA process and findings, including how the SA has influenced the development of the draft Plan, and in accordance with the requirements of the National Planning Policy Framework (NPPF), the European SEA Directive, and UK guidance on SA/SEA.

The Warwick Local Plan 2011-2029 & the Canalside Development Planning Document (DPD)

2. The overarching development plan document (DPD) for the Warwick District area is the Local Plan that was adopted in September 2017. The Local Plan set out a commitment to draft two DPDs for the District: Gypsy & Traveller DPD and Canal DPD. The Canal DPD will identify a new Conservation Area(s), consider how the canalside can be improved in relation to opportunity sites for new/redevelopment in the urban sections and consider issues around the canal environment throughout the district.
3. The Canalside DPD has been prepared in accordance with national planning requirements and informed by various technical studies, the Sustainability Appraisal, and consultation with key stakeholders. The DPD sets out the issues and opportunities for the canals and their immediate environs, together with a number of objectives. The DPD is structured into sections, as follows:
  - Background with relevant national & local policies; Neighbourhood Plans
  - The Extent of this DPD
  - Conservation Area
  - Context: The Grand Union canal; the Stratford upon Avon and Birmingham & Fazeley Canals
  - The History of Canals in Warwick District
  - How the Use of Canals has Changed
  - What has Happened Elsewhere?
  - Issues
  - Options & Identifying the Potential
  - Opportunity sites
  - Policies CS1-8 and Site-Specific CS9-CS11
  - Objectives

- Who is Involved?
- Appendices I Other Sties Analysis; 2 Listed Buildings; 3 Constraints

## Sustainability Appraisal (SA) and Habitats Regulations Assessment (HRA)

4. The purpose of Sustainability Appraisal is to promote sustainable development through the integration of environmental, social and economic considerations in the preparation of Local Plans. This requirement for SA is in accordance with planning legislation and paragraph 32 of the National Planning Policy Framework. Local Plans must also be subject to Regulations for Strategic Environmental Assessment (SEA) and Government advises that an integrated approach is taken so that the SA process incorporates the requirements for SEA – and to the same level of detail.
5. SA is an iterative and ongoing process that informs plan-making by assessing developing elements of the plan, evaluating and describing the likely significant effects of implementing the plan, and suggesting possibilities for mitigating significant adverse effects and enhancing positive effects. UK Guidance suggests a staged approach to SEA. Initially the scope of the SA is determined by establishing the baseline conditions and context of the area by considering other relevant plans and objectives, and by identifying issues, problems and opportunities. From this the scope of the SA is prepared and includes a SA Framework of objectives for sustainable development relevant to the Canalside area and which forms the basis against which the draft DPD is assessed.
6. Local Plan Documents must also be subject to Habitats Regulations Assessment (HRA). The Habitats Regulations (amended 2018) afford a high level of protection to sites in a network of internationally important sites designated for their ecological status. These sites comprise European Special Areas of Conservation (SACs) and Special Protection Areas (SPAs), and Ramsar sites. It is a requirement to consider if the plan is likely to have significant effects on any relevant designated site. HRA is a two staged process – screening and appropriate assessment (if significant adverse effects are screened as likely).

## Sustainability Characteristics of the Warwick Canalside Area & Likely Evolution without the DPD

7. The baseline characterisation of the Warwick District area was undertaken as part of the SA scoping stage in 2014 and updated as the SA progressed in line with the development of the Local Plan through to adoption in 2017. There are no internationally designated sites (SACs, SPAs or Ramsar) within a 15 km radius of the Warwick District area. There is no nationally designated landscape (AONB) but the landscapes in the District are valued for their scenic qualities, rich wildlife and cultural associations. Much of the rural areas through which the canals run is designated as Green Belt. The Leam Valley Local Nature Reserve (LNR) is located north of the Grand Union Canal and to the east of Leamington Spa. The Newbold Combyn Park LNR is to the south of

the Grand Union Canal to the east of Leamington Spa. There are various Local Wildlife Sites (LWSs) associated with the two canals and their canalsides.

8. The District has a rich historic and cultural heritage. One of the major outcomes of the assessment of the canals in developing the Canalside DPD was the designation of a new Canal Conservation Area in recognition of the special qualities and character of and interest in the canals and their immediate environs.
9. Air quality and traffic congestion, particularly in the main towns, are key issues. The Council has designated five air quality management areas (AQMAs) due to elevated annual average concentrations of nitrogen dioxide (NO<sub>2</sub>) in Warwick, **Leamington Spa and in Kenilworth. The Council's recent Air Quality SPD (January 2019) guides new development with regard to transport, air quality, energy and green infrastructure.**
10. There is a network of rivers, waterbodies and watercourses running through the District, including the two canals and the Warwickshire River Avon. The river runs north to south through the district and then feeds into the Severn Estuary towards the south-west. Water is abstracted from the canal system for both agriculture and commercial uses. The water levels need to be maintained for navigation and to support the multifunctionality of the water including biodiversity/green infrastructure, recreation/leisure & wellbeing, together with its contribution to climate change resilience and role in sustainable water management.
11. The rural parts of the district comprise mostly agricultural land quality Grades 3a & 3b. The canals run through the important cultural/historic urban areas of Warwick and Leamington Spa; the rest of the routes are through rural areas. The canals were built for transportation but fell out of use with the coming of the railways and then the road network. Some canalside areas had previous industrial uses and may have contaminated land.
12. Approximately 90% of the District's population live in the four main urban areas (Royal Leamington Spa, Warwick, Kenilworth and Whitnash) with the remaining 10% living in a number of relatively small villages. The population has grown from 124,000 in 2000 to around 140,000 in 2017. It is thought that there are only permanent residential moorings at the Saltisford Canal Arm in Warwick with 7 moorings. The canals are widely used for boating holidays and leisure use.
13. The District has a strong local economy, with a skilled population and higher than average levels of productivity and earnings compared with regional and national averages. However, the changing needs of business means that **some of the District's traditional industrial areas require regeneration.** The District's 40km of canal offer particular opportunities for recreation, regeneration and environmental improvement.

## Key Sustainability Issues, Problems and Opportunities

14. May be summarised, as follows:

- Degraded environment with dumping of litter/rubbish, vandalism with crime and the perception of crime, and poor visual and aesthetic quality – strong opportunities to regenerate and improve the local environments, including safety and improved access
- Vacant and underused buildings – opportunity to facilitate regeneration and reuse; maintain and repair significant buildings and historic assets
- Accessibility – canals provide important linear routes for walking and cycling for healthier living as well as routes for water-based transport; accessibility could be improved including for a wider cultural diversity
- Flooding and water resources – canals may be subject to flooding; the canals also provide water supplies to industry and agriculture, but levels need to be maintained to support navigation and wildlife. The canals also have a wider role in sustainable water management and climate change resilience.
- Green infrastructure – making linkages to networks and improvements with biodiversity gains for wildlife and people
- Increased boating use
- Pressures for overdevelopment at some sites
- High Speed 2

15. Without the Warwick Canalside DPD to guide and manage new development in an integrated and holistic way, issues for sustainable water management, degraded industrial areas that do not meet future business needs, poor accessibility, and continuing crime or fear of crime will continue with adverse effects on the use of the canals and environs for leisure, cultural and health activities. The DPD offers opportunities to update business needs at certain industrial estates, suggesting regeneration and new residential development with improved access and green infrastructure.

How has the Warwick Canalside DPD been assessed?

16. The SA Framework, together with the baseline information, comprised the basis for assessment, and is summarised in the following table:

SA Objective
1. To have a strong and stable economy
2. To enable a range of sustainable transport options
3. To reduce the need to travel
4. To reduce the generation of waste and increase recycling
5. To ensure the prudent use of land and natural resources

6. To protect and enhance the natural environment
7. To create and maintain safe, well-designed, high quality built environments
8. To protect and enhance the historic environment
9. To create good quality air, water and soils
10. To minimise the causes of climate change by reducing greenhouse gases and increasing the proportion of energy generated from renewable and low carbon sources
11. To adapt to the predicted impacts of climate change including flood risk
12. To meet the housing needs of the whole community (ensuring the provision of decent and affordable housing for all, of the right quantity, type, size and tenure)
13. To protect, enhance and improve accessibility to local services and community facilities
14. To improve health and well being
15. To reduce poverty and social exclusion
16. To reduce crime, fear of crime and antisocial behaviour

Categories of Significance		
Symbol	Meaning	Sustainability Effect
++	Major Positive	Proposed development encouraged as would resolve existing sustainability problem
+	Minor Positive	No sustainability constraints and proposed development acceptable
=	Neutral	Neutral effect
?	Uncertain	Uncertain or Unknown Effects
-	Minor Negative	Potential sustainability issues: mitigation and/or negotiation possible
--	Major Negative	Problematical & improbable because known sustainability issues; mitigation likely to be difficult and/or expensive
+	-	SA Objectives 2, 5, 6, 13 and 14 consider more than one topic & as a result there is the potential for different effects. For example, Objective 2 relates to encouraging the use of public transport, walking & cycling as well as reducing traffic congestion. Development could have a negative effect on traffic; however, it could also provide new cycle/walking routes with a positive effect – and thus, two symbols.

What reasonable alternatives have been considered & addressed?

17. The number and extent of reasonable alternatives to be considered through plan-making and the SA are limited. However, the development of the draft DPD has considered vacant or under-utilised land and/or opportunities for regeneration. Most of these were identified to be not yet available and therefore, not considered to be reasonable alternatives for the purposes of SA. The three site areas that had been identified in the Local Plan Policy DS17 are progressed further in the DPD and were subject to SA.

What are the likely significant effects of the draft DPD?  
How has the SA influenced the draft DPD?

18. Overall, the implementation of the guidance and policies presented in the draft DPD was found to have significant positive sustainability benefits for communities and housing. The DPD helps to resolve existing sustainability problems, for example, the poor access to the canal in certain urban areas and the concerns over crime and anti-social behaviour. Requirements in the DPD to improve access and the canal pathway, and for design/layout to provide surveillance will help reduce problems regarding safety and crime or fear of crime. These positive effects are likely to extend beyond the environs of the canals and development site areas. The approach of developing previously used land has major positive effects for the effective use of land.
19. The DPD recognises likely future business needs, enabling regeneration and new residential development on underused industrial estates that will also facilitate improved accessibility. This is likely to have wider and synergistic effects on sustainable transport and health and well-being through increased safe use. The SA did not make any suggestions for the draft DPD; the findings of the SA confirmed that the plan-making had identified the relevant issues and opportunities and had made provision through policies to mitigate any potential negative effects.

How could negative effects be mitigated?

20. Strong policies are in place to protect and enhance environmental and historic resources and assets with at least effects mitigated to neutral with some enhancements indicating positive effects. For example, the requirements for biodiversity, green infrastructure and landscape/townscape will have positive effects that could be synergistic and cumulative in the longer term.

Habitats Regulations Assessment (HRA)

21. The HRA was updated in consideration of recent significant changes to HRA practice in the UK. A pragmatic and proportional approach was taken and to clearly demonstrate due process in line with updated guidance. Since the DPD is focused on canals that are linked to other water systems, there could be the potential for environmental pathways. It was concluded that the Warwick Canalside DPD will not have adverse effects, alone or in combination with other plans and projects, on the integrity of the internationally designated protected site of the Severn Estuary.

Were there any difficulties encountered?

22. There were no significant technical difficulties encountered during the preparation of this SA. There are inherent difficulties in predicting the likely future baseline and assumptions were made using professional judgment.

## Consultation

23. The proposed scope of the SA was consulted on in early September 2019 with the statutory bodies (Historic England, Environment Agency, and Natural England). This SA Report accompanies the draft Warwick Canalside DPD for wider consultation with stakeholders and the public. Any comments received on the SA Report will be submitted with the draft DPD to the Secretary of State for independent examination later in 2019.

## Monitoring Proposals

24. Local planning authorities are required to produce Monitoring Reports (MRs) including indicators and targets against which the progress of the Plan can be assessed. There is also a requirement to monitor the predictions made in the SA and Government advises Councils to prepare a monitoring strategy that incorporates the needs of the two processes to make best use of shared information and resources. The Warwick monitoring strategy for the Local Plan is considered satisfactory for the requirements from the SA process.



<b>Title</b>	Supporting Leamington Town Centre	
<b>For further information about this report please contact</b>	Dave Barber Head of Development Services <a href="mailto:Dave.barber@warwickdc.gov.uk">Dave.barber@warwickdc.gov.uk</a>	
<b>Wards of the District directly affected</b>	All	
<b>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?</b>	No	
<b>Date and meeting when issue was last considered and relevant minute number</b>	N/A	
<b>Background Papers</b>	Future of the High Street Fund Bid 2019  Leamington Town Centre Vision and Strategy 2018	
<b>Contrary to the policy framework:</b>	No	
<b>Contrary to the budgetary framework:</b>	No	
<b>Key Decision?</b>	Yes	
<b>Included within the Forward Plan? (If yes include reference number)</b>	No	
<b>Equality Impact Assessment Undertaken</b>	No	
<b>Officer/Councillor Approval</b>		
<b>Officer Approval</b>	<b>Date</b>	<b>Name</b>
Chief Executive/Deputy Chief Executive	11/9/19	Bill Hunt
Head of Service	2/9/19	Dave Barber
Section 151 Officer	9/9/19	Mike Snow
Monitoring Officer	2/9/19	Andy Jones
Finance	9/9/19	Mike Snow
Portfolio Holder(s)	9/9/19	Cllr Alan Rhead
<b>Consultation &amp; Community Engagement</b>		
The Future of the High Street Fund Expression of Interest was subject to engagement with a range of key partners and received a number of letters of support from those partners. The Expression of Interest built upon the Leamington Town Centre Vision and Strategy which was subject to extensive partnership working, engagement and consultation during 2016 and 2017		

## 1. **Summary**

This report sets out proposals to supplement the seed funding agreed as part of the successful Future of the High Street Fund Bid through funding arrangements that will allow projects for Leamington Town Centre to be developed over a two-year period.

## 2. **Recommendations**

- 2.1 That members note that **Warwick District Council's Expression of Interest to the Future of the High Street Fund** for Leamington Town Centre has been successful and that specific projects for funding can now be developed. As part of this, members should note, that seed funding, expected to be in the region of £75,000, will be provided to support the development of specific proposals over the coming year that deliver the vision set out in the Expression of Interest (see appendix 1)
- 2.2 That the Executive agrees to underwrite funding to enable project proposals for Leamington Town Centre to be progressed over a two-year period, noting that **first year's** costs of up to £75,000 will be covered by the Future of the High Street Fund and that **funding of £75,000 for the second year's** costs will only be required if other sources of funding are not forthcoming.

## 3. **Reasons for Recommendations**

- 3.1 **Recommendation 2.1:** In March 2019, the Council made an Expression of Interest to the Future of the High Street Fund (FHSF). This is a Government fund which seeks to support the transformation of town centres in the context of changing consumer patterns and changing expectations about the role of Town Centres. Originally the total fund was for £675m, although in a recent announcement it has been confirmed that this has now been extended to £1bn.
- 3.2 The process for accessing the funds is in two stages:
  - The first stage is the Expression of Interest. At this stage town centres are assessed on the need for funding by looking at nature of the challenges the Town Centre faces and the strength of a shared vision for the future of the town centre. Essentially this stage is about the challenges faced by the Town Centre and the strength of the vision for addressing those challenges. It does not set out specific proposals or projects, nor does it request a specific sum of money. Warwick District Council made an Expression of Interest (EIO) for Leamington Town Centre in March 2019 and has had confirmation in August 2019 that this EIO has been one of approximately 100 that have been successful. This gives the green light to progress to the second stage.
  - The second stage will require specific proposals to be developed through to project plans and business cases. These will be assessed to allocate the £1bn fund to each Town Centre that was successful in the first stage. To help work up proposals, projects and business cases, Warwick District Council will be allocated some seed funding. At present we have not had confirmation as to how much this will be. It is expected that it will be at least £75,000, but could be as much as £150,000.

- 3.3 **Recommendation 2.2:** Working up proposals to ensure the Council is successful in attracting funds through stage 2 of the Future of the High Street Fund (FHSF) process will be a high priority. These proposals will need to:
- deliver the vision (summarised in Appendix 1)
  - be based on extensive engagement so that support for proposals is shared with our partners
  - be feasible and viable
  - tie in with other Council priorities.
- 3.4 The Council has been given some guidance on preparing Business Cases and will be provided with support from MHCLG over the coming months, with an inception meeting in October 2019. The guidance indicates the following timetable:
- Capacity and resource grant to be paid September 2019
  - Further business case guidance circulated September 2019
  - Commence inception meetings October 2019
  - Early draft business case submission 15 January 2020
  - Final business case submission date 30 April 2020
  - Successful bids announced Summer/autumn 2020
- 3.5 The key date in this is that the business case submission needs to be made by 30<sup>th</sup> April 2020. This is a tight timescale. Ahead of this it will be necessary to undertake stakeholder engagement to help us shape project proposals; work up detailed proposals; consider costs, delivery mechanisms, viability and sources of funding; and gain approval for specific business cases.
- 3.6 To achieve the work required within this timescale means the submission will need to be a high priority for the Council over the coming months. This will be time consuming and challenging work and will require extensive partnership work. The Council does not have the capacity to do this through existing staff resources, and indeed the government money provided for this stage implicitly recognises that new resources are likely to be needed. Therefore, part of the money that the Council will receive to prepare the stage 2 proposal will be utilised to bring in additional support either through recruiting to a post or by entering in to a contract with an experienced consultant.
- 3.4 Whilst the Council will be keen to ensure that any proposal aligns with a range of related ambitions and initiatives for the Town Centre, delivering a stage 2 proposal is likely to be the sole focus until April 2020 to ensure proposals that have a strong prospect of success.
- 3.5 However, officers consider that the FHSF bid should be a launch pad for a range of inter-related proposals for Leamington Town Centre. Recognising this, any proposals that are supported by the FHSF will form only **part of the Council's** ambitions for Leamington Town Centre and it is therefore important that resources are available beyond the submission of proposals for stage 2. In particular, there will be a need for ongoing engagement with stakeholders and coordination of projects and proposals as diverse as Bath Street Transport Improvements; Covent Garden Regeneration; the Creative Quarter; Air Quality Initiatives; Sustainable Transport Options; The Commonwealth Games; Revised Parking Strategy; Wayfinding and the Local Plan review. At this stage it is not possible to prioritise initiatives for inclusion in the FHSF bid, but what is clear is that whatever funding is agreed through the bid will be no more than a starting point for investment in the Town Centre.

- 3.6 At this stage, agreement only in principle is sought for the second year funding. The source of this funding is still to be finalised. It will be part of the remit of the postholder/consultant to identify possible sources of funding for the second year including the potential for further funding from the FHSF and other grants. However, if no external funding is available, the fall-back position will be for the Council to fund the second year. Recommendation 2.2 therefore seeks agreement for the Council to effectively underwrite the costs for the second year up to a total cost £75,000.

## 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
<b>External</b>		
<b>Health, Homes, Communities</b>	<b>Green, Clean, Safe</b>	<b>Infrastructure, Enterprise, Employment</b>
<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 Anti-Social Behaviour (ASB)	<u>Intended outcomes:</u> Dynamic and diverse local economy Vibrant town centres Improved performance/productivity of local economy Increased employment and income levels
<b>Impacts of Proposal</b>		
The proposals will support the transformation of Leamington Town Centre with a particular focus on being a hub for our communities and on health and wellbeing (particularly active lifestyles)	The proposals will support initiatives that seek to improve public spaces, address air quality issues and improve sustainable transport options	The proposals will support initiatives to improve the employment offer in Leamington Town Centre, with a focus on grow-on space. They will also support improve infrastructure, particularly relating to connectivity
<b>Internal</b>		
<b>Effective Staff</b>	<b>Maintain or Improve Services</b>	<b>Firm Financial Footing over the Longer Term</b>

<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 <b>customers' needs</b> 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
<b>Impacts of Proposal</b>		
The proposals will enable additional staff resources to support the delivery of corporate priorities	The needs of customers and partners will be at the heart of transformational proposals for the Town Centre	The proposals will seek to identify external funding that could be used to supplement any Council to deliver priorities for Leamington Town Centre

## 4.2 Supporting Strategies

The proposals in this report align with a range of strategies, including the emerging car parking strategy, the Local Plan (and any review of this), the Creative Quarter Big Picture.

## 5. Budgetary Framework

- 5.1 Recommendation 2.2 seeks agreement to underwrite up to £75,000. The cost will be spread across two financial years, 2020/21 and 2021/22. It is hoped that this cost will be resourced from external funding and will therefore have no direct impact on the Medium Term Financial Strategy. Possible sources of funding including the FHSF or other themed external grants. In the event that no external sources of funding are available, the Medium Term Financial Strategy will need to be adjusted for each of the two years (with the £75,000 costs being split more or less equally between the two years). Consideration of the potential funding of this £75,000 will need to be included within 2020/21 Budget report in February.
- 5.2 The successful Expression of Interest to the FHSF does not commit the national fund to providing any resources beyond the year 1 seed funding. However, if the Council is successful in its case for funding at stage 2, there is potential to attract millions of pounds worth of investment for the Town Centre. The amount of this is unknown at this stage. However, it should be noted the total national fund amounts to £1bn and that, to date, 100 Town Centre have been successful at the Expression of Interest stage. This could suggest that a typical grant from the fund would be in the region of £10m. One further point to note is that the FHSF should be seen as launch pad for investment. It is therefore possible that there will be projects which require further capital investment from the Council. If that is the case, these will be subject to separate business cases and consideration.

## **6. Risks**

- 6.1 There is a risk that there will be no alternative sources of funding for the second year's costs. **If this occurs, the costs will fall on the Council's Medium Term Financial Strategy.**
- 6.2 There is a risk that the wide range of potential priorities that could emerge from stakeholder engagement will significantly exceed available funding. This will therefore require careful prioritisation with associated risks that some stakeholders will feel alienated from the outcome.

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

- 7.1 An alternative option would be limit funding to 1 year only. This would have the advantage of being affordable within the seed funding allocated from FHSF. However, this option is not recommended principally because the FHSF initiatives should be seen as a starting point to encourage investment in other initiatives and as a result, funding for one year is likely to have only a limited impact. The work involved in the first year will inevitably require significant further work in future years and it is suggested that this should be recognised from the start.
- 7.2 Consideration has been given as to whether the additional capacity required to support this work should be through the establishment of a new post, through a contract with a consultant or a mixture of both. There are pros and cons of all these options and officers have been mindful of the need to gain momentum quickly; to retain expertise within the Council; to ensure initiatives are perceived in a spirit of cooperation at the same time as ensuring the Council demonstrates leadership; to ensure value for money and affordability; and to ensure the level of expertise and resilience delivers the outcomes needed. Taking these factors in to account, it is suggested that initially an internal recruitment exercise is undertaken to assess whether there are existing Council employees who could undertake this work and who could ensure early momentum. If this is unsuccessful, then consideration may be given recruiting an external consultant.

## Future of the High Street Fund: Vision for Leamington Town Centre

Leamington Spa has a distinct identity which we are seeking to build on to provide the town centre with a secure and vibrant future. This identity is rooted in our **creative and entrepreneurial** past; our heritage in **health, wellbeing and leisure**; and our **historic and green environment**. These themes provide the basis for our town centre vision, underpinned by six “Big Ideas”:

- A thriving town centre
- A connected town centre
- Places to meet
- Revealing Leamington’s waterways
- A Hub for Creativity
- Enhancing Old Town

These form the basis of the Leamington Town Centre Vision and Strategy (LTCVS - see appendix 1). Developed through collaboration, this seeks to mobilise local energy and creativity, recognising that change should address local needs through shared ambitions and a community-led approach to change.

### Our Businesses: creative and entrepreneurial

The innovation, energy and passion within the town centre underpins our ambition to put creativity at the heart of our vision. This relates not only to the people and businesses we wish to support, but also to how we deliver projects. Our vision builds on our entrepreneurial past. New trends and emerging opportunities require structural and environmental change to support businesses and inspire initiatives for creative industries and investment in leisure.

The LTCVS provides a strong foundation for this by supporting “**A Thriving Town Centre**” and “**A Hub for Creativity**”. The Council and its partners aim to deliver a resilient and adaptable town centre, investing in key sites along the north-south axis to regenerate run down and disconnected areas, endorsing the kind of uses we want to thrive in the future – particularly creative industries and leisure and wellbeing attractions.

Demonstrating our commitment to think big and be bold, we have established a delivery partner to bring forward proposals for a Creative Quarter. The Creative Quarter Big Picture supplements our town centre vision with tangible proposals. Our vision aims to develop imaginative, attractive buildings and spaces, enriching the character of the town for future generations.

### Our People: Health, Wellbeing and Happiness

Our riverside, gardens and historical spas inform our ambition to place health and wellbeing at the heart of our vision. Our proposals seek to reimagine this aspect the town’s heritage providing a hub for social interaction, healthy lifestyles and leisure. Historically people travelled to Leamington to get well. In response to the social, physical, mental health, fitness and isolation challenges facing our

community today, we will embed an ethos of health, wellbeing and caring into everything we do. This involves consolidating the town centre's rich retail, food and drink offerings, whilst also encouraging new social, leisure and recreation facilities, coupled with a mix of housing and employment.

Key to this is enhancing connectivity – physical, digital and social. **“A Connected Town Centre”** is about how people move through the town, but is equally about providing **“Places to Meet”** and interact, both key elements of the TCVS.

By supporting employment, providing affordable homes and welcoming visitors, the value of the town centre as a place to meet and enjoy cultural activities will be enhanced. Our vision will;

- improve digital connectivity, investing in digital networks and apps;
- enhance the rich range of events hosted in the town centre;
- provide meeting points for social interaction;
- improve public realm and physical connectivity;
- improve the environment, including tackling air pollution.
- encourage healthy, active lifestyles and improve medical services in the town

## **Our Place: Historic and Green Environment**

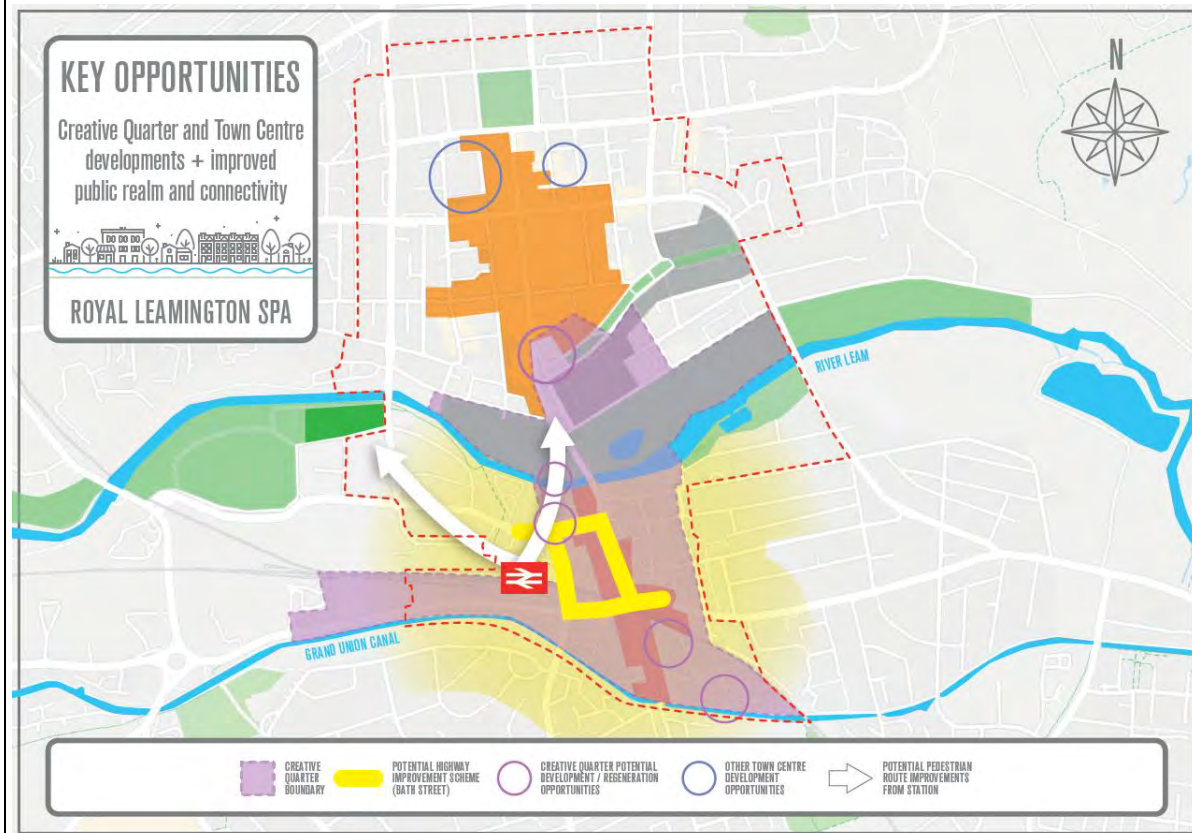
Leamington has a distinctive architectural heritage which is enhanced by a range of parks and gardens. Whilst this provides an enviable basis for a thriving future, it masks some significant structural issues around connectivity, poor air quality and pockets of environmental degradation (particularly around Old Town). These issues inhibit the potential of the Town Centre to thrive as a place to do business and for residents and visitors to enjoy. Our vision seeks to:


- improve connectivity to deliver a better **“Connected Town Centre”**,
- **“Reveal the Town's Waterways**
- **“Enhance Old Town”**, a focus for many environmental problems.
- reimagine the way people move so they can find places they want to visit, whilst pausing to enjoy the spaces between

This requires public realm investments and a visionary transport strategy, supporting modal shift and providing connections with surrounding areas.

We have a strong vision and commitment to deliver our ambitions. Map 5 below shows some opportunities associated with our vision. We now require the support and expertise of Future High Street Fund to refine and deliver proposals to make our vision a reality.

## Map



 <b>EXECUTIVE 3 OCTOBER 2019</b>		<b>Agenda Item No.</b>  <b>10a</b>
<b>Title</b>	Significant Business Risk Register	
<b>For further information about this report please contact</b>	Richard Barr Audit & Risk Manager Tel: 01926 456815 email: <a href="mailto:richard.barr@warwickdc.gov.uk">richard.barr@warwickdc.gov.uk</a>	
<b>Wards of the District directly affected</b>	All	
<b>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?</b>	No	
<b>Date and meeting when issue was last considered and relevant minute number</b>	10 July 2019 – Executive	
<b>Background Papers</b>	Minutes of Senior Management Team	
<b>Contrary to the policy framework:</b>	No	
<b>Contrary to the budgetary framework:</b>	No	
<b>Key Decision?</b>	No	
<b>Included within the Forward Plan? (If yes include reference number)</b>	No	
<b>Equality Impact Assessment Undertaken</b>	No (N/A: no direct service implications)	

Officer/Councillor Approval		
With regard to report approval all reports <u>must</u> be approved as follows		
Title	Date	Name
Chief Executive/Deputy Chief Executive	21 Aug 2019	Chris Elliott
Head of Service	21 Aug 2019	Mike Snow
CMT	21 Aug 2019	CMT
Section 151 Officer	21 Aug 2019	Mike Snow
Monitoring Officer	21 Aug 2019	Andrew Jones
Finance	21 Aug 2019	As S151 Officer
Portfolio Holder(s)	9 Sept 2019	Councillor Andrew Day
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 should note the emerging risks identified in section 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
<b>External</b>		
<b>Health, Homes, Communities</b>	<b>Green, Clean, Safe</b>	<b>Infrastructure, Enterprise, Employment</b>
<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.
<b>Impacts of Proposal</b>		
<p>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 need 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.</p> <p>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.</p>		

<b>Internal</b>		
<b>Effective Staff</b>	<b>Maintain or Improve Services</b>	<b>Firm Financial Footing over the Longer Term</b>
<u>Intended outcomes:</u> All staff are properly trained All staff have the appropriate tools	<u>Intended outcomes:</u> Focusing on our <b>customers' needs</b> Continuously improve our processes	<u>Intended outcomes:</u> Better return/use of our assets Full Cost accounting

All staff are engaged, empowered and supported The right people are in the right job with the right skills and right behaviours.	Increase the digital provision of services.	Continued cost management Maximise income earning opportunities Seek best value for money.
<b>Impacts of Proposal</b>		
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 but it should be noted that if the report on a Strategic Business Plan elsewhere on this Executive agenda is agreed then the SBRR may need to be amended to reflect the contents of that eventual Plan.

## 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 assessments of risk are judgemental, being 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. There is one movement since the last report. This **applies to Risk 7, the 'Risk of additional financial liabilities'**. In the light of the new Business Strategy 2019-2023 not yet being finalised, SMT felt it was prudent to raise the impact level from 4 to 5. This means that the risk is now in the red zone. Careful consideration will now be given as to how this risk can be reduced.

## 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.
- Brexit – already recognised as a **potential trigger to some of the Council's** existing risks, this issue 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, the implications **for the Council's risk** environment can be considered further.
  - Funding – the Government has started consultations around changes to the Business Rate Retention scheme by Local Government and the Fair Funding Review, with both these changes due to be effective from 2020/21. Depending on how these proposals develop, there may be a **substantial impact upon the Council's finances**.

### **Brexit**

- 10.2 The EU referendum result and the possible implications of Brexit have been included as a trigger within Risks 2, 3, 6, 7. As the country moves closer to the (revised) departure date there is concern as to what the Council ought to be considering by way of contingency planning for potential impacts on services

and the local community. That has been, and still is, difficult to do without knowing the nature of the basis for the country leaving the EU (written 5 June 2019).

10.3 One service issue that has already been identified relates to the potential need to set up a Port Health Authority for Coventry Airport. The extent and impact of this will depend on the detail and nature of the exit. By way of explanation, Coventry Airport is currently a postal hub and is not classed as a Border Inspection Post. However, the implications of the exit from Europe may require the establishment of a Port Health Authority in order to deliver the range of controls which are required. These could include inspection, monitoring and implementation of: insects and rodents on board aircraft, food and sanitation waste, imported food controls, noise, dust, water and air quality and civil contingency responsibilities.

10.4 Other actions being taken in respect of Brexit include:

- A sub-group of SMT is meeting weekly to review the impact of Brexit and actions required.
- SMT have agreed an Action Plan, to which all Heads of Service have contributed.
- Supply Chains are actively being considered. A new column has been included within the Contract Register for contract managers to comment on the potential impact of Brexit on the contract and the supplier.
- An event to inform EU citizens in the District of their settlement status was arranged for 19 March.
- Arranged for the use of the Government Funding awarded to Local Authorities to help prepare for Brexit (£35,000 over 2 years).
- Ongoing work for port health and imported food control. (The Council has received funding from the Food Standards agency –up to £28,000 in total will be paid upon conclusion of work and the delivery of a report to the FSA of our findings.)

10.5 There were two other significant actions that, for a period of time, were being undertaken:

- A lead officer was part of a weekly feed of issues up to government via a Local Authority regional representative and in turn is now receiving feedback from the government on various aspects of the proposed EU exit.
- A lead officer was party to a weekly telecom of the Warwickshire Local Resilience Forum (LRF).

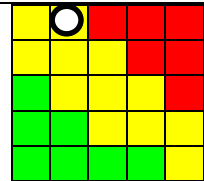
These have stopped now until further instruction is received from government. It is anticipated that they will be restarted nearer the time of departure from the EU (currently scheduled to be 31 October 2019).

### **Funding**

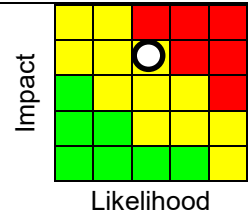
10.6 The Government has started consultations around changes to the Business Rate Retention scheme by Local Government and the Fair Funding Review, with both these changes due to be effective from 2020/21. Depending on how these proposals evolve, there may be a **substantial impact upon the Council's** finances. However, recent national government events may cause a delay to the reviews with consequent impacts on resource allocations for Local Government as a whole.

## Significant Business Risk Register

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
<b>Performance Management Risks</b>				
1. Fit for the Future Change Programme not managed appropriately/effectively.	<p>Poor organisational communication.</p> <p>Conflicting priorities and priorities increasing in number.</p> <p>Unable to dedicate appropriate resources due to the impact on existing services.</p> <p>Poor management.</p> <p>Ineffective use of project management or systems thinking.</p> <p>Lack of funding.</p> <p>Business Strategy <b>can't</b> be agreed due to no overall political control.</p>	<p>Reduced service levels.</p> <p>Non or reduced achievement of objectives.</p> <p>Adverse financial impacts.</p> <p>Reputational damage.</p> <p>Demoralised and de-motivated staff.</p>	<p>Project prioritisation. (SMT)</p> <p>SMT are Programme Board. (SMT)</p> <p>Fit for the Future change programme and associated governance arrangements. (SMT)</p> <p>Budget monitoring process. (HoF)</p> <p>Clear communications, Staff Focus Group. (SMT)</p> <p>People Strategy Action plan. (SMT)</p> <p>Strong leadership to ensure priorities are managed to a deliverable level. (SMT)</p> <p>Securing additional resources to support existing service provision. (CMT)</p> <p>Projects drawn up within RIBA framework. (SMT)</p> <p>FFF June 2018 report to Exec agreed further projects to include in the programme. (Further report went to 10 July 2019 Executive.)</p> <p>Agreement of Business Strategy. (Intention for draft Business Strategy to be in place by October 2019.)</p>	<p>Impact</p> <p>Likelihood</p>

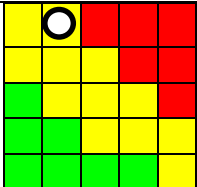
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
<b>Performance Management Risks (Cont.)</b>				
2. Risk of sustained service quality reduction.	<p>Shortage of staff resources and staff skills and knowledge.</p> <p>Staff skills and resources diverted to service redesign proposals as part of delivering Fit For the Future and other emerging corporate priorities.</p> <p>Cannot afford cost of maintaining service quality.</p> <p>Partners such as WCC make service cuts.</p> <p>Health pandemic.</p> <p>Contractor failure.</p> <p>Unplanned termination of contract by contractor.</p> <p>Housing numbers not achieved.</p> <p><b>Increase in Members' and Citizens' expectations.</b></p> <p>Greater demand on services from increases in the population as well as societal, technological and legislative changes.</p> <p><b>Changes in members' and citizens' expectations.</b></p>	<p>Poor customer service and reductions in income.</p> <p>Lack of direction with critical projects and services being compromised.</p> <p>Public lose confidence in <b>Council's ability to deliver.</b></p> <p>Demoralised and de-motivated staff.</p> <p>Additional costs attached to re-procuring contract, including legal fees.</p> <p>Loss of New Homes Bonus.</p>	<p>Effective Management of Change Programme. (CMT)</p> <p>Agreeing additional resources where service quality is reduced. (CMT)</p> <p>Strong leadership to manage priorities to a deliverable level. (SMT)</p> <p>Effective vacancy control. (SMT)</p> <p>Service Reviews. (SMT)</p> <p>Workforce Planning. (SMT)</p> <p>Launch of employee branding and recruitment package (July 2017) developed by Workforce Steering Group. (HR Manager)</p> <p>Effective contract management supported by appropriate legal support. (SMT)</p> <p>Enhanced Performance Management System. (SMT)</p> <p>Corporate Workforce Steering Group project completed in respect of salary review, and impact of National Living Wage. (HR Manager)</p> <p>Corporate Workforce Steering Group project ongoing in respect of Apprenticeships. (HR Manager)</p> <p>[Apprentices are being recruited on an ongoing basis.]</p> <p><b><del>Implement actions necessary from the new National Agreement regarding salaries. (HR Manager) Done.</del></b></p> <p><b>Ongoing identification of where pressure points are and development of action plans as part of the Business Strategy review.</b></p> <p>Outcome of work will feed into Business Strategy review.</p>	<p>Impact</p>  <p>Likelihood</p>

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
<b>Performance Management Risks (Cont.)</b>				
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. (SMT) Parent Company Guarantees being monitored. (SAMS) <b>[CreditSafe being used to help assess potential contractors and monitor existing ones.]</b>	<p>The matrix shows a risk level of 3 (Yellow circle) at the intersection of Impact 3 and Likelihood 3.</p>
<b>Corporate Governance Risks</b>				
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 that may lack relevant experience and/or knowledge of local government. Delays in making decisions due to no overall political control. <b>(Not materialising currently.)</b>	Breakdown in internal controls leading to: non-achievement of objectives; high volumes of staff, customer, and contractor fraud; and loss of reputation.	<b>Council's constitution.</b> (DCE(AJ)) <b>Council's strategies and policies,</b> 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)) Local Code of Corporate Governance adopted. (DCE(AJ)) CMT/Group Leaders meetings <b>(enabling all groups to be better briefed).</b>	<p>The matrix shows a risk level of 1 (White circle) at the intersection of Impact 4 and Likelihood 1.</p>

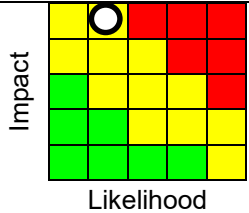
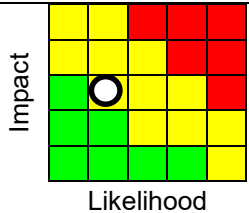
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
<b>Human Resources Risks</b>				
5. Risk of staff not developed effectively.	<p>Ineffective workforce strategies.</p> <p>Not managing staffing resources efficiently and effectively. (The gender pay gap report is evidence-based.)</p> <p>Possible insufficient training budget.</p>	<p>Disruption to Council services – staff cannot undertake level or volume of work to meet all priorities.</p> <p>Poor customer service.</p> <p><b>‘Industrial’ action.</b></p> <p>Unable to meet statutory requirements.</p> <p>The potential of staff is not fulfilled.</p>	<p>Link to People Strategy. (SMT)</p> <p>New Management Framework. (HR)</p> <p>Workforce planning through Service Area Plans. (SMT)</p> <p>Service Area Training Matrices in place to feed into Corporate Training Plan. (SMT/HR)</p> <p>Regular training budget reviews in Workforce Steering Group. (WSG)</p> <p>Appropriate use of external resources. (SMT)</p> <p>Learning &amp; Development Guide including Management programme. (WSG)</p> <p>To develop a response to the Gender Pay Gap Report. (SMT)</p>	

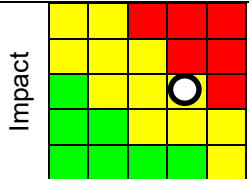
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
<b>Financial Management Risks</b>				
<p>6. Risk of insufficient finance to enable the council to meet its <b>service area plan</b> objectives (including insufficient reduction in operational costs).</p>	<p>Poor financial planning. Unexpected loss of income and/ or increase in expenditure. FFF Projects do not achieve sufficient savings. Reset of Revenue Grant. 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 National Living Wage) Housing numbers not achieved. Delay in fair funding review. Inability to agree suitable funding proposals to allow HQ relocation project to move to Phase 2 – project delivery. Inability to agree suitable funding proposals to allow the HQ relocation project to move to Stage 2 (delivery phase). Changes to funding proposals for existing schemes. <b>Climate Emergency Declaration.</b></p>	<p>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. Unable to meet statutory requirements. <b>Failure to deliver carbon-neutral objectives by 2025.</b></p>	<p>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) <b>Council's constitution.</b> (DCE(AJ)) Financial training. (HoF) Robust financial planning and a Medium Term Financial Plan that can accurately forecast income and expenditure. (HoF/SMT) Code of Financial Practice Training. (HoF) Plan in place to make savings as to meet the anticipated budget shortfall. (HoF/SMT) <b><del>New FFF change programme to be agreed by Members and Strategic Business Plan to be updated. (CMT)</del></b> <b><del>Aspirations aligned with Council to support delivery.</del></b> Ongoing monitoring and future reports of existing assumed savings – e.g. leisure programme, office move, terms &amp; conditions review. (SMT). <b><del>Update reports to Executive with recommendations on any changes to funding proposals for existing projects as appropriate.</del></b> Changes to funding proposals for existing projects. <b>Agreement of Business Strategy 2019-2023.</b> (Will need to identify that climate change objectives will generate additional costs.) <b>On-year funding review.</b> <b>Budget review paper.</b></p>	<div> <div>Impact</div> <div>Likelihood</div> </div>

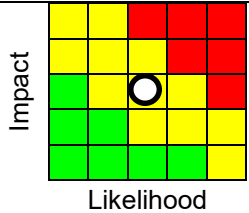
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
<b>Financial Management Risks (Cont.)</b>				
7. Risk of additional financial liabilities.	<p>Risk of revenue implications of capital schemes not being fully identified.</p> <p>Risk of loss or delay of capital receipts.</p> <p>Risk of increase in superannuation fund contributions.</p> <p>Uninsured loss.</p> <p>Risk of Medium Term Financial underestimating future revenue income and expenditure (including capital)</p> <p>Legal challenge e.g. relating to a planning development.</p>	<p>Greater level of savings to be sought.</p> <p>Forced to make sub-optimum and short term decision without proper planning.</p> <p>Reduced levels of service.</p> <p>Payment of compensation.</p> <p>Failure to deliver service.</p> <p>Contractual disputes.</p>	<p>Fit for the Future change programme. (CMT)</p> <p>Service Area and Project Risk Registers. (SMT)</p> <p>Project Management. (SMT)</p> <p><b>Development of Corporate Asset Management Strategy and an accompanying Action Plan covering all General Fund and HRA assets (scheduled for Sept October 2019). (ASG)</b></p> <p><b>Maintenance of a comprehensive asset database. (AM)</b></p> <p>More effective financial planning and scenario analysis. (HoF)</p> <p>Regular monitoring of Fit for the Future. (SMT)</p> <p>Legal advice on projects. (SMT)</p> <p>Projects drawn up within RIBA framework. (SMT)</p> <p>Reserves used to smooth impact of fluctuations in income. (HoF)</p>	<p>Risk impact changed after SMT review.</p>

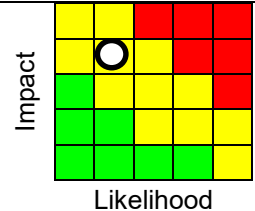
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
<b>Financial Management Risks (Cont.)</b>				
8. Risk of not investigating <b>obtaining</b> potential income sources.	Ineffective management. Complacency. Lack of resources to investigate. Other priorities.	More loss-making or subsidised services. Reduced income for the Housing Revenue Account that could compromise banking covenants.	<p>FFF Programme. (SMT)</p> <p>Effective fees and charges schemes. (HoF)</p> <p>Communications &amp; Marketing Strategy. (SMT)</p> <p>Regular reviews of financial forecasts to ensure income projections are up to date. (HoF)</p> <p>Secure additional resources to ensure existing services are not impacted as a result of a focus on FFF/corporate priorities. (HoF)</p> <p>Ongoing engagement with the CWLEP to ensure future funding opportunities are understood and assessed. (CMT)</p> <p>Engagement of external partner to assess <b>appropriate advice to enable</b> opportunities to remodel <b>the Council's non-operational asset base to be assessed.</b> (DCE(BH))</p> <p>DCN Income Generation and Commercialisation Review undertaken (HoF)</p> <p><b>Business Strategy 2019-2023</b></p> <p><b>Paper on External Funding Opportunities.</b></p>	 <p>Impact</p> <p>Likelihood</p>

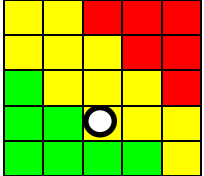
Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
<b>Procurement Risks</b>				
9. Risk of improper procurement practices and legislative requirements not being complied with.	Weak governance arrangements. Ineffective procurement. 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)	
<b>Partnership Risks</b>				
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.	Normal management arrangements. (SAMS SMT) Project Groups for significant services. (SMT) Involvement in and engagement with existing sub-regional partnerships such as CWLEP. (CMT)	

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
<b>Legal Risks</b>				
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. Lack of appropriate resources.	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) Implementation of <del>new</del> arrangements to deal with GDPRs. (DCE(AJ))/SMT)	 <p>Impact</p> <p>Likelihood</p>
<b>Information Management Risks</b>				
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 from various stakeholders.	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)) Monitoring of service plan and operational service reviews by SMT. (SMT)	 <p>Impact</p> <p>Likelihood</p>

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
<b>Information Management Risks (Cont.)</b>				
13. Risk of failure to protect information assets from malicious cyber attack.	<p>Lack of staff training and awareness.</p> <p>Poor or ineffective countermeasures.</p> <p>Ineffective incident response plans.</p> <p>Inadequate penetration testing regime.</p>	<p>Reputational damage.</p> <p>Lost productivity.</p> <p>Recovery costs.</p> <p>Potential fines (ICO).</p>	<p>CESG approved penetration tests. (DCE(AJ))</p> <p>Patch Management Policy. (DCE(AJ))</p> <p>Anti-malware software, plus next generation AV- Intercept X. (DCE(AJ))</p> <p>Anti-malware strategy. (DCE(AJ))</p> <p>Anti-malware risk log. (DCE(AJ))</p> <p>Incident Management Policy &amp; Procedure. (DCE(AJ))</p> <p>Major Virus Response Procedure. (DCE(AJ))</p> <p>Electronic Information Backup Policy. (DCE(AJ))</p> <p>Introduction of multiple file servers to reduce target exposure and to speed up recovery (DCE(AJ))</p> <p>Introduction of temporary web site in the event of a major outage, reducing reputational damage. (DCE (AJ)) (Risk Mitigation transferred to RISK 14.)</p> <p>e-learning solution (DCE (AJ)) [Training programme to be developed by Training Manager.]</p> <p>Next generation AV, including Intercepting Ransomware in place. (DCE(AJ))</p> <p>National Cyber security check now in place. (DCE(AJ))</p> <p><b>Implement Log Monitoring solution (DCE(AJ))</b> Installation of the software is complete. Final configuration scheduled for 7 March 2019. Waiting for further supplier proposals to complete the implementation</p> <p>Installation of Network Intrusion Detection/Intrusion Prevention solution.</p> <p><b>Transfer data to iCloud. (ICT)</b> Adoption of Cloud services and infrastructure as appropriate (For example, MS Office365)</p> <p>Actions are "opportunistic rather than planned" so not in bold.</p> <p><b>Participate in LRF Programme central government questionnaire. (ICT)</b></p>	<p>Impact</p>  <p>Likelihood</p>

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
<b>Asset Management Risks</b>				
14. Risk of failing to provide, protect and maintain Council-owned property (buildings and equipment).	<p>Poor management.</p> <p>Lack of finance.</p> <p>Ineffective asset management.</p> <p>Incomplete data on asset conditions.</p> <p>Lack of effective asset management planning.</p> <p>Insufficient resources to maintain assets.</p> <p>Inaction re multi-storey car parks.</p> <p>Failure of IT system.</p>	<p>Lack of a suitable and safe living or working environment for residents, staff and visitors.</p> <p>Sub optimum asset decisions that are poor value for money.</p> <p>Building closure.</p> <p>Closure of car parks with resultant loss of income.</p>	<p>Development of an Asset Strategy linked to Asset Database. (AM) <b>Amended to reflect two separate action points. See next two action points...</b></p> <p><b>Development of Corporate Asset Management Strategy and an accompanying Action Plan covering all General Fund and HRA assets (scheduled for Sept/October 2019). (ASG)</b></p> <p><b>Maintenance of a comprehensive asset database. (AM)</b></p> <p>Overall strategic decisions regarding Council's corporate and HRA assets managed by multi-disciplinary Asset Strategy Group – chaired by Deputy Chief Executive. (DCE(BH))</p> <p>Establishment of a corporate compliance and delivery group reporting to the Asset Strategy Group (AM)</p> <p><b>Improvements to be made to end-to-end systems to manage electrical testing, asbestos management fire safety, gas servicing and Legionella monitoring through the new Assets Team structure. (AM)</b></p> <p>Appropriate systems to manage electric testing, gas servicing, asbestos management and removals, legionella testing, fire risks and health and safety assessments across all Council assets (AM/HoCP)</p> <p>Remodelling of Housing Investment Programme based on HRA stock condition survey. (AM/DCE (BH)/HoH)</p> <p>Having sufficient reserves to be able to respond to unexpected issues. (HoF)</p> <p><b>Completion of the review of the relocation project and proposed redevelopment of the Covent Garden site following the Executive decision not to pursue any future projects through the LLP. (AM)</b></p> <p><b>Completion of review of the corporate asset planned maintenance programme's next 5-year tranche. (AM)</b></p> <p><b>Completion of the various elements of the Corporate Asset Management Strategy Action Plan (AM/HoH)</b></p> <p>Having appropriate structures to review compliance. (HoH&amp;CP)</p> <p>Fortnightly monitoring of multi-storey block improvement programme through Corporate Fire Safety Group (DCE(BH))</p> <p>Introduction of temporary web site in the event of a major outage, reducing reputational damage. (DCE (AJ))</p> <p>Financial planning for equipment and system renewal. (HoF)</p> <p>Mitigations set out in ICT Risk Register + debrief and action plan when problems have emerged.</p>	

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
<b>Emergency Response and Business Continuity Risks</b>				
15. Risk of a major incident not responded to effectively.	Numerous causes including loss of ICT facilities/data, loss of staff, absence of effective BCP.	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.	<p>Emergency plan reviewed every 6 months. (CMT)</p> <p>Business continuity plan reviewed every 6 months. (CMT)</p> <p>Ongoing training of councillors and <del>to</del> officers named in MEP. (HoH&amp;CP)</p> <p>Review of the MEP, named officers within MEP, associated SOPs. Gaps identification and appropriate updating. (HoH&amp;CP)</p> <p>Operational testing and exercising of the MEP and vulnerability responses within Warwickshire. (HoH&amp;CP)</p> <p>Safety Advisory groups of events held within the district &amp; command and control centres for major district events. (HoH&amp;CP)</p> <p>Review of business continuity plans for service areas. Council wide consolidation of the priorities contained within those plans. (HoH&amp;CP)</p> <p>ICT Business Continuity contract, inc. annual off-site rehearsal. (ICT)</p> <p>Perimeter network protection (Firewall, 2 Factor Authentication, Spam filter, Antivirus, etc.), including penetration testing. (ICT)</p> <p>Backup and recovery procedures. (ICT)</p> <p>Provision of Counter Terrorism training. (HoH&amp;CP)</p> <p><b>Implement Log Monitoring solution implemented. (DCE(AJ))</b></p> <p>Installation of Network Intrusion Detection/Intrusion Prevention solution.</p>	 <p>Impact</p> <p>Likelihood</p>

Risk Description	Possible Triggers	Possible Consequences	Risk Mitigation / Control / Future Action (in bold)	Residual Risk Rating
<b>Environmental Risks</b>				
16. Risk of climate change and environmental 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.	<p>Actions included in Sustainability Action Plan. (HoH&amp;CP) e.g. electric vehicles, agile working arrangements, recycling, plastics policy, etc.</p> <p><b>Agreement of Business Strategy 2019-2023 and delivery of Climate Change Action Plan</b> allowing members to determine extent of measures/projects to mitigate climate change and other environmental challenges that are to be included. (SMT)</p> <p><b>Procurement of professional consultancy support. (SMT)</b></p>	 <p>Impact</p> <p>Likelihood</p>

**Key:**

New narrative (since previous quarter)

Narrative transferred (since previous quarter)

Deleted narrative (since previous quarter)

Control/mitigation that had been, in previous quarter, recorded as an action.

Comment

○ = Current risk score

① ② etc = Previous risk scores

↑ → etc = trail (direction) of changes

AM	:	Assets Manager
CE	:	Chief Executive
CMT	:	Corporate Management Team
DCE(AJ)	:	Deputy Chief Executive and Monitoring Officer – Andrew Jones
DCE(BH)	:	Deputy Chief Executive – Bill Hunt
HoCS	:	Head of Cultural Services
HoDS	:	Head of Development Services
HoF	:	Head of Finance (and S151 Officer)
HoH	:	Head of Housing
HoH&CP	:	Head of Health & Community Protection
HoNS	:	Head of Neighbourhood Services
HR	:	Human Resources Manager
ICT	:	ICT Manager
SMT	:	Senior Management Team

## Summary of Significant Business Risks

## APPENDIX 2

Consequences ↓	Probability of Occurrence				
	Low	Low-Medium	Medium	Medium-High	High
High	<div>Risks 1, 2, 4, 6, 8 &amp; 11</div>		<div>Risk 7</div>		
Medium-High					
Medium	<div></div>	<div>Risk 15</div>	<div>Risks 3 &amp; 5</div>	<div></div>	
Low-Medium		<div>Risk 12</div>	<div>Risks 9 &amp; 14</div>		
Low		<div>Risk 16</div>		<div></div>	


## Methodology for assessing risk: Criteria for scoring residual risk rating

### Probability of Occurrence

Estimation	Description	Indicators
<b>5: High (Probable)</b>	Likely to occur each year (e.g. considered as more than 50% chance of occurrence in any year).	<ul style="list-style-type: none"> <li>Potential of it occurring several times within the specified period (for example - ten years).</li> <li>Has occurred recently.</li> </ul>
<b>4: Medium to High</b>	Apply judgement	Apply judgement
<b>3: Medium (Possible)</b>	Likely to occur during a 10 year period (considered as between 5% and 25% chance of occurrence in any year).	<ul style="list-style-type: none"> <li>Could occur more than once within the specified period (for example - ten years).</li> <li>Could be difficult to control due to some external influences.</li> <li>There's a history of occurrence</li> </ul>
<b>2: Low to Medium</b>	Apply judgement	Apply judgement
<b>1: Low (Remote)</b>	Not likely to occur in a 10 year period (considered as less than 2% chance of occurrence in any year).	<ul style="list-style-type: none"> <li>Has not occurred.</li> <li>Unlikely to occur.</li> </ul>

### Consequences

Estimation	Description
<b>5: High</b>	<ul style="list-style-type: none"> <li>Financial impact on the organisation is likely to exceed £500K</li> <li>Significant impact on the organisation's strategy or operational activities</li> <li>Significant stakeholder concern</li> </ul>
<b>4: Medium to High</b>	Apply judgement
<b>3: Medium</b>	<ul style="list-style-type: none"> <li>Financial impact on the organisation likely to be between £100K and £250K</li> <li>Moderate impact on the organisation's strategy or operational activities</li> <li>Moderate stakeholder concern</li> </ul>
<b>2: Low to Medium</b>	Apply judgement
<b>1: Low</b>	<ul style="list-style-type: none"> <li>Financial impact on the organisation likely to be less than £10K</li> <li>Low impact on the organisation's strategy or operational activities</li> <li>Low stakeholder concern</li> </ul>

 <b>Executive – 3<sup>rd</sup> October 2019</b>		<b>Agenda Item No.</b> <b>10b</b>
<b>Title</b>	Rural/Urban Capital Improvement Scheme (RUCIS) Application	
<b>For further information about this report please contact</b>	Jon Dawson Finance Administration Manager 01926 456204 email: jon.dawson@warwickdc.gov.uk	
<b>Wards of the District directly affected</b>	Whitnash	
<b>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?</b>	No	
<b>Date and meeting when issue was last considered and relevant minute number</b>	N/A	
<b>Background Papers</b>	RUCIS Scheme details. RUCIS Application file no. 246 to 247 correspondence with applicants.	

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

Officer/Councillor Approval		
Officer Approval	Date	Name
Chief Executive/Deputy Chief Executive	9.9.19	Chris Elliott
Head of Service	9.9.19	Mike Snow
CMT	9.9.19	Chris Elliot, Bill Hunt and Andy Jones
Section 151 Officer	9.9.19	Mike Snow
Monitoring Officer	9.9.19	Andy Jones
Finance	9.9.19	Mike Snow
Portfolio Holder(s)	9.9.19	Cllr Hales
Consultation & Community Engagement		
Community Partnership Team, Manoj Sonecha (Active Communities Officer), Stuart Winslow (Sports and Leisure Contract Manager), David Guilding (Arts Manager) and Chloe Johnson (Arts Collections and Engagement Manager); Copy of report forwarded 19 <sup>th</sup> August 2019.		
Final Decision?		Yes/No
Suggested next steps (if not final decision please set out below)		

## 1. Summary

- 1.1 This report provides details of a Rural/Urban Capital Improvement Scheme grant application by Whitnash Sports & Social Club Lawn Bowls Section to remove the existing wooden supports underneath the bowling green ditch edges which are rotting and replace with concrete edges.

## 2. Recommendation

- 2.1 It is recommended that the Executive approves a Rural/Urban Capital Improvement Grant from the rural cost centre budget for Whitnash Sports & Social Club Lawn Bowls Section of 80% of the total project costs to remove the existing wooden supports underneath the bowling green ditch edges which are rotting and replace with concrete edges, as detailed within paragraphs 1.1, 3.2 and 8, up to a maximum of £6,320 excluding vat subject to receipt of the following:
- o Written confirmation from Whitnash Town Council to approve a capital grant of £100 (if the application is declined or a reduced amount is offered the budget shortfall will be covered by Whitnash Sports & Social Club Lawn Bowls Section's cash reserves which have been evidenced through their annual accounts and the provision of a recent bank statement)

As supported by appendix 1.

## 3. Reasons for the Recommendation

- 3.1 The Council operates a scheme to award Capital Improvement Grants to organisations in rural and urban areas. The grants recommended are in **accordance with the Council's agreed scheme and will provide funding to help the projects progress.**
- 3.2 The project contributes **to the Council's** Fit for the Future Strategy; without the **Lawn Bowl's section of** Whitnash Sports & Social club there would be fewer opportunities for the community, in particular older members of the community, to enjoy and participate in sporting and social activities which could potentially result in an increase in anti-social behaviour, an increase in obesity **and disengage and weaken the community. If the project work isn't carried out** in the near future the bowling green may eventually become unusable which would then decrease opportunity for the community to enjoy and participate in sports and social activities.

## 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
<b>External</b>		
<b>Health, Homes, Communities</b>	<b>Green, Clean, Safe</b>	<b>Infrastructure, Enterprise, Employment</b>
<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
<b>Impacts of Proposal</b>		
All RUCIS applications are designed to encourage and support local communities and local not-for-profit organisations in developing cohesive and active communities.  The details behind this are set out in appendix 1.	Through the delivery of RUCIS grants the aim is to deliver cohesive and active communities which in turn help to support and maintain lower levels of crime and ASB.  The details behind this are set out in appendix 1.	N/A
<b>Internal</b>		
<b>Effective Staff</b>	<b>Maintain or Improve Services</b>	<b>Firm Financial Footing over the Longer Term</b>
<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 <b>customers' needs</b> 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
<b>Impacts of Proposal</b>		
N/A	N/A	N/A

- 4.2 Supporting Strategies; each strand of the FFF Strategy has several supporting strategies and but none are directly relevant in this case.
- 4.3 Changes to Existing Policies; there are no changes to existing policies.
- 4.4 Impact Assessments; there are no new or significant policy changes proposed in respect of Equalities.

## **5. Budgetary Framework**

- 5.1 The budget for the Rural/Urban Capital Improvement Scheme applications for 2019/20 is £150,000 (£75,000 for rural projects and £75,000 for urban projects).
- 5.2 There is £71,920 available to be allocated for Rural/Urban Capital Improvement Scheme Grants from the urban cost centre budget in 2019/20. If the application from Whitnash Sports & Social Club Lawn Bowls Section of 80% of the total project costs up to a maximum of £6,320 (excluding vat) is agreed, £65,600 will remain in the urban cost centre budget.
- 5.3 There is £45,000 available to be allocated for Rural/Urban Capital Improvement Scheme Grants from the rural cost centre budget in 2019/20.
- 5.4 There is £1,658 available to be allocated for Rural/Urban Capital Improvement Scheme Grants from project underspends which have occurred within this financial year.

As per appendix 2.

## **6. Risks**

- 6.1 There are no main risks for this proposal.

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

- 7.1 The Council has only a specific capital budget to provide grants of this nature and therefore there are no alternative sources of funding if the Council is to provide funding for Rural/Urban Capital Improvement Schemes.
- 7.2 Members may choose not to approve the grant funding, or to vary the amount awarded.

## **8. Background**

Whitnash Sports & Social Club Lawn Bowls Section has submitted a RUCIS application to remove the existing wooden supports underneath the bowling green ditch edges which are rotting and replace with concrete edges.

Projects of less than £10,000 overall costs fall within the Small Grants category of the RUCIS scheme which has a maximum contribution of up to 80% of the overall project costs; the project cost is £7,900 (excluding vat) and therefore qualifies to apply for a grant of up to 80%.

The application is therefore for 80% of the total project costs up to a maximum of £6,320 excluding vat.

Whitnash Sports & Social Club Lawn Bowls Section has committed £480 to the project costs from their cash reserves; these funds have been evidenced through their annual accounts and the provision of recent bank statements.

The main Whitnash Sports & Social Club has committed £1,000 to the project costs from their cash reserves; written confirmation has been received to evidence this.

Whitnash Sports & Social Club is vat registered (number; 272983521); they will be reclaiming vat in connection to this project therefore the award will be excluding vat.

An application has been made to Whitnash Town Council for a contribution of £100 towards this project and is now awaiting a decision.

Neither the main Whitnash Sports & Social Club nor the Lawn Bowls Section have previously received a RUCIS grant.

It is therefore recommended that the Executive approves an award of a Rural/Urban Capital Improvement grant to Whitnash Sports & Social Club Lawn Bowls Section of 80% of the total cost of the project excluding vat subject to a maximum of £6,320.

RURAL/URBAN CAPITAL IMPROVEMENT GRANTS APPLICATION FOR 3rd OCTOBER 2019 EXECUTIVE :

Applicant :	Whitnash Sports & Social Lawn Bowls Section		
Description of scheme:	The bowling green ditch edges which surround the actual green require upgrading; the very outer edge of the actual playing area needs to be supported, this is to stop the edges from breaking away when players are standing near the edge. Currently this is achieved by having wooden supports under the grass; these are now rotting and need replacing with concrete edges.		
Evidence of need:	Wooden supports under the grass are rotting and need replacing with concrete edges. In the places where the wood has rotted it has become very unstable and could break away at any time causing players to fall, possibly backwards on to the concrete slabs surrounding the green which is a serious health & safety issue. The project will resolve this issue; it is vital that the facilities are safe for members and visitors to use. The club are also expecting one of the international bowling teams to use their facilities during the Commonwealth Games, they have already had interest from the Australian national team after their match against England in June 2018; a well maintained and safe venue is needed for this.		
3 years accounts received?	2016 - 2018 accounts have been received along with recent bank statements for all accounts held (1st August 2019); this evidences sufficient cash reserves to meet the contribution stated on the application form.		
Financial Performance; minus figure = deficit	Year ended 31/12/18 £1,787	Year ended 31/12/17 -£824	Year ended 31/12/16 -£1,387
Available Funds ( cash and reserves )	Year ended 31/12/18 £3,284	Year ended 31/12/17 £1,471	Year ended 31/12/16 £2,297
Details of membership, fees etc:	<p>The lawn bowls section has 60 fully paid up members consisting of men, ladies and juniors with an average membership fee of £75 p.a. Each individual match is covered by a match fee (various match fees depending on the match), the club encourage junior members by charging a very minimal subscription. Membership fees are;</p> <ul style="list-style-type: none"><li>• New members with no bowling experience= free first year</li><li>• New members with bowling experience = half price first year of whichever category they fit into</li><li>• Over 80 with over 5 year’s bowls membership = free</li><li>• Over 65 = £75</li><li>• Full Adult Membership = £80</li><li>• Juniors in full time education = £20 (the club have agreed to reduce this to £10 this year to help encourage young people)</li></ul>		
Details of usage:	<p>The bowling green is used on a daily basis during the months April-October by their own members and also a number of visiting bowling clubs from the surrounding area. Touring sides from around the UK use their facilities, as did the Australian and England international teams last summer. The club currently has a membership of 60 people consisting of men, ladies, boys and girls. Over the course of the season the club would expect at least a minimum of 1,000 different individuals from their own membership and visitors playing a variety of different competitive matches. The club plays friendly matches on virtually every Saturday during the season on a home and away basis <b>this includes men’s &amp; ladies matches, they also play a number of mixed friendly games mid-week;</b> these are against other clubs from the area including Coventry and Stratford. The men's team play in two very competitive leagues; one is the Leamington Spa Courier league which is a played on a Wednesday afternoon, the other is the Monday 6 Coventry league which is played on a Monday evening. The ladies team play in the Stratford League, also friendly games most Saturdays and some week days. Also through the season the club has its own internal knock out competitions resulting in a full weekend of finals at the end of the season. The club hosted the last 16 mixed County matches on the 4th July 2019.</p>		
Details of Organisations equalities policies:	There is no formal equality policy, however, membership and the facilities are open to the whole community without prejudice and as a club they have Men’s, Ladies and Mixed teams.		
3 quotes provided:	Yes		
Which of the Council's Corporate Priorities are met?	Evidence		
Reduce anti-social behaviour	<p>The bowling green is used on a daily basis during the months April-October by both club members and also visitors from other bowling clubs from the surrounding area. In addition to this, touring sides from around the UK use their facilities, as did the Australian and England international teams last summer. The club currently has a membership of 60 people from across the community consisting of men, ladies, boys and girls; bowling provides an intergenerational opportunity that can be enjoyed by all ages. Over the course of the season the club would expect at least a minimum of 1,000 different individuals from their membership and visitors playing a variety of different competitive matches. The project will resolve current health &amp; safety issues and will ensure that the bowling green facility remains open for use. This all helps to reduce anti-social behaviour.</p>		

**Reducing obesity, particularly in children**

The bowling green is used on a daily basis during the months April-October by both club members and also visitors from other bowling clubs from the surrounding area. In addition to this, touring sides from around the UK use their facilities, as did the Australian and England international teams last summer. The club currently has a membership of 60 people from across the community consisting of men, ladies, boys and girls; bowling provides an intergenerational opportunity that can be enjoyed by all ages. Over the course of the season the club would expect at least a minimum of 1,000 different individuals from their membership and visitors playing a variety of different competitive matches. The project will resolve current health & safety issues and will ensure that the bowling green facility remains open for use. This all helps to reduce obesity including within children.

**Increase opportunities for everyone to enjoy and participate in sports, arts and cultural activities**

The project will resolve current health & safety issues around the bowling green which will ensure that this facility can remain open and be safely used by members and visiting teams. Without completing this work, the bowling green may eventually become unusable which would decrease opportunity for the community to enjoy and participate in sporting and social activity.

**Engaging and strengthening communities**

Lawn Bowls has a great heritage of social etiquette and brings together all walks of life; over the course of the season the club would expect at least a minimum of 1,000 different individuals from their membership and visitors playing a variety of different competitive matches including touring sides from around the UK. The club is also managed and run by a wide range of volunteers from the local community. This all helps to engage and strengthen the community.

<b>Total cost of scheme (including VAT where appropriate)</b>	£7,900	Excluding VAT - will be covered by cash reserves and then claimed back from HMRC
<b>Funded by:</b>	<b>Status</b>	
<b>Organisations Own Funds - Lawn Bowls Section</b>	£480	Approved
<b>Main Whitnash Sports &amp; Social Club</b>	£1,000	Approved
<b>Whitnash Town Council</b>	£100	Awaiting a decision
<b>Total RUCIS</b>	<b>£6,320</b>	
<b>equates to</b>	<b>80.0%</b>	

**RURAL/URBAN CAPITAL IMPROVEMENT SCHEME - 3rd OCTOBER 2019 EXECUTIVE****APPENDIX 2****Summary of Financial Impact of Approving Scheme**

<b>Scheme Description</b>	<b>RURAL</b>	<b>URBAN</b>	<b>UNDERSPENDS</b>	<b>TOTAL</b>
<u>Original 2019/20 Budget</u>	£75,000	£75,000	£0	£150,000
<u>3rd April 2019 Executive</u> Kenilworth Wardens Cricket Club		-£3,080		-£3,080
<u>21st August 2019 Executive</u> Lowsonford Village Hall	-£30,000			-£30,000
<u>Underspend within 2019/20 Financial Year</u> Canal and River Trust (RUCIS 218)			£1,500	£1,500
Avenue Bowls (RUCIS 242)			£158	£158
<b>Remaining Budget Sub-Total</b>	<b>£45,000</b>	<b>£71,920</b>	<b>£1,658</b>	<b>£118,578</b>
<u>3rd October 2019 Executive</u> Whitnash Sports & Social Club Lawn Bowls Section (proposed)		-£6,320		-£6,320
<b>Total Remaining 2019/20 Budget</b>	<b>£45,000</b>	<b>£65,600</b>	<b>£1,658</b>	<b>£112,258</b>