

CABINET – 24 JUNE 2019

A meeting of Cabinet will be held at 6.00pm on Monday 24 June 2019 in the Council Chamber, Town Hall, Rugby.

Adam Norburn
Executive Director

A G E N D A**PART 1 – PUBLIC BUSINESS**

1. Minutes.

To confirm the minutes of the meeting held on 3 June 2019.

2. Apologies.

To receive apologies for absence from the meeting.

3. Declarations of Interest.

To receive declarations of –

(a) non-pecuniary interests as defined by the Council's Code of Conduct for Councillors;

(b) pecuniary interests as defined by the Council's Code of Conduct for Councillors; and

(c) notice under Section 106 Local Government Finance Act 1992 – non-payment of Community Charge or Council Tax.

Note: Members are reminded that they should declare the existence and nature of their interests at the commencement of the meeting (or as soon as the interest becomes apparent). If that interest is a prejudicial interest, the Member must withdraw from the room unless one of the exceptions applies.

Membership of Warwickshire County Council or any Parish Council is classed as a non-pecuniary interest under the Code of Conduct. A Member does not need to declare this interest unless the Member chooses to speak on a matter relating to their membership. If the Member does not wish to speak on the matter, the Member may still vote on the matter without making a declaration.

4. Question Time.

Notice of questions from the public should be delivered in writing, by fax or e-mail to the Executive Director at least three clear working days prior to the meeting (no later than Tuesday 18 June 2019).

Growth and Investment Portfolio

5. Ryton-on-Dunsmore Neighbourhood Development Plan Regulation 16 Consultation and Regulation 17 Examination.
6. Willoughby Neighbourhood Development Plan Regulation 16 Consultation and Regulation 17 Examination.
7. Local Development Scheme.
8. Coton Park East Masterplan Supplementary Planning Document (SPD - Consultation).

Corporate Resources Portfolio

9. Finance and Performance Monitoring 2018/19 – Year End.

Communities and Homes Portfolio

10. Street Naming and Numbering Policy.

Environment and Public Realm Portfolio

Nothing to report to this meeting.

The following item contains reports which are to be considered en bloc subject to any Portfolio Holder requesting discussion of an individual report

11. Annual Report of the Corporate Assurance and Improvement Manager.
12. Treasury Management 2018/19 – Annual Report.
13. Members' Allowances 2018/19.
14. Motion to Exclude the Public under Section 100(A)(4) of the Local Government Act 1972.

To consider the following resolution:

“under Section 100(A)(4) of the Local Government Act 1972 the public be excluded from the meeting for the following item on the grounds that it involves the likely disclosure of information defined in paragraphs 1, 2 and 3 of Schedule 12A of the Act.”

PART 2 – EXEMPT INFORMATION

Growth and Investment Portfolio

1. Recruitment to the Economic Development function.

Corporate Resources Portfolio

Nothing to report to this meeting.

Communities and Homes Portfolio

Nothing to report to this meeting.

Environment and Public Realm Portfolio

Nothing to report to this meeting.

The following item contains reports which are to be considered en bloc subject to any Portfolio Holder requesting discussion of an individual report

2. Write Offs.

Any additional papers for this meeting can be accessed via the website.

The Reports of Officers (Ref. CAB 2019/20 – 2) are attached.

Membership of Cabinet:

Councillors Lowe (Chairman), Mrs Crane, Poole, Roberts, Ms Robbins and Mrs Simpson-Vince.

CALL- IN PROCEDURES

Publication of the decisions made at this meeting will normally be within three working days of the decision. Each decision will come into force at the expiry of five working days after its publication. This does not apply to decisions made to take immediate effect. Call-in procedures are set out in detail in Standing Order 15 of Part 3c of the Constitution.

If you have any general queries with regard to this agenda please contact Claire Waleczek, Democratic Services Team Leader (01788 533524 or e-mail claire.waleczek@rugby.gov.uk). Any specific queries concerning reports should be directed to the listed contact officer.

If you wish to attend the meeting and have any special requirements for access please contact the Democratic Services Officer named above.

AGENDA MANAGEMENT SHEET

Report Title: Ryton on Dunsmore Neighbourhood
Development Plan Regulation 16 Consultation
and Regulation 17 Examination

Name of Committee: Cabinet

Date of Meeting: 24 June 2019

Report Director: Head of Growth and Investment

Portfolio: Executive Director

Ward Relevance: Dunsmore

Prior Consultation: The Neighbourhood Development Plan Steering Group, under the direction of Ryton on Dunsmore Parish Council, carried out the pre-submission Regulation 14 consultation between 7th January and 18th February 2019. Rugby Borough Council have not carried out any prior consultation on this document.

Contact Officer: Development Strategy Team 3741

Public or Private: Public

Report Subject to Call-In: Yes

Report En-Bloc: No

Forward Plan: No

Corporate Priorities: This report relates to the following priority(ies):

(CR) Corporate Resources To provide excellent, value for money services and sustainable growth

(CH) Communities and Homes Achieve financial self-sufficiency by 2020

(EPR) Environment and Public Realm Enable our residents to live healthy, independent lives

(GI) Growth and Investment Optimise income and identify new revenue opportunities (CR)

Prioritise use of resources to meet changing customer needs and demands (CR)

Ensure that the council works efficiently and effectively (CR)

Ensure residents have a home that works for them and is affordable (CH)

Deliver digitally-enabled services that residents can access (CH)

- Understand our communities and enable people to take an active part in them (CH)
- Enhance our local, open spaces to make them places where people want to be (EPR)
- Continue to improve the efficiency of our waste and recycling services (EPR)
- Protect the public (EPR)
- Promote sustainable growth and economic prosperity (GI)
- Promote and grow Rugby's visitor economy with our partners (GI)
- Encourage healthy and active lifestyles to improve wellbeing within the borough (GI)

Statutory/Policy Background:

The Localism Act 2011.

The Neighbourhood Planning (General) (As Amended) Regulations 2012.

The Neighbourhood Planning (General) and Development Management Procedure (Amendment) Regulations 2016.

The Neighbourhood Planning Act 2017.

Summary:

Rugby Borough Council is satisfied that the Neighbourhood Development Plan and other documents submitted comply with the relevant requirements.

This report is seeking Cabinet approval for the Ryton on Dunsmore Neighbourhood Development Plan to be:

- a) publicised for the purposes of the Regulation 16 consultation; and
- b) submitted to the appointed Examiner for the Regulation 17 examination.

The Regulation 16 consultation is expected to run from Tuesday 25th June to Tuesday 6th August 2019, with the Regulation 17 examination following this.

Financial Implications:

Rugby Borough Council will have to cover the cost of the consultation, examination and, if it moves onto the final stage, the referendum.

Once a date for the referendum is set Rugby Borough Council can claim financial support in the form of £20,000 of central government funding to cover these costs.

Risk Management Implications: There are no risk management implications associated with this decision.

Environmental Implications: There are no environmental implications.

Legal Implications: There could be legal implications if Cabinet were not to follow the recommendation as this would mean the Local Planning Authority was not dealing with the Ryton on Dunsmore Neighbourhood Development Plan in line with The Neighbourhood Planning (General) (As Amended) Regulations 2012.

Equality and Diversity: There are no implications for equality and diversity. An Equality Impact Assessment has been completed to support this document this document has been appended to this Cabinet Report.

Options: Option One: Approve the Ryton on Dunsmore Neighbourhood Development Plan for the Regulation 16 consultation and the Regulation 17 examination.

Risks: There are no risks associated with this option.

Benefits: Consultation is required on the Neighbourhood Development Plan in order to progress the Neighbourhood Development Plan toward being adopted or 'made'.

Option Two: Do not approve the Ryton on Dunsmore Neighbourhood Development Plan for the Regulation 16 consultation and the Regulation 17 examination.

Risks: There could be legal implications if Cabinet were not to follow the recommendation as this would mean the Local Planning Authority was not dealing with the Ryton on Dunsmore Neighbourhood Development Plan in line with The Neighbourhood Planning (General) (As Amended) Regulations 2012.

Benefits: There are no benefits associated with this option.

Recommendation:

The Ryton on Dunsmore Neighbourhood Development Plan, as at Appendix 1 to the report, be approved, to be:

- a) publicised for the purposes of Regulation 16 consultation; and
- b) submitted to the appointed Examiner for the Regulation 17 examination.

Reasons for Recommendation:

To fulfill the legislative requirement and allow for the Ryton on Dunsmore Neighbourhood Development Plan to be consulted on and examined in line with The Neighbourhood Planning (General) (As Amended) Regulations 2012.

Cabinet - 24 June 2019

**Ryton on Dunsmore Neighbourhood Development Plan Regulation
16 Consultation and Regulation 17 Examination**

Public Report of the Executive Director

Recommendation

The Ryton on Dunsmore Neighbourhood Development Plan, as at Appendix 1 to the report, be approved, to be:

- a) publicised for the purposes of Regulation 16 consultation; and
- b) submitted to the appointed Examiner for the Regulation 17 examination.

1. Introduction

- 1.1. Ryton on Dunsmore Parish Council submitted their Neighbourhood Development Plan to Rugby Borough Council on 1st May 2019. Rugby Borough Council is now responsible for the next steps in the process namely further consultation, examination, the referendum and adoption.

2. Background

- 2.1. The Localism Act 2011 introduced Neighbourhood Planning, allowing Neighbourhood Areas to produce a Neighbourhood Development Plan which, once 'made', forms part of the Development Plan for the Borough and contains policies used to make planning decisions within the Neighbourhood Area.
- 2.2. The Neighbourhood Planning (General) (As Amended) Regulations 2012 detail the procedure to be followed to produce, submit, examine and adopt a Neighbourhood Development Plan.
- 2.3. Ryton on Dunsmore Parish Council designated the Parish as a Neighbourhood Area on 11th October 2016.
- 2.4. A pre-submission consultation on the plan (Regulation 14) was carried out between 7th January 2019 and 18th February 2019.

3. Ryton on Dunsmore Neighbourhood Plan

- 3.1. Ryton on Dunsmore Parish Council submitted their Neighbourhood Development Plan to Rugby Borough Council on 1st May 2019. This submission is Regulation 15 in the Neighbourhood Planning Regulations. Along with the plan itself (Appendix 1) they submitted all of the required documents namely; a map of the Neighbourhood Area (Appendix 2), a Consultation Statement

(Appendix 3) and Basic Conditions Statement (Appendix 4). The Basic Conditions are outlined below in paragraph 4.2. Other documents to support the consultation are also provided, including the outcome of the Strategic Environmental Assessment Screening (Appendix 5), Neighbourhood Plan Submission Letter (Appendix 6), Ryton on Dunsmore Parish Council Minutes (Appendix 7), a letter from Rugby Borough Council confirming the Council is satisfied that the plan complies with the submission requirements as stated in the Regulations (Appendix 8), an Equality Impact Assessment (Appendix 9), and a Consultation Strategy (Appendix 10).

- 3.2. The Ryton on Dunsmore Neighbourhood Development Plan (Appendix 1) sets out policies for the Neighbourhood Area which once adopted or 'made' will be used to assess planning applications for the Neighbourhood Area alongside the Core Strategy (or Local Plan once adopted) and national policy.
- 3.3. The Ryton on Dunsmore Neighbourhood Development Plan contains policies on housing, the economy, built and natural heritage, the built and natural environment, infrastructure and local facilities. The Plan identifies a Safeguarded site to be brought forward in the event that the allocated sites in Rugby's Local Plan fail to deliver the required volume of new housing or if housing need increases during the plan period.

4. Next Steps

- 4.1. The next stage of the process is Regulation 16 which requires the Local Planning Authority to publicise the submitted documents for consultation for a period of no less than 6 weeks. If approval is granted by Cabinet this consultation is expected to run from Tuesday 25th June to Tuesday 6th August 2019. A Consultation Strategy document (Appendix 10) has been produced in line with the Statement of Community Involvement (SCI). This sets out the information on the consultation and how the responses will be reported. It also illustrates how this is in line with both the SCI and the Neighbourhood Planning Regulations.
- 4.2. The consultation will be focused on whether the proposal meets the basic conditions that are stated in the Regulations. These require that the plan:
 - Has regard to national policy and guidance from the Secretary of State;
 - Contributes to sustainable development;
 - Is in general conformity with the strategic policy of the development plan for the area or any part of that area;
 - Doesn't breach or is otherwise compatible with EU obligations- this includes the SEA Directive of 2001/42/EC; and that
 - The making of the Neighbourhood Plan is not likely to have a significant effect on a European site (as defined in the Conservation of Habitats and Species regulations 2010(d)) either alone or in combinations with other plans or projects.
- 4.3. A Strategic Environmental Assessment (SEA) Screening Report has been produced to support this Neighbourhood Development Plan. The screening decision was that a full SEA will not be required. This decision was sent to Historic England, Natural England and the Environment Agency for review. All of these bodies agreed with the decision. The SEA screening decision will be

published alongside the Neighbourhood Development Plan consultation document.

4.4. In compliance with the Regulations the documents which will be consulted on are:

- The Ryton on Dunsmore Neighbourhood Development Plan (Appendix 1);
- A Map of the Neighbourhood Area (Appendix 2);
- A Consultation Statement (Appendix 3);
- A Basic Conditions Statement (Appendix 4); and
- SEA Screening Determination (Appendix 5).

4.5. Other documents will be published, not for consultation but for reference to support the consultation:

- Formal Submission Letter (Appendix 6).
- Parish Council Minutes (Appendix 7)
- Compliance with submission requirements letter (Appendix 8)
- Equality Impact Assessment (Appendix 9)
- Consultation Strategy Document (Appendix 10)

4.6. Once the 6 week consultation has ended, Regulation 17 requires Rugby Borough Council to submit the Neighbourhood Development Plan, along with the other consultation documents and a copy of all of the representations made, to the independent examiner for examination. The process of appointing an examiner through the Neighbourhood Planning Independent Examiner Referral Service (NPIERS) will be undertaken by Rugby Borough Council with the appointment to be agreed by Ryton on Dunsmore Parish Council.

4.7. If the Neighbourhood Plan is approved by Cabinet for consultation and examination it will be brought to the Council after the examiner's report is published for a further decision on whether the document can be taken to referendum.

5. Conclusions

5.1. Ryton on Dunsmore Parish Council have carried out the required steps and Rugby Borough Council are satisfied that the Neighbourhood Development Plan and other submission documents comply with the relevant statutory requirements.

5.2. The recommendation is for Cabinet to approve the Ryton on Dunsmore Neighbourhood Development Plan for Regulation 16 consultation and the Regulation 17 examination as outlined in this report.

List of Appendices

Due to the size and number of appendices to the report, these will be available electronically on the Council's website as part of the agenda and a hard copy will be placed in the Members' Room for information.

Appendix 1 - The Ryton on Dunsmore Neighbourhood Development Plan;

Appendix 2 - A Map of the Neighbourhood Area;

Appendix 3 - A Consultation Statement;
Appendix 4 - A Basic Conditions Statement;
Appendix 5 - SEA Screening Determination;
Appendix 6 - Submission Letter;
Appendix 7 - Ryton Parish Council Minutes
Appendix 8 – Compliance with Submission Requirements Letter
Appendix 9 – Equality Impact Assessment
Appendix 10 – Consultation Strategy

Name of Meeting: Cabinet

Date of Meeting: 24 June 2019

Subject Matter: Ryton on Dunsmore Neighbourhood Development Plan
Regulation 16 Consultation and Regulation 17 Examination

Originating Department: Growth and Investment

DO ANY BACKGROUND PAPERS APPLY YES NO

LIST OF BACKGROUND PAPERS

Doc No	Title of Document and Hyperlink

The background papers relating to reports on planning applications and which are open to public inspection under Section 100D of the Local Government Act 1972, consist of the planning applications, referred to in the reports, and all written responses to consultations made by the Local Planning Authority, in connection with those applications.

Exempt information is contained in the following documents:

Doc No	Relevant Paragraph of Schedule 12A

AGENDA MANAGEMENT SHEET

Report Title: Willoughby Neighbourhood Development Plan Regulation 16 Consultation and Regulation 17 Examination

Name of Committee: Cabinet

Date of Meeting: 24 June 2019

Report Director: Head of Growth and Investment

Portfolio: Executive Director

Ward Relevance: Leam Valley

Prior Consultation: The Neighbourhood Development Plan Steering Group, under the direction of Willoughby Parish Council, carried out the pre-submission Regulation 14 consultation between the 21st January and 0th March 2019. Rugby Borough Council have not carried out any prior consultation on this document.

Contact Officer: Development Strategy Team 3741

Public or Private: Public

Report Subject to Call-In: Yes

Report En-Bloc: No

Forward Plan: No

Corporate Priorities: This report relates to the following priority(ies):

(CR) Corporate Resources To provide excellent, value for money services and sustainable growth

(CH) Communities and Homes Achieve financial self-sufficiency by 2020

(EPR) Environment and Public Realm Enable our residents to live healthy, independent lives

(GI) Growth and Investment Optimise income and identify new revenue opportunities (CR)

Prioritise use of resources to meet changing customer needs and demands (CR)

Ensure that the council works efficiently and effectively (CR)

Ensure residents have a home that works for them and is affordable (CH)

Deliver digitally-enabled services that residents can access (CH)

- Understand our communities and enable people to take an active part in them (CH)
- Enhance our local, open spaces to make them places where people want to be (EPR)
- Continue to improve the efficiency of our waste and recycling services (EPR)
- Protect the public (EPR)
- Promote sustainable growth and economic prosperity (GI)
- Promote and grow Rugby's visitor economy with our partners (GI)
- Encourage healthy and active lifestyles to improve wellbeing within the borough (GI)

Statutory/Policy Background:

The Localism Act 2011.

The Neighbourhood Planning (General) (As Amended) Regulations 2012.

The Neighbourhood Planning (General) and Development Management Procedure (Amendment) Regulations 2016.

The Neighbourhood Planning Act 2017.

Summary:

Rugby Borough Council is satisfied that the Neighbourhood Development Plan and other documents submitted comply with the relevant requirements.

This report is seeking Cabinet approval for the Willoughby Neighbourhood Development Plan to be:

- a) publicised for the purposes of Regulation 16 consultation; and
- b) submitted to the appointed Examiner for the Regulation 17 examination.

The Regulation 16 consultation is expected to run from Tuesday 25th June to Tuesday 6th August 2019, with the Regulation 17 Examination following this.

Financial Implications:

Rugby Borough Council will have to cover the cost of the consultation, examination and, if it moves onto the final stage, the referendum.

Once a date for the referendum is set Rugby Borough Council can claim financial support in the form of £20,000 of central government funding to cover these costs.

Risk Management Implications: There are no risk management implications associated with this decision.

Environmental Implications: There are no environmental implications.

Legal Implications: There could be legal implications if Cabinet were not to follow the recommendation as this would mean the Local Planning Authority was not dealing with the Willoughby Neighbourhood Development Plan in line with The Neighbourhood Planning (General) (As Amended) Regulations 2012.

Equality and Diversity: There are no implications for equality and diversity. An Equality Impact Assessment has been completed to support this document this document has been appended to this Cabinet Report.

Options: Option One: Approve the Willoughby Neighbourhood Development Plan for the Regulation 16 consultation and the Regulation 17 examination.

Risks: There are no risks associated with this option.

Benefits: Consultation is required on the Neighbourhood Development Plan in order to progress the Neighbourhood Development Plan toward being adopted or 'made'.

Option Two: Do not approve the Willoughby Neighbourhood Development Plan for the Regulation 16 consultation and the Regulation 17 examination.

Risks: There could be legal implications if Cabinet were not to follow the recommendation as this would mean the Local Planning Authority was not dealing with the Willoughby Neighbourhood Development Plan in line with The Neighbourhood Planning (General) (As Amended) Regulations 2012.

Benefits: There are no benefits associated with this option.

Recommendation:

The Willoughby Neighbourhood Development Plan, as at Appendix 1 to the report, be approved, to be:

- a) publicised for the purposes of Regulation 16 consultation; and
- b) submitted to the appointed Examiner for the Regulation 17 examination.

Reasons for Recommendation:

To fulfill the legislative requirement and allow for the Willoughby Neighbourhood Development Plan to be consulted on and examined in line with The Neighbourhood Planning (General) (As Amended) Regulations 2012.

Cabinet - 24 June 2019

**Willoughby Neighbourhood Development Plan Regulation 16
Consultation and Regulation 17 Examination**

Public Report of the Executive Director

Recommendation

The Willoughby Neighbourhood Development Plan, as at Appendix 1 to the report, be approved, to be:

- a) publicised for the purposes of Regulation 16 consultation; and
- b) submitted to the appointed Examiner for the Regulation 17 examination.

1. Introduction

- 1.1. Willoughby Parish Council submitted their Neighbourhood Development Plan to Rugby Borough Council on the 16th of May 2019. Rugby Borough Council is now responsible for the next steps in the process namely further consultation, examination, the referendum and adoption.

2. Background

- 2.1. The Localism Act 2011 introduced Neighbourhood Planning, allowing Neighbourhood Areas to produce a Neighbourhood Development Plan which, once 'made', forms part of the Development Plan for the Borough and contains policies used to make planning decisions within the Neighbourhood Area.
- 2.2. The Neighbourhood Planning (General) (As Amended) Regulations 2012 detail the procedure to be followed to produce, submit, examine and adopt a Neighbourhood Development Plan.
- 2.3. Willoughby Parish Council designated the Parish as a Neighbourhood Area on 5th October 2017.
- 2.4. A pre-submission consultation on the plan (Regulation 14) was carried out between 21st January 2019 and 10th March 2019.

3. Willoughby Neighbourhood Plan

- 3.1. Willoughby Parish Council submitted their Neighbourhood Development Plan to Rugby Borough Council on 16th May 2019. This submission is Regulation 15 in the Neighbourhood Planning Regulations. Along with the plan itself (Appendix 1) they submitted all of the required documents namely; a map of the Neighbourhood Area (Appendix 2), a Consultation Statement (Appendix 3) and Basic Conditions Statement (Appendix 4). The Basic Conditions are outlined

below in paragraph 4.2. Other documents to support the consultation are also provided, including the outcome of the Strategic Environmental Assessment Screening (Appendix 5), an Equality Impact Assessment (Appendix 6), a letter from Rugby Borough Council confirming the Council is satisfied that the plan complies with the submission requirements as stated in the Regulations (Appendix 7), a Planning Policy Assessment and Evidence Base Report (Appendix 8), a Flood Risk Report (Appendix 9) and a Historic England Advice Note (Appendix 10).

- 3.2. The Willoughby Neighbourhood Development Plan (Appendix 1) sets out policies for the Neighbourhood Area which once adopted or 'made' will be used to assess planning applications for the Neighbourhood Area alongside the Core Strategy (or Local Plan once adopted) and national policy.
- 3.3. The Willoughby Neighbourhood Development Plan contains policies on housing, the economy, built and natural heritage, the built and natural environment, infrastructure and local facilities. The Plan does not allocate specific areas of land for development.

4. Next Steps

- 4.1. The next stage of the process is Regulation 16 which requires the Local Planning Authority to publicise the submitted documents for consultation for a period of no less than 6 weeks. If approval is granted by Cabinet this consultation is expected to run from Tuesday 25th June to Tuesday 6th August 2019. A Consultation Strategy document (Appendix 8) has been produced in line with the Statement of Community Involvement (SCI). This sets out the information on the consultation and how the responses will be reported. It also illustrates how this is in line with both the SCI and the Neighbourhood Planning Regulations.
- 4.2. The consultation will be focused on whether the proposal meets the basic conditions that are stated in the Regulations. These require that the plan:
 - Has regard to national policy and guidance from the Secretary of State;
 - Contributes to sustainable development;
 - Is in general conformity with the strategic policy of the development plan for the area or any part of that area;
 - Doesn't breach or is otherwise compatible with EU obligations- this includes the SEA Directive of 2001/42/EC; and that
 - The making of the Neighbourhood Plan is not likely to have a significant effect on a European site (as defined in the Conservation of Habitats and Species regulations 2010(d)) either alone or in combinations with other plans or projects.
- 4.3. A Strategic Environmental Assessment (SEA) Screening Report has been produced to support this Neighbourhood Development Plan. The screening decision was that a full SEA will not be required. This decision was sent to Historic England, Natural England and the Environment Agency for review. All of these bodies agreed with the decision. The SEA screening decision will be published alongside the Neighbourhood Development Plan consultation document.

- 4.4. In compliance with the Regulations the documents which will be consulted on are:
- The Willoughby Neighbourhood Development Plan (Appendix 1);
 - A Map of the Neighbourhood Area (Appendix 2);
 - A Consultation Statement (Appendix 3);
 - A Basic Conditions Statement (Appendix 4); and
 - SEA Screening Determination (Appendix 5).
- 4.5. Other documents will be published, not for consultation but for reference to support the consultation:
- Equality Impact Assessment (Appendix 6).
 - Compliance with submission requirements letter (Appendix 7)
 - Planning Policy Assessment and Evidence Base Report (Appendix 8)
 - Flood Risk Report (Appendix 9)
 - Historic England Advice Note (Appendix 10)
 - Consultation Strategy Document (Appendix 11)
- 4.6. Once the 6 week consultation has ended, Regulation 17 requires Rugby Borough Council to submit the Neighbourhood Development Plan, along with the other consultation documents and a copy of all of the representations made, to the independent examiner for examination. The process of appointing an examiner through the Neighbourhood Planning Independent Examiner Referral Service (NPIERS) will be undertaken by Rugby Borough Council with the appointment to be agreed by Willoughby Parish Council.
- 4.7. If the Neighbourhood Plan is approved by Cabinet for consultation and examination it will be brought to the Council after the examiner's report is published for a further decision on whether the document can be taken to referendum.

5. Conclusions

- 5.1. Willoughby Parish Council have carried out the required steps and Rugby Borough Council are satisfied that the Neighbourhood Development Plan and other submission documents comply with the relevant statutory requirements.
- 5.2. The recommendation is for Cabinet to approve the Willoughby Neighbourhood Development Plan for Regulation 16 consultation and the Regulation 17 examination as outlined in this report.

List of Appendices

Due to the size and number of appendices to the report, these will be available electronically on the Council's website as part of the agenda and a hard copy will be placed in the Members' Room for information.

Appendix 1- The Willoughby Neighbourhood Development Plan;

Appendix 2- A Map of the Neighbourhood Area;

Appendix 3- A Consultation Statement and Responses Tables;

Appendix 4- A Basic Conditions Statement;

Appendix 5- SEA Screening Determination;
Appendix 6- Equality Impact Assessment;
Appendix 7- Compliance with Submission Requirements Letter
Appendix 8 - Planning Policy Assessment and Evidence Base Report
Appendix 9 - Flood Risk Report
Appendix 10 – Historic England Advice Note; and
Appendix 11- A Consultation Strategy document

Name of Meeting: Cabinet

Date of Meeting: 24 June 2019

Subject Matter: Willoughby Neighbourhood Development Plan Regulation 16 Consultation and Regulation 17 Examination

Originating Department: Growth and Investment

DO ANY BACKGROUND PAPERS APPLY YES NO

LIST OF BACKGROUND PAPERS

Doc No	Title of Document and Hyperlink

The background papers relating to reports on planning applications and which are open to public inspection under Section 100D of the Local Government Act 1972, consist of the planning applications, referred to in the reports, and all written responses to consultations made by the Local Planning Authority, in connection with those applications.

Exempt information is contained in the following documents:

Doc No	Relevant Paragraph of Schedule 12A

AGENDA MANAGEMENT SHEET

Report Title:	Local Development Scheme 2019
Name of Committee:	Cabinet
Date of Meeting:	24 June 2019
Report Director:	Head of Growth and Investment
Portfolio:	Growth and Investment
Ward Relevance:	All
Prior Consultation:	N/A
Contact Officer:	Ruari McKee
Public or Private:	Public
Report Subject to Call-In:	No
Report En-Bloc:	No
Forward Plan:	No
Corporate Priorities:	This report relates to the following priority(ies):
(CR) Corporate Resources	<input type="checkbox"/> To provide excellent, value for money services and sustainable growth
(CH) Communities and Homes	<input type="checkbox"/> Achieve financial self-sufficiency by 2020
(EPR) Environment and Public Realm	<input type="checkbox"/> Enable our residents to live healthy, independent lives
(GI) Growth and Investment	<input type="checkbox"/> Optimise income and identify new revenue opportunities (CR)
	<input type="checkbox"/> Prioritise use of resources to meet changing customer needs and demands (CR)
	<input type="checkbox"/> Ensure that the council works efficiently and effectively (CR)
	<input type="checkbox"/> Ensure residents have a home that works for them and is affordable (CH)
	<input type="checkbox"/> Deliver digitally-enabled services that residents can access (CH)
	<input type="checkbox"/> Understand our communities and enable people to take an active part in them (CH)
	<input type="checkbox"/> Enhance our local, open spaces to make them places where people want to be (EPR)
	<input type="checkbox"/> Continue to improve the efficiency of our waste and recycling services (EPR)
	<input type="checkbox"/> Protect the public (EPR)

- Promote sustainable growth and economic prosperity (GI)
- Promote and grow Rugby's visitor economy with our partners (GI)
- Encourage healthy and active lifestyles to improve wellbeing within the borough (GI)
- This report does not specifically relate to any Council priorities but

Statutory/Policy Background: Paragraph 15 (1) of Part 2 of the Planning and Compulsory Purchase Act 2004 requires local planning authorities to prepare and maintain a scheme to be known as their local development scheme.

Summary: The LDS is the project management tool for the formulation of planning policy within local planning authorities

Financial Implications: None

Risk Management Implications: None

Environmental Implications: None

Legal Implications: The LDS is a statutory requirement

Equality and Diversity: None

Options: Option 1: Adopt the Local Development Scheme
Option 2: Delay the adoption of the Local Development Scheme

Recommendation: The work programme as set out in the revised Rugby Borough Local Development Scheme 2019 be adopted.

Reasons for Recommendation: Agreeing the revised Local Development scheme work programme ensures that the Council is in compliance with Paragraph 15 (1) 2004 Planning and Compulsory Purchase Act 2004.

Cabinet - 24 June 2019

Local Development Scheme 2019

Public Report of the Head of Growth and Investment

Recommendation

The work programme as set out in the revised Rugby Borough Local Development Scheme 2019 be adopted.

1. PURPOSE OF REPORT

This report requests that Cabinet adopts the work programme as set out in the revised Rugby Borough Local Development Scheme at Appendix 1 of this report.

The LDS is an evolving document although Councils are not encouraged to revise the LDS too frequently as they should provide an accurate reflection of the Council's intended workload for a 3 year period. The purpose of this update to the LDS is to set out the work programme for the next 3 years now that the Local Plan has been adopted.

The Authority Monitoring Report (AMR) is required to document how the Council has achieved the targets as set out in the LDS and to prompt any revisions. The Council published the most recent AMR (Authority Monitoring 2017-2018) in January 2019. There is a connection to the Rugby Performance Management System.

2. BACKGROUND INFORMATION

Paragraph 15 (1) of Part 2 of the Planning and Compulsory Purchase Act 2004 requires local planning authorities to prepare and maintain a scheme to be known as their Local Development Scheme. The LDS is the project management tool for the formulation of planning policy within local planning authorities. It is essential that any new documents that are proposed are assessed so that a decision can be made regarding that document's priority level and from this where the document fits into the overall timetable.

The Rugby Borough Local Development Scheme (LDS) has been in effect since 2nd February 2005 and was last revised in June 2017. The LDS consists of Development Plan Documents (DPDs) such as the Local Plan and Supplementary Planning Documents (SPDs). These documents will be subject to continuous reviews to ensure the development framework for the Borough remains relevant.

The revised draft LDS timetables work until June 2021. It is now considered necessary to review the documents contained within the LDS to reflect the adoption of the Local Plan. This report sets out the proposed work programme for the period 2019-2021. The work programme is summarised in the chart contained in Appendix 1.

The draft LDS timetables the production of the following DPDs:

- **Rugby Borough Plan DPD**

The Rugby Borough Local Plan 2011-2031 replaced all local plan policy contained within the Core Strategy and saved local plan policies.

The Council originally consulted on the publication draft of the Local Plan from September to November 2016. Following requests for more time to review the proposals, an additional public consultation ran from November 2016 to January 2017.

Consequently, the Borough Plan was submitted to the Planning Inspectorate on 14th July 2017. Following submission, the examination hearings were held between 23rd January and 1st February 2018 and 17-26th April 2018. The Planning Inspectors Report into the Plan was received 27th March 2019. The Inspector found the plan sound, subject to the inclusion of main modifications. The Local Plan was adopted by Full Council on 4th June 2019.

The attached LDS document details the work programme.

- **Gypsy and Traveller Site Allocations DPD**

This DPD will make specific provision of sites to meet the identified needs for Gypsy and Traveller pitches in the Borough.

- **Statement of Community Involvement**

The Statement of Community Involvement (SCI) sets out when and how the Council will engage with communities through the planning process. This includes the preparation of local plans and Supplementary Planning Documents (SPDs) and procedures for consulting the public on Development Plan Documents (DPDs) and planning applications.

The SCI includes the procedure of consulting on a Community Infrastructure Levy Charging Schedule and Neighbourhood Plans. The SCI was updated owing to the Neighbourhood Planning Act 2017, a new National Planning Policy Framework (February 2019) and the adoption of the new Rugby Borough 2011-2031 Local Plan. Cabinet approved consultation on the updated SCI on 4th March 2019. The updated SCI is currently being consulted on.

This update will ensure that the consultations for the forthcoming suite of updated Supplementary Planning Documents (SPDs) in support of the new Local Plan as well as forthcoming Neighbourhood Plans are in line with the latest legislation and regulations.

COMMUNITY INFRASTRUCTURE LEVY (CIL)

The CIL Charging Schedule is technically not a DPD but is subject to very similar processes as required for a DPD. Adoption of the Schedule will allow the Council to apply standard charges to development in order to provide funds for local services and infrastructure.

Initial work for the CIL will be undertaken as set out in the work programme. However, the Council is not under a statutory obligation to adopt a CIL and may decide to continue with Section 106.

3. Changes to the Local Development Scheme

The LDS timescales have been updated to reflect the status of the Local Plan. This has resulted in the inclusion of the following new documents:

The South West Rugby SPD, Coton Park East SPD and Air Quality SPD

The existing Housing Needs and Sustainable Design and Construction SPDs will also be subject to updates following the Local Plans adoption. The full proposed changes are detailed in the attached updated LDS.

Name of Meeting: Cabinet
Date of Meeting: 24 June 2019
Subject Matter: Local Development Scheme
Originating Department: Growth and Investment

DO ANY BACKGROUND PAPERS APPLY **YES** **NO**

LIST OF BACKGROUND PAPERS

Doc No	Title of Document and Hyperlink
	Local Development Scheme 2019

The background papers relating to reports on planning applications and which are open to public inspection under Section 100D of the Local Government Act 1972, consist of the planning applications, referred to in the reports, and all written responses to consultations made by the Local Planning Authority, in connection with those applications.

Exempt information is contained in the following documents:

Doc No	Relevant Paragraph of Schedule 12A



RUGBY BOROUGH COUNCIL



LOCAL DEVELOPMENT SCHEME



June 2019



CONTENTS

Section

- 1. Introduction**
- 2. Plan making Resources and Management**
- 3. Purpose of the Local Development Scheme**
- 4. The Content of the Local Development Scheme**
- 5. Proposed Schedule of Work**
- 6. Relationship with Existing Planning Documents**
- 7. Background Evidence**
- 8. Monitoring and Review**
- 9. Delivery of the Local Development Scheme**
- 10. Contact Details**

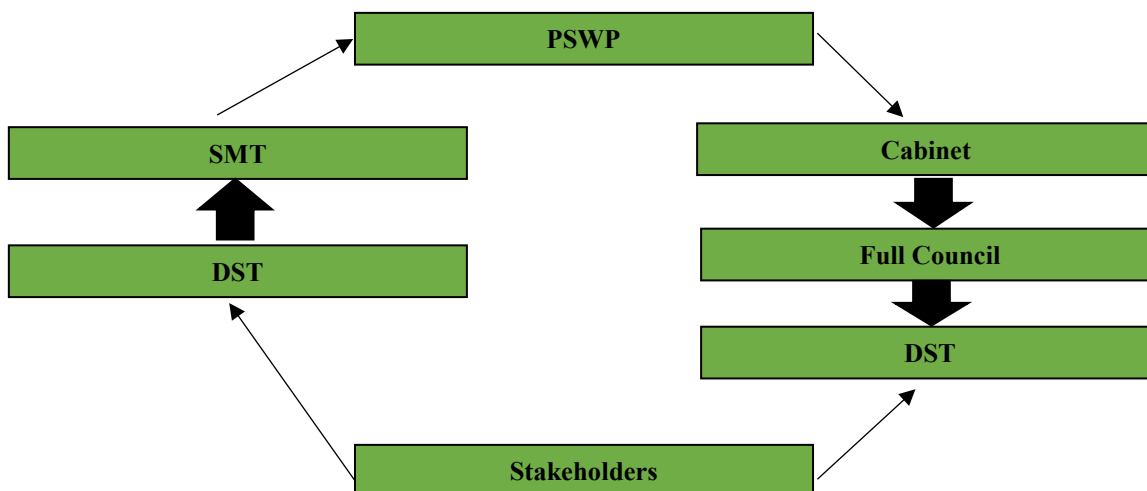
APPENDICIES

- Appendix A: LDS Programme Management – GANNT Chart**
- Appendix B: Supplementary Planning Documents**
- Appendix C: List of Acronyms**

1.0 INTRODUCTION

- 1.1 The Government's Planning and Compulsory Purchase Act 2004 (as amended by the 2011 Localism Act) states that the Council must prepare and maintain a scheme to be known as its Local Development Scheme (LDS). This document is the LDS for Rugby Borough, and sets out the documents that Rugby Borough Council will produce, along with a timetable for the preparation and review of these documents. It sets out a three year project plan for preparing Local Development Documents (LDD's), which are comprised of Development Plan Documents (DPD's) and Supplementary Planning Documents (SPD's).
- 1.2 The National Planning Policy Framework (NPPF) sets out the Government's planning policies for England and the Government's requirements for the planning system. It does not contain specific policies for nationally significant infrastructure projects for which particular considerations apply. National policy statements form part of the overall framework of national planning policy, and are a material consideration in decisions on planning applications.
- 1.3 The Rugby Borough Local Plan 2011-2031 forms the statutory development plan. The Warwickshire Waste Core Strategy was adopted in July 2013, replacing the Waste element of the Warwickshire Minerals and Waste Local Plans Saved policies (September, 2007). Work on the latest Warwickshire Minerals Local Plan is still ongoing by Warwickshire County Council.
- 1.4 Section 39 of the Planning and Compulsory Purchase Act 2004 (as amended by the 2011 Localism Act) requires Local Development Documents (LDDs) to be prepared with a view to contributing to the achievement of sustainable development. All LDDs except Supplementary Planning Documents will be subject to sustainability appraisal. This will appraise the social, environmental and economic effects of the strategies and policies in a LDD from the outset of the preparation process.
- 1.5 This scheme specifically covers the period June 2019 to June 2021 although it is required to indicate in general terms what future work is proposed beyond this period. The scheme will be subject to frequent review.

2.0 PLAN MAKING RESOURCES AND MANAGEMENT



DST = Development Strategy Team

SMT = Senior Management Team

PPWP = Planning Services Working Party

- 2.1 Although the SCI elaborates further on this point, it is worth noting that the amendments contained within the Town and Country Planning (Local Planning) (England) Regulations 2012 have effectively superseded the way in which the council consults throughout the production of its LDDs. The management arrangements for the plan making preparations are set out below. The Project Manager is the Development Strategy Manager. Resources are primarily from the Development Strategy Team in the Growth and Investment Service, but will involve other officers and external resources as necessary.
- 2.2 Meetings of the various committees occur frequently. SMT meet every month. The PSWP will meet on the officer's request but should meet at least every two months. Cabinet meet monthly and Full Council meet approximately every two months. The Development Strategy Team has monthly meetings and arrange other ad-hoc meetings where necessary. DPDs would need to follow this whole cycle of consultation whereas SPDs would not need to go to Full Council.

- 2.3 Each LDD will be project managed. At each stage the progress will be reviewed to assess achievements of key milestones. The LDS will be reviewed in parallel and reported using the method shown in the diagram above.

3.0 PURPOSE OF THE LOCAL DEVELOPMENT SCHEME

3.1 The LDS has three main purposes. These are;

- To inform the public of the LDDs that will make up the Development Plan and the timescales that they can expect for the preparation of these documents.
- To establish and reflect Council priorities and to enable work programmes to be compiled for the production of these documents.
- To set a timetable to monitor and review the documents once they have been prepared.

3.2 This LDS specifies:

- The Local Development Documents to be produced over the three year period
- Which of these will have Development Plan Status
- Which documents will be Supplementary Planning Documents
- The timetable and resources for the production of each of the LDDs
- How the LDDs interrelate
- How the monitoring and review of the LDS will take place.

4.0 THE CONTENT OF THE LOCAL DEVELOPMENT SCHEME

4.1 The Planning and Compulsory Purchase Act 2004 states that an LDS must specify the following;

- The documents which are to be LDD
- The subject matter and geographical area to which each LDD relates
- Which LDDs are to be development plan documents
- Which LDDs, if any, are to be prepared jointly with one or more other local planning authorities.
- Any matter or area in respect of which the authority has agreed (or propose to agree) to the setting up of a joint committee with other local planning authorities, and
- The timetable for the preparation and revision of LDDs.

4.2 The LDS sets out the range of LDDs that the Borough Council proposes to prepare. These will consist of the following types of document;

Development Plan Documents (DPDs)

DPDs will have the weight of development plan status and decisions must be made in accordance with them unless material considerations indicate otherwise. They will be the subject of an independent examination run by a planning inspector. There are different types of DPDs and as set out in the LDS these will include:

- Rugby Borough Local Plan DPD
- Gypsy and Traveller Site Allocations DPD

Sustainability Appraisals should be fully integrated into the plan-making process. Sustainability Appraisals should be started as soon as a new or revised LDD is first considered, and should provide input at each stage when decisions are taken.

In addition to the DPDs listed above the Council will also produce a Community Infrastructure Levy Charging Schedule. Although not a DPD, it had also been

timetabled for production in the LDS. As the CIL Charging Schedule is not a DPD, it does not require the production of a sustainability appraisal.

Supplementary Planning Documents (SPDs)

SPDs are intended to elaborate upon the policy and proposals in DPDs but do not have development plan status. They are, however, a material consideration in the determination of planning applications. SPDs should be clearly linked to the relevant DPD or 'saved' policy in the Local Plan which it supplements. They should be prepared in consultation with the public, businesses and all other interested parties and these views should be taken into account before the document is finalised. SPDs may be Borough wide or area specific and take the form of design guides, development briefs or supplement specific policies in the DPDs.

The Supplementary Documents included in the LDS are:

- Housing Needs SPD
- Sustainable Design and Construction SPD
- Planning Obligations SPD
- South West Rugby Masterplan SPD
- Coton Park East SPD
- Air Quality SPD

Draft South West Rugby Masterplan SPD

The Draft South West Masterplan is a draft SPD that was published alongside the Publication Draft Local Plan for information only. Once adopted, the South West Masterplan SPD will provide guidance on masterplanning and infrastructure requirements for the South West Rugby allocation, in accordance with Policy DS8 and DS9 of the Local Plan. The Draft South West Rugby SPD also contains Local Plan policy DS9 which allocates land to facilitate the comprehensive delivery of the link road for the South West.

The production of an SPD has its own separate consultation process which needs to be compliant with separate regulations.

Statement of Community Involvement (SCI)

The Borough Council has an adopted SCI. This sets out the standards, which the Borough Council intends to achieve in relation to involving the community in the preparation; alteration and continuing review of all local development documents and in the consideration of planning applications. The SCI also demonstrates how the Borough Council intends to achieve these standards. The SCI was updated in 2019 owing to the Neighbourhood Planning Act 2017 and a new National Planning Policy Framework (February 2019).

5.0 PROPOSED SCHEDULE OF WORK

5.1 For each Local Development Document the Local Development Scheme should specify;

- Its role, nature, and policy and area coverage
- The main components of the work to be undertaken, including key technical inputs.
- The body that will lead the project of producing the LDD, and the organisations that will be directly involved in managing the project.
- The timetable for its production, including the milestones for pre-production, the issues and options consultation, submission to the Secretary of State, examination and adoption.
- The resources required (in broad terms) to produce the LDD including identifying resource commitments from external stakeholders.
- The broad approach to engaging stakeholders and the community in the preparation of the LDD.

Title	Status	Role and Content	Chain of Conformity	Timetable
Rugby Borough Local Plan	DPD	Strategic document to replace in entirety the Core Strategy and the saved Local Plan policies.	NPPF SCI	Publication: January 2017 Submission to SoS: July 2017 Examination Hearing Sessions: January - February 2018 and April 2018 Adoption: June 2019
Gypsy and Traveller Site Allocations	DPD	Site specific policies to meet the strategic Gypsy and Traveller accommodation needs contained within the GTAA.	NPPF PPTS SCI Other local strategies	Evidence Gathering: June 2019 - April 2020 Consultation: May - June 2020 Publication: September - October 2020 Submission to SoS: January 2021 Examination Hearing Sessions: March 2021 Adoption: June 2021
Community Infrastructure Levy Charging Schedule	DPD	Vehicle with which to seek charges upon granting permission to new developments.	CIL 2010 Regulations NPPF SCI	Evidence Gathering: June 2019 - February 2020 Consultation: March - April 2020 Evidence Gathering: May - June 2020 Submission to SoS: July 2020 Examination Hearing Sessions: September 2020 Adoption: December 2020
Statement of Community Involvement	LDD	To guide the consultation of all planning documents and planning applications	Planning and Compulsory Purchase Act, Planning Regulations, NPPF	Evidence Gathering: January 2019 Consultation: June - July 2019 Adoption: September 2019

Title	Status	Role and Content	Chain of Conformity	Timetable
Housing Needs	SPD	To provide further guidance on housing needs including affordable and local housing needs.	NPPF Policies H1, H2, H3, H4, H5, H6	Evidence Gathering: August 2019 – February 2020 Consultation: March - April 2020 Adoption: December 2020
Sustainable Design and Construction	SPD	Guidance to supplement the Core Strategy (and forthcoming Local Plan) in terms of Sustainable design and construction.	NPPF SDC1, SDC2, SDC3, SDC4, SDC5, SDC [^] , SDC7, SDC8, SDC9	Evidence Gathering: August 2019 – July 2020 Consultation: August – September 2020 Adoption: November 2020
Planning Obligations	SPD	In advance of the adoption of the CIL Charging Schedule, this SPD will supplement CS10 of the Core Strategy Guidance (and forthcoming local plan policy) on the likely type and level of financial contributions and other planning obligations developers will pay when planning permission is granted.	NPPF	Evidence Gathering: June 2019 – February 2020 Consultation: March – April 2020 Adoption: December 2020
Draft South West Rugby Masterplan SPD	SPD	Masterplanning and infrastructure guidance for the South West allocation in accordance with Policy DS8 and	NPPF DS8 and DS9	Evidence Gathering: June 2019 – August 2019 Consultation: September - October 2019 Adoption: January 2020

Title	Status	Role and Content	Chain of Conformity	Timetable
		DS9		
Coton Park East	SPD	Masterplanning and infrastructure guidance for the Coton Park East allocation in accordance with Policy DS7	NPPF and Policy DS7	Evidence Gathering: June - August 2019 Consultation: August – September 2019 Adoption: November 2019
Air Quality	SPD	Development proposals will be considered with regard to the Council Air Quality SPD, including where necessary undertaking an Air Quality Assessment and appropriate mitigation.	NPPF and Policy HS5	Evidence Gathering: June 2019 – July 2020 Consultation: August – September 2020 Adoption: November 2020

6.0 RELATIONSHIP WITH EXISTING PLANNING DOCUMENTS

- 6.1 The Council has a statutory duty to prepare, monitor and review a Development Plan for the Borough. This document is Rugby Borough Councils Local Plan.
- 6.2 The existing strategic and local planning policy framework comprises;
- Rugby Borough Local Plan 2011-2031
 - Warwickshire Minerals Local Plan Saved Policies, September 2007
 - Warwickshire Waste Core Strategy 2013
- 6.3 Warwickshire County Council has prepared Minerals and Waste Development Schemes that outline the programme for reviewing these documents. Both of these plans have the status of DPDs.
- 6.4 The adopted proposals map is also saved and will be updated when DPDs are adopted. When each DPD is submitted to the Secretary of State it must be accompanied by a Submission Proposals Map. On adoption of the DPD those elements adopted will appear on the Proposals Map.
- 6.5 The Borough Council currently has a number of adopted Supplementary Planning Documents (SPDs). Appendix B lists all current SPDs.

7.0 BACKGROUND EVIDENCE

- 7.1 LDDs will be prepared using information from a wide range of documents prepared both within the Borough Council and by external partners including national and regional guidance and external technical documents. The annual review of the LDS will assess whether there is any new information, which requires a review of individual LDD's, or indeed a need for new information to enhance and update the evidence base.

Please refer to the council website at www.rugby.gov.uk for the up to date listings of plan making evidence.

8.0 MONITORING AND REVIEW

- 8.1 Local Planning Authorities are required to produce an authority monitoring report to assess the implementation of the LDS and the extent to which policies in LDDs are being achieved. The authority monitoring report must be based upon the period 1st April to 31st March. Intermediate revisions will be necessary in addition to the annual requirement as the LDS is an evolving document.
- 8.2 The annual monitoring report will compare actual document preparation over the year against the targets and milestones for LDD production set out in the LDS. The report will assess whether the Council has met these targets and milestones, is on target to meet them, is falling behind schedule or will not meet them. If the Council is falling behind schedule or has failed to meet a target or milestone, the report will set out the reasons for this and identify what steps are to be taken to address any problems. The LDS may need to be updated as a result of this.
- 8.3 The annual monitoring report will also assess the impact that policies are having on national and local targets. In doing this it will identify policies that need replacing or reviewing, as a consequence of them not working as intended or not achieving sustainable development objectives. If policies need changing or replacing, suggested actions to achieve this will be identified.

9.0 DELIVERY OF THE LOCAL DEVELOPMENT SCHEME

- 9.1 There will always be an element of uncertainty associated with a document of this nature. It is legitimate to ask how reasonable and achievable are the targets set out above, and what issues may affect the overall delivery of the LDS.
- 9.2 An assumption has been made over the amount of time that will need to be allocated to public and stakeholder involvement. Whilst this has been based on past experience, it cannot accurately predict how many people will wish to engage with the Council on a particular project.
- 9.3 The Planning Inspectorate will need to be assured that the time scales proposed are appropriate and achievable. Only then can the LDS be published and assured that PINS will enter into a strategic Service Level Agreement against the broad parameters of the programme.
- 9.4 The programme has to be flexible in terms of staff, both the turnover and the allocation of work – neither can be fully accounted for over a three year period.

10.0 CONTACT DETAILS

10.1 For more information about any of the issues raised in this Local Development Scheme please contact:-

Development Strategy Team
Growth and Investment
Town Hall
Evreux Way
Rugby
CV21 2RR

Tel: 01788 533828

Email: Localplan@rugby.gov.uk

10.2 This document together with all other Local Development Documents produced by Rugby Borough Council will be made available on the Council's web site: www.rugby.gov.uk

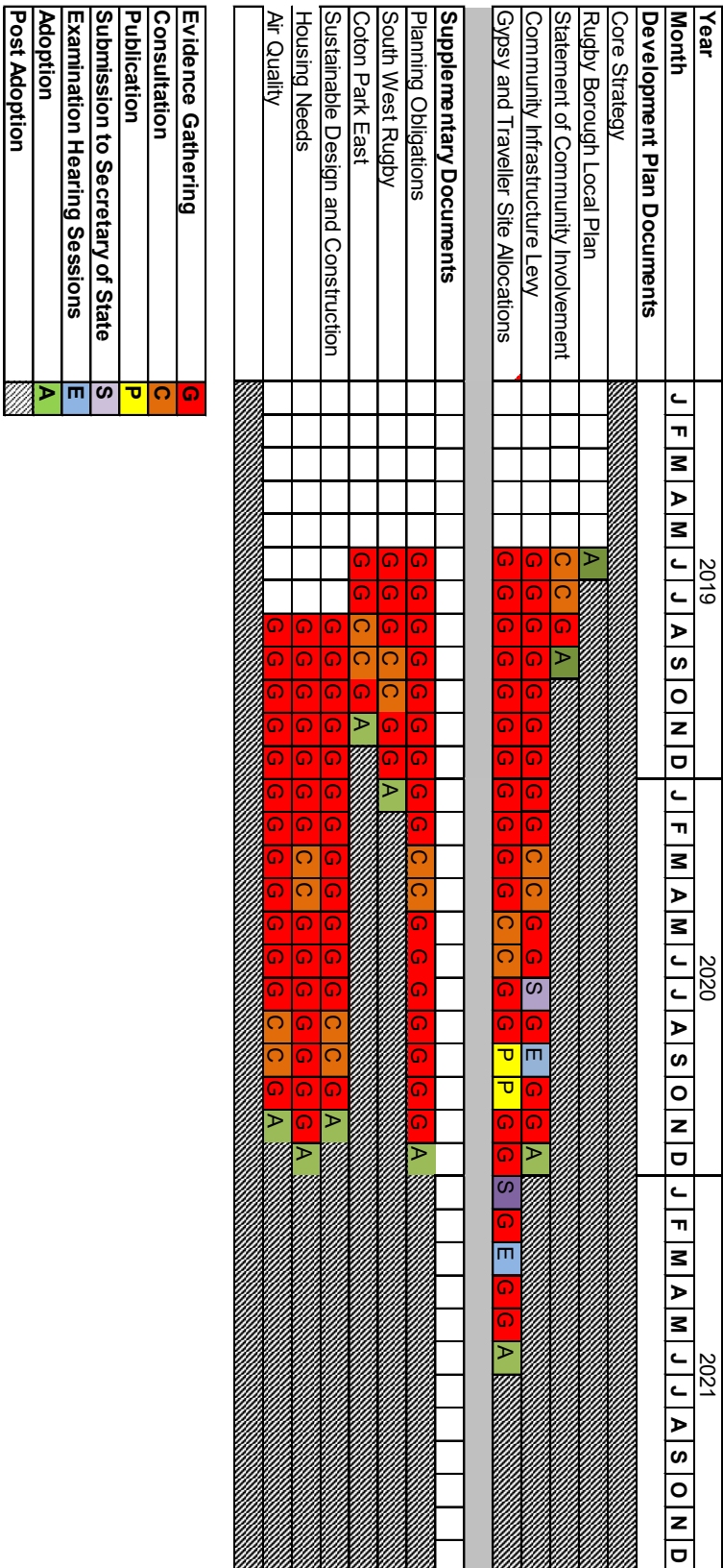
APPENDIX

Appendix A	LDS Programme Management
Appendix B	Supplementary Planning Documents
Appendix C	List of Acronyms

LDS PROGRAMME MANAGEMENT

APPENDIX A - GANTT CHART

Rugby LDS Timetable Summary 2019 - 2021



APPENDIX B

DD PROFILES

COMMUNITY INFRASTRUCTURE LEVY CHARGING SCHEDULE

GYPSY AND TRAVELLER SITE ALLOCATION DPD

HOUSING NEEDS SPD

SUSTAINABLE DESIGN AND CONSTRUCTION SPD

PLANNING OBLIGATIONS SPD

SOUTHWEST RUGBY SPD

COTON PARK EAST SPD

AIR QUALITY SPD

Document Title	<i>Gypsy and Traveller Site Allocations DPD</i>
Lead Section	Development Strategy
Coverage	Borough wide
Status	Development Plan Document
Synopsis Site specific policies to meet the strategic Gypsy and Traveller accommodation needs contained within DS2, informed by GTAA.	
Conformity <ul style="list-style-type: none"> • General Conformity with PPTS, NPPF • Influenced by LSP/Community Plan and other local strategies and GTAA • Local Plan 	
Timetable	
Key Milestones (shown in <i>italics</i>)	Timescale
<i>Commencement/Evidence gathering</i>	June 2019 - April 2020
<i>Regulation 18 consultation</i>	May – June 2020
<i>Publication</i>	September – October 2020
<i>Submission to SoS with submission proposals map.</i>	January 2021
<i>Pre-exam Meeting</i>	Early 2021
<i>Public Examination</i>	March 2021
<i>Inspectors Report – Fact Check</i>	April 2021
<i>Inspectors Report –Final</i>	April 2021
<i>Adoption</i>	June 2021
Management Arrangements Head of Growth and Investment → Planning Services Working Party → Cabinet → Full Council	
Resources <ul style="list-style-type: none"> • Resources from Development Strategy plus officer time and input from Development Management and Legal • Administrative Support • Costs of production: such as printing, delivery and postage costs • EiP costs 	
Approach to involving stakeholders & community Wide stakeholder and community involvement	
Monitoring and Review In accordance with the Rugby Borough Council Monitoring Schedule	

Document Title	<i>Rugby Borough Local Plan DPD</i>
Lead Section	Development Strategy
Coverage	Borough Wide
Status	Development Plan Document
Synopsis	
Strategic document that updates and replaces the Core Strategy. It will also replace the saved Local Plan policies of 2009	
Conformity	
<ul style="list-style-type: none"> • NPPF 	
Timetable	
Key Milestones (shown in <i>italics</i>)	Timescale
Evidence Gathering	January 2014 – May 2014
<i>Consultation</i>	July – August 2014
Evidence Gathering	September – June 2015
<i>Consultation</i>	December – January 2017
<i>Publication</i>	January 2017
<i>Submission to Secretary of State</i>	July 2017
<i>Pre-exam Meeting</i>	N/A
<i>Examination Hearing Sessions</i>	January-April 2018
<i>Inspectors Report – Fact Check</i>	March 2019
<i>Inspectors Report –Final</i>	May 2019
<i>Adoption</i>	June 2019
Management Arrangements	
Head of Growth and Investment → Planning Services Working Party → Cabinet	
Resources	
<ul style="list-style-type: none"> • Resources from Development Strategy Team • Administrative Support • Costs of production: such as printing, delivery and postage costs 	
Approach to involving stakeholders & community	
Wide stakeholder involvement	
Monitoring and Review	
In accordance with the Rugby Borough Council Monitoring Schedule	

Document Title	<i>Community Infrastructure Levy Charging Schedule</i>	
Lead Section	Development Strategy	
Coverage	Borough wide	
Status	Development Plan Document	
Synopsis		
Schedule with which RBC seeks charge from new developments once permission is granted.		
Conformity		
<ul style="list-style-type: none"> • Principally with CIL 2010 Regulations • General Conformity with NPPF • Local Plan 		
Timetable		
Key Milestones (shown in <i>italics</i>)	Timescale	
Evidence Gathering	June 2019 – February 2020	
CIL Regulation 15 consultation	March – April 2020	
<i>Publication (CIL Regulation 16)</i>	September - October 2020	
<i>Submission to SoS</i>	July 2020	
<i>Public Examination</i>	September 2020	
<i>Adoption</i>	December 2020	
Management Arrangements		
Head of Growth and Investment → Planning Services Working Group → Cabinet		
Resources		
<ul style="list-style-type: none"> • Resources from Development Strategy Team plus officer time and input from Development Management and Legal • Administrative Support • Costs of production: such as printing, delivery and postage costs • EiP costs 		
Approach to involving stakeholders & community		
Wide stakeholder involvement		
Monitoring and Review		
In accordance with the Rugby Borough Council Monitoring Schedule		

Document Title	<i>Sustainable Design and Construction SPD</i>	
Lead Section	Development Strategy	
Coverage	Borough Wide	
Status	Supplementary Planning Document	
Synopsis		
Guidance to supplement Rugby Borough Local Plan Policies SDC1-9 with regard to sustainable design and construction, inclusive of residential design guidance.		
Conformity		
<ul style="list-style-type: none"> ○ General Conformity with NPPF ○ Local Plan 		
Timetable		
Key Milestones	Timescale	
Evidence Gathering	July – August 2020	
Consultation	August – September 2020	
Adoption	November 2020	
Approach to involving stakeholders & community		
Wide stakeholder involvement		
Monitoring and Review		
In accordance with the Rugby Borough Council Monitoring Schedule		
Management Arrangements		
Head of Growth and Investment → Planning Services Working Party → Cabinet		

Document Title	<i>Planning Obligations SPD</i>	
Lead Section	Development Strategy	
Coverage	Borough Wide	
Status	Supplementary Planning Document	
Synopsis		
Guidance on the likely type and level of financial contributions and other planning obligations developers will pay when planning permission is granted.		
Conformity		
<ul style="list-style-type: none"> • General Conformity with NPPF • Local Plan 		
Timetable		
Key Milestones (shown in <i>italics</i>)	Timescale	
Evidence Gathering	June 2019 – March 2020	
<i>Consultation</i>	March – April 2020	
<i>Adoption</i>	December 2020	
Management Arrangements		
Head of Growth and Investment → Planning Policy Working Party → Cabinet		
Resources		
<ul style="list-style-type: none"> • Resources from Development Strategy Team, Development Management and Legal • Administrative Support • Costs of production: such as printing, delivery and postage costs 		
Approach to involving stakeholders & community		
Wide stakeholder involvement		
Monitoring and Review		
In accordance with the Rugby Borough Council Monitoring Schedule		
Management Arrangements		
Head of Growth and Investment → Planning Services Working Party → Cabinet		

Document Title	<i>Housing Needs SPD</i>	
Lead Section	Development Strategy	
Coverage	Borough Wide	
Status	Supplementary Planning Document	
Synopsis		
Guidance to supplement Rugby Borough Local Plan Policies H1-H6 with regard to housing need.		
Conformity		
<ul style="list-style-type: none"> • General Conformity with NPPF • Local Plan 		
Timetable		
Key Milestones (shown in <i>italics</i>)	Timescale	
Evidence Gathering	August 2019 – February 2020	
<i>Consultation</i>	March – April 2020	
<i>Adoption</i>	December 2020	
Management Arrangements		
Head of Growth and Investment → Planning Services Working Party → Cabinet		
Resources		
<ul style="list-style-type: none"> • Resources from Development Strategy Team, Development Management and Legal • Administrative Support • Costs of production: such as printing, delivery and postage costs 		
Approach to involving stakeholders & community		
Wide stakeholder involvement		
Monitoring and Review		
In accordance with the Rugby Borough Council Monitoring Schedule		
Management Arrangements		
Head of Growth and Investment → Planning Services Working Party → Cabinet		

Document Title	<i>South West Rugby Masterplan SPD</i>	
Lead Section	Development Strategy	
Coverage	Borough Wide	
Status	Supplementary Planning Document	
Synopsis		
Masterplanning and infrastructure guidance for the South West allocation in accordance with Policy DS8 and DS9		
Conformity		
<ul style="list-style-type: none"> • General Conformity with NPPF • Local Plan 		
Timetable		
Key Milestones (shown in <i>italics</i>)	Timescale	
Evidence Gathering	June 2019- August 2019	
<i>Consultation</i>	September- October 2019	
<i>Adoption</i>	January 2020	
Management Arrangements		
Head of Growth and Investment → Planning Services Working Party → Cabinet		
Resources		
<ul style="list-style-type: none"> • Resources from Development Strategy Team, Development Management and Legal • Administrative Support • Costs of production: such as printing, delivery and postage costs 		
Approach to involving stakeholders & community		
Wide stakeholder involvement		
Monitoring and Review		
In accordance with the Rugby Borough Council Monitoring Schedule		
Management Arrangements		
Head of Growth and Investment → Planning Services Working Party → Cabinet		

Document Title	<i>Coton Park East SPD</i>	
Lead Section	Development Strategy	
Coverage	Borough Wide	
Status	Supplementary Planning Document	
Synopsis Masterplanning and infrastructure guidance for the Coton Park East allocation in accordance with Policy DS7		
Conformity <ul style="list-style-type: none"> • General Conformity with NPPF • Local Plan 		
Timetable		
Key Milestones (shown in <i>italics</i>)	Timescale	
Evidence Gathering	June 2019	
<i>Consultation</i>	August - September 2019	
<i>Adoption</i>	November 2019	
Management Arrangements Head of Growth and Investment → Planning Services Working Party → Cabinet		
Resources <ul style="list-style-type: none"> • Resources from Development Strategy Team, Development Management and Legal • Administrative Support • Costs of production: such as printing, delivery and postage costs 		
Approach to involving stakeholders & community Wide stakeholder involvement		
Monitoring and Review In accordance with the Rugby Borough Council Monitoring Schedule		
Management Arrangements Head of Growth and Investment → Planning Services Working Party → Cabinet		

Document Title	<i>Air Quality SPD</i>	
Lead Section	Development Strategy	
Coverage	Borough Wide	
Status	Supplementary Planning Document	
Synopsis Development proposals will be considered with regard to the Council Air Quality SPD, including where necessary undertaking an Air Quality Assessment and appropriate mitigation.		
Conformity <ul style="list-style-type: none"> • General Conformity with NPPF • Local Plan 		
Timetable		
Key Milestones (shown in <i>italics</i>)	Timescale	
Evidence Gathering	August 2019 - August 2020	
<i>Consultation</i>	August – September 2020	
<i>Adoption</i>	November 2020	
Management Arrangements Head of Growth and Investment → Planning Services Working Party → Cabinet		
Resources <ul style="list-style-type: none"> • Resources from Development Strategy Team, Development Management, Legal and Environmental Health • Administrative Support • Costs of production: such as printing, delivery and postage costs 		
Approach to involving stakeholders & community Wide stakeholder involvement		
Monitoring and Review In accordance with the Rugby Borough Council Monitoring Schedule		
Management Arrangements Head of Growth and Investment → Planning Services Working Party → Cabinet		

Document Title	<i>Statement of Community Involvement</i>	
Lead Section	Development Strategy	
Coverage	Borough wide	
Status	Development Plan Document	
Synopsis		
Schedule with which RBC seeks charge from new developments once permission is granted.		
Conformity		
<ul style="list-style-type: none"> All development plan documents 		
Timetable		
Key Milestones (shown in <i>italics</i>)	Timescale	
Evidence Gathering	June 2019	
<i>Consultation</i>	June - July 2019	
<i>Adoption</i>	September 2019	
Management Arrangements		
Head of growth and Investment → Planning Services Working Group → Cabinet		
Resources		
<ul style="list-style-type: none"> Resources from Development Strategy Team plus officer time and input from Development Control Administrative Support Costs of production: such as printing, delivery and postage costs EiP costs 		
Approach to involving stakeholders & community		
Wide stakeholder involvement		
Monitoring and Review		
In accordance with the Rugby Borough Council Monitoring Schedule		

SUPPLEMENTARY PLANNING DOCUMENTS
Supplementary Planning Documents

APPENDIX C

The following table set outs current SPDs:

Title	Date adopted	Description
Malpass Farm Development Brief	February 1995	Development brief relates to a site which remains undeveloped and it is proposed to continue this allocation in the Local Plan Review. Therefore the SPG continues to be operative. Linked to Policy ED2 in adopted Local Plan (2006)
Planning Obligations SPD	April 2012 (adoption date of revised document May 2020)	Guidance on the likely type and level of financial contributions and other planning obligations developers will pay when planning permission is granted.
Sustainable Design and Construction SPD	April 2012 (adoption date of revised document May 2020)	Guidance to supplement Rugby Borough Core Strategy CS16 with regard to sustainable design and construction, inclusive of residential design guidance
Housing needs SPD	April 2012 (adoption date of revised document May 2020)	Supersedes the Affordable Housing SPD. Guidance to supplement Rugby Borough Core Strategy CS21, 22 and 23 with regard to housing need.
Draft South West Rugby Masterplan SPD	March 2018	Provides masterplanning and infrastructure guidance for the South West allocation in accordance with Policy DS8; for information only until adoption

LIST OF ACRONYMS**APPENDIX D****List of Acronyms**

AMR	Annual Monitoring Report
CIL	Community Infrastructure Levy
CS	Community Strategy
DEPRAS	Development Plans Representation Advisory Service
DETR	Department of the Environment, Transport and the Regions (responsible for planning prior to 2001)
DCLG	Department for Communities and Local Government, responsible for planning from 2006 onwards
DP	Development Plan
DPD	Development Plan Document
DST	Development Strategy Team
DTLR	Department of Transport, Local Government and the Regions, responsible for planning between 2001-2002
LA	Local Authority
LDD	Local Development Document
LDS	Local Development Scheme
LP	Local Plan
LPA	Local Planning Authority (includes Unitary Authorities and District Councils, but also used to include County Council where relevant to their role in producing Minerals & Waste LDDs)
LTP	Local Transport Plan
NPPF	National Planning Policy Framework
M & W	Minerals and Waste
ODPM	Office of the Deputy Prime Minister, responsible for planning from 2002 - 2006

PINS	Planning Inspectorate
POS	Planning Officers Society
SA	Sustainability Appraisal
SCI	Statement of Community Involvement
SEA	Strategic Environmental Assessment
SofS	Secretary of State for planning matters
SPD	Supplementary Planning Document
The Act	Planning and Compulsory Purchase Act

AGENDA MANAGEMENT SHEET

Report Title: Coton Park East Masterplan Supplementary Planning Document (SPD)- Consultation

Name of Committee: Cabinet

Date of Meeting: 24 June 2019

Report Director: Head of Growth and Investment

Portfolio: Growth and Investment

Ward Relevance: Clifton, Newton and Churchover and Coton and Boughton.

Prior Consultation: None

Contact Officer: Victoria Chapman

Public or Private: Public

Report Subject to Call-In: No

Report En-Bloc: No

Forward Plan: No

Corporate Priorities: This report relates to the following priority(ies):

(CR) Corporate Resources To provide excellent, value for money services and sustainable growth

(CH) Communities and Homes Achieve financial self-sufficiency by 2020

(EPR) Environment and Public Realm Enable our residents to live healthy, independent lives

(GI) Growth and Investment Optimise income and identify new revenue opportunities (CR)

Prioritise use of resources to meet changing customer needs and demands (CR)

Ensure that the council works efficiently and effectively (CR)

Ensure residents have a home that works for them and is affordable (CH)

Deliver digitally-enabled services that residents can access (CH)

Understand our communities and enable people to take an active part in them (CH)

Enhance our local, open spaces to make them places where people want to be (EPR)

Continue to improve the efficiency of our waste and recycling services (EPR)

- Protect the public (EPR)
- Promote sustainable growth and economic prosperity (GI)
- Promote and grow Rugby's visitor economy with our partners (GI)
- Encourage healthy and active lifestyles to improve wellbeing within the borough (GI)
- This report does not specifically relate to any Council priorities but

Statutory/Policy Background: SPDs are planning documents which, once adopted, do not form part of the Development Plan but sit beneath the Local Plan. Their purpose is to provide additional detail and information to help guide comprehensive development. They are material considerations in the assessment of planning applications. This SPD will primarily support Local Plan policy DS7.

Summary: This draft version of the Coton Park East Masterplan SPD has been prepared with the support of a wide range of external and internal stakeholders. It now requires a minimum of 4 weeks' public consultation after which representations will be considered and a final version of the document will be produced.

Financial Implications: There is some cost associated with running the consultation itself including printing and postage. As much of the correspondence will be sent electronically as possible.

Once the SPD is adopted it should ensure comprehensive delivery of the Coton Park East site and assist in speeding up the application process by making clear the requirements for the site at the pre-application stage. This will aid quicker delivery of homes, quicker Section 106 payments and payment of Council Tax from new residents.

Risk Management Implications: None

Environmental Implications: The SPD sets out the required amounts of Open Space and Biodiversity protections required on site.

Legal Implications:

The document was required by the Local Plan Inspector and is written into modified policy DS7.

The SPD can only be adopted if a public consultation has taken place. Following the consultation, responses will be considered and any required changes will be made to the document before it is taken to full Council for adoption.

Equality and Diversity:

An Equality Impact Assessment on this document was undertaken on February 5 2019 and will be reviewed prior to adoption. This is appended to the draft SPD.

Options:

1) The current draft of the Coton Park East Masterplan SPD be approved for consultation.

Risks: None

Benefits: The consultation is required by the regulations and is the next step toward adoption of the document.

2) The current draft of the Coton Park East Masterplan SPD is not approved for consultation.

Risks: The document is delayed or not produced at all and cannot be used to inform development.

Benefits: None

Recommendation:

- (1) The current draft of the Coton Park East Masterplan Supplementary Planning Document (SPD) be approved for a public consultation period closing 6 September 2019, and subject to the incorporation of Planning Services Working Party comments into the draft SPD; and
- (2) the Head of Growth and Investment be given delegated authority to make minor amendments following the final review made by the Legal Services Team Leader.

Reasons for Recommendation:

This will allow the document to progress toward adoption stage. Once adopted the document will support the comprehensive and timely delivery of homes, employment units and a school(s) on site in line with the Local Plan.

Cabinet - 24 June 2019

**Coton Park East Masterplan Supplementary Planning Document
(SPD)- Consultation**

Public Report of the Head of Growth and Investment

Recommendation

- (1) The current draft of the Coton Park East Masterplan Supplementary Planning Document (SPD) be approved for a public consultation period closing 6 September 2019, and subject to the incorporation of Planning Services Working Party comments into the draft SPD; and
- (2) the Head of Growth and Investment be given delegated authority to make minor amendments following the final review made by the Legal Services Team Leader.

1. Background

- 1.1. During the Local Plan hearings in January 2018 the Planning Inspector requested that a requirement be added to Local Plan Policy DS7: Coton Park East for a Masterplan SPD to be produced to support comprehensive delivery of the site. As such this requirement was added to the Main Modifications Version of the Local Plan, which was consulted on during August to October 2018.
- 1.2. The final Inspectors Report, which included his final list of modifications, included the requirement for proposals for Coton Park East to be informed by the Coton Park East Masterplan SPD. The Local Plan itself was adopted on the 4th June 2019.
- 1.3. This consultation version of the Coton Park East Masterplan SPD has been produced to meet this requirement. A copy of the SPD can be found as Appendix 1 to this report.
- 1.4. The aim of SPDs is to build upon and provide more detailed guidance on the policies in the Local Plan. An SPD is not a development plan document but sits beneath the Local Plan and is a material consideration in planning applications.
- 1.5. This SPD has been produced with the input of a wide range of stakeholders including Warwickshire County Council Highways, the Lead Local Flood Authority, Warwickshire County Council Ecologists and Archaeologists, and Cadent Gas. The site promoters of the Coton Park East allocation have also provided informal feedback on the draft document.

2. Consultation

- 2.1. Regulation 12b of the Town and Country Planning (Local Planning) (England) Regulations 2012 requires a minimum period of 4 weeks for representations to be made on the draft SPD. In order to take into account the school summer holidays, it is proposed that the consultation period will run from 25th June 2019 until 6th September 2019.
- 2.2. Planning Services Working Party (PSWP) has been engaged during the production of the SPD. A previous draft of the SPD was tabled at a meeting of the working party on 22nd November 2018. The attached draft has been distributed to all PSWP members for any further comments they have. As such the attached recommendation is subject to the incorporation of Planning Services Working Party comments into the draft SPD.
- 2.3. A legal check has been undertaken on the appended SPD, however, delegation is sought to the Head of Growth and Investment to make any further minor amendments following the final legal check by the Legal Services Team Leader.
- 2.4. Along with the SPD itself a Strategic Environmental Assessment (SEA) Screening Report has been produced. This is appended to the SPD and representations can also be made on this document. The Statutory Bodies who are required to provide comments on the SEA Screening will be consulted directly.
- 2.5. In line with the Council's adopted Statement of Community Involvement a Consultation Strategy has been prepared. This forms Appendix 2 to this report. This Consultation Strategy includes details of who will be consulted, how they will be consulted and where copies of the SPD will be available.
- 2.6. Following the consultation, all of the representations will be considered carefully and any changes to the SPD will be made. A Consultation Statement will be published. This will detail the persons who were consulted, a summary of the main issues and how issues raised have been taken into account.

3. Next Steps

- 3.1. A final Coton Park East Masterplan SPD will be produced and taken to full Council for a decision to be made on adoption.

Name of Meeting: Cabinet

Date of Meeting: 24 June 2019

Subject Matter: Coton Park East Masterplan Supplementary Planning Document (SPD)

Originating Department: Growth and Investment

DO ANY BACKGROUND PAPERS APPLY **YES** **NO**

LIST OF BACKGROUND PAPERS

Doc No	Title of Document and Hyperlink
1	Coton Park East Masterplan Supplementary Planning Document- Consultation Draft
2	Consultation Strategy

The background papers relating to reports on planning applications and which are open to public inspection under Section 100D of the Local Government Act 1972, consist of the planning applications, referred to in the reports, and all written responses to consultations made by the Local Planning Authority, in connection with those applications.

Exempt information is contained in the following documents:

Doc No	Relevant Paragraph of Schedule 12A



Rugby Borough Council

**Consultation Draft Version- Coton Park East
Masterplan**

Supplementary Planning Document

Consultation Draft

This Supplementary Planning Document is issued for a four week public consultation. The consultation begins at **9am** on **Tuesday 25th June 2019** and will close at **5pm** on **Friday 6 September 2019**.

Comments can be submitted by either email or post. If you submit by email it is not necessary for you to submit a paper copy as well.

Either

By email:

Comments should be sent to localplan@rugby.gov.uk with 'Coton Park East SPD Consultation' in the title box.

Or

By post:

Coton Park East SPD Consultation,
Development Strategy,
Rugby Borough Council,
Town Hall,
Evreux Way,
Rugby.
CV21 2RR

By 5pm on Friday 6 September 2019.

If you have any queries about this consultation please contact the Development Strategy Team on localplan@rugby.gov.uk or 01788 533741.

Please note that for the purposes of transparency your name and full comment will be published. Other personal information including your email address or postal address will not be published.

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1. Introduction

- 1.1. This supplementary planning document (SPD) concerns the Local Plan allocation known as Coton Park East, labelled as DS3.1 in Local Plan policy DS3. It fulfils the requirement of Local Plan Policy DS7 of the Local Plan which requires that proposals for development within this allocation site should be in line with the Coton Park East Masterplan SPD.
- 1.2. Local Plan Policy DS7 is contained within Appendix 1 of this document. This contains the policy requirements for the site. Local Plan Policy DS7 allocates Coton Park East to provide around 800 dwellings and 7.5ha of employment land. The employment land should be provided to meet the qualitative demand for smaller units in the range of 5,000 to 50,000 sq ft in B1c, B2 and ancillary B8 employment uses.
- 1.3. The purpose of this SPD is to provide further guidance to ensure comprehensive delivery of all of the requirements for the Coton Park East allocation. In particular this SPD covers masterplanning, infrastructure requirements and guidance on phasing and delivery. Once adopted it will become a material planning consideration for applications but will not be part of the development plan.

2. National Policy and the Local Plan

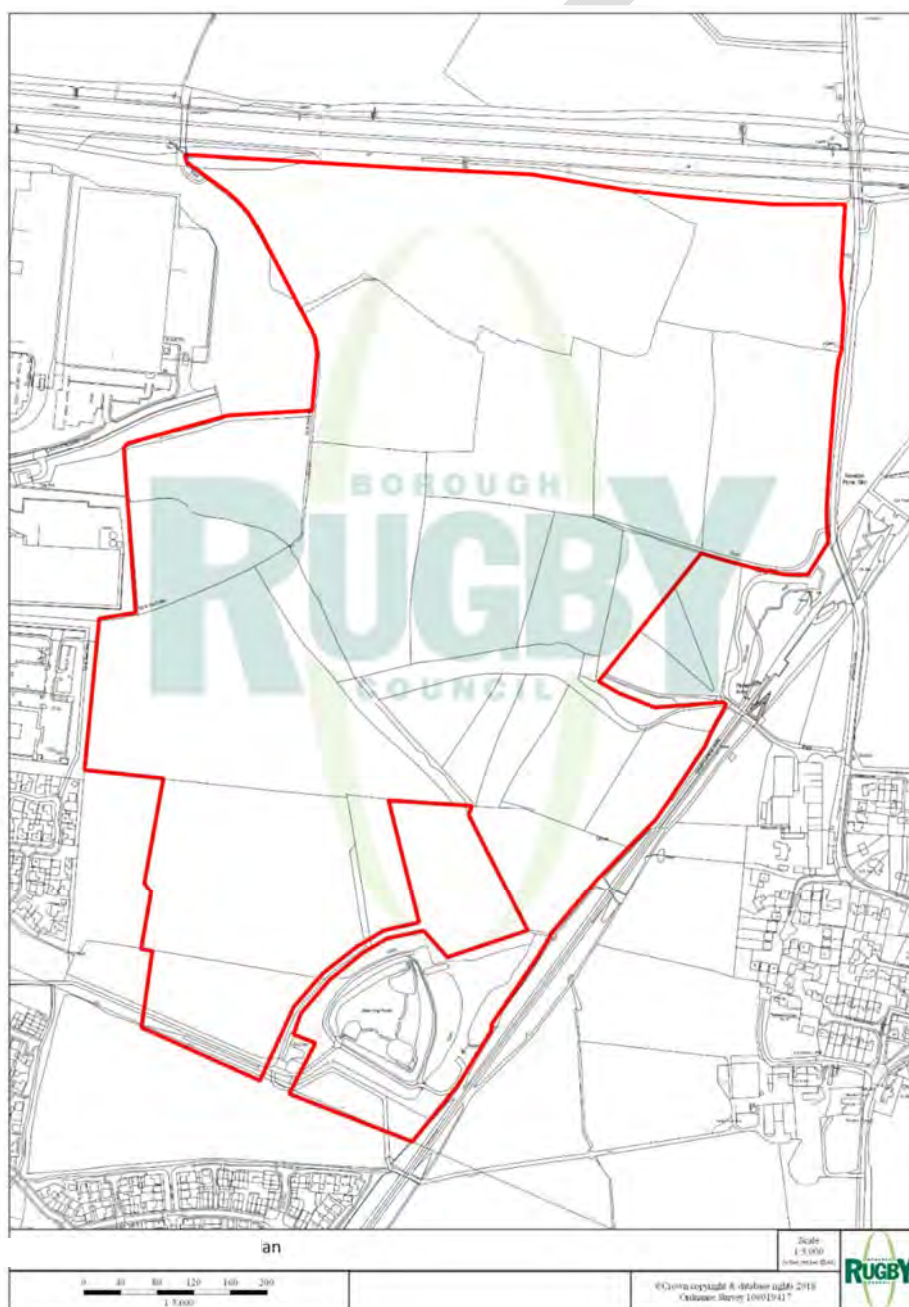
- 2.1. The National Planning Policy Framework (NPPF) defines SPDs as documents which add further detail to the policies in the development plan. Stating that they can be used to provide further guidance for development on specific sites.
- 2.2. As well as Local Plan Policy DS7 which sets out the requirement for the Coton Park East allocation, any proposal for the site will have to comply with Local Plan Policy DS5: Comprehensive Development of Strategic Sites (Appendix 2 of this SPD). Paragraph 4.44 of the Local Plan, underneath Policy DS5, requires all masterplan SPDs to clearly demonstrate how the mix of uses and infrastructure requirements will be planned for and delivered to ensure development is sustainable and meets the policies set out within the Local Plan. This SPD provides further detail which will support compliance with DS5 to achieve comprehensive development of the site.
- 2.3. Any proposal for development on the site will be required to comply with all of the relevant policies of the Local Plan as well as National Policy. Further specific detail on some of the relevant policies is included in the later sections of this SPD.

3. The Site and its Context

- 3.1. The site known as Coton Park East is shown on the outline plan below. The site is bounded by the M6 motorway to the north. To the east it is bounded by Newton Lane, a country road which connects the village of Newton to the A5 road. The Great Central Walk which runs along the Newton Dismantled Railway intersects with Newton Lane and forms the remainder of the eastern boundary of the site. The Great Central Walk is a Local Nature Reserve.
- 3.2. To the south and west is the existing Coton Park residential development. Phases B1 and B2 of Coton Park were initially granted permission in October 2015. Building work has commenced on Phase B1. Persimmon Homes have submitted a second application for Phase B2 prior to

applications within the Coton Park East development. Coton Park East can be seen as an extension to the existing Coton Park development.

- 3.3. Further north along the western boundary is the employment area Central Park which contains a mix of large distribution warehouses and medium sized light industrial and office units as well as two courtyard office parks.
- 3.4. The following maps show the boundary for the Coton Park East allocation. The map on the next page provides a photograph view of the site from the air and shows the existing field pattern and the strips of hedgerow and trees which divide these fields. Also visible in this photograph are the trial trenches which have been undertaken. More information about this is provided in the Heritage section of this SPD.

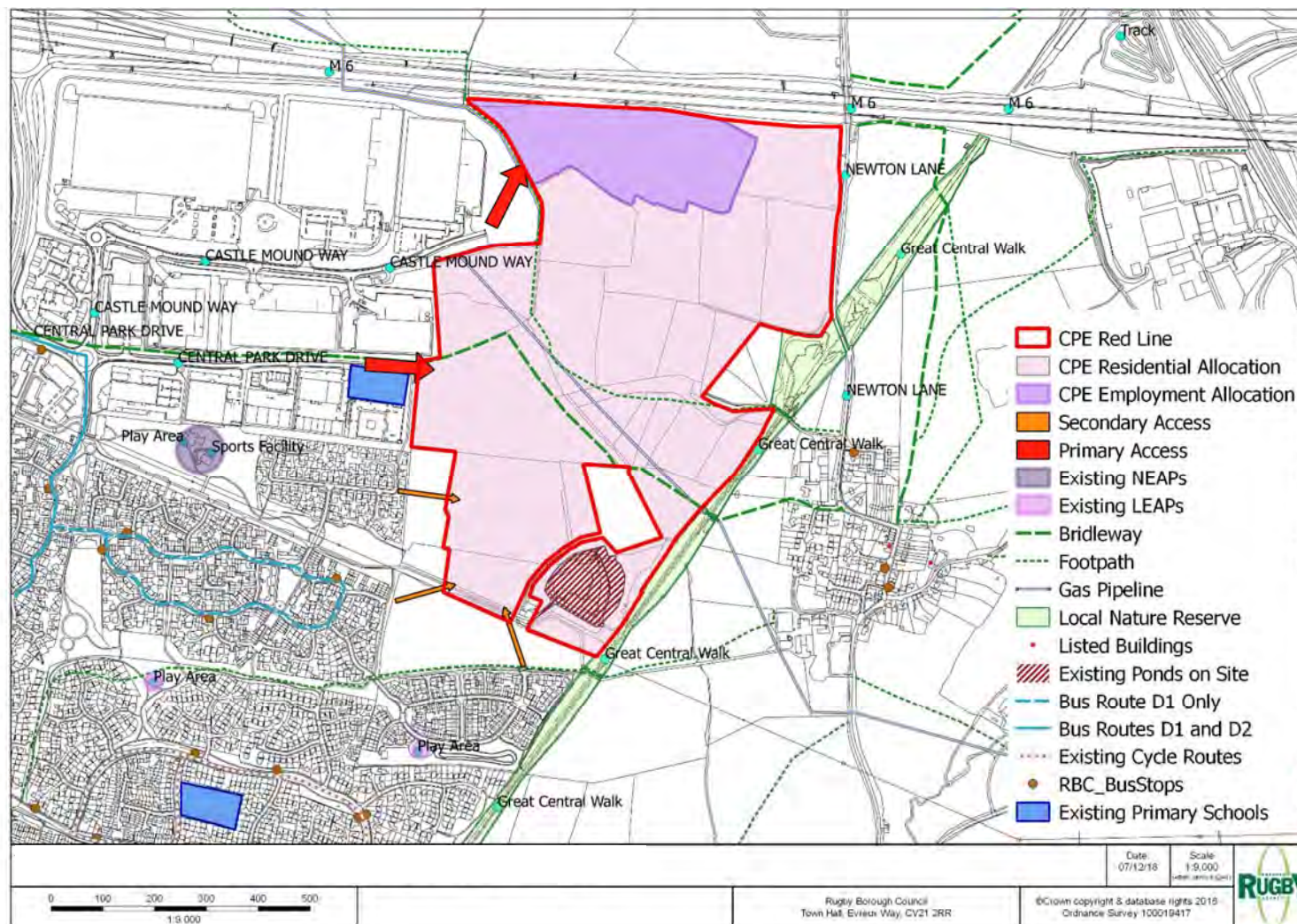


Map One: Indicative Site Location Plan



Map Two: Air Photograph Site Location Map

3.5. The map below shows the key existing features outside of the site.



Map Three: Existing Features around the Coton Park East Site.

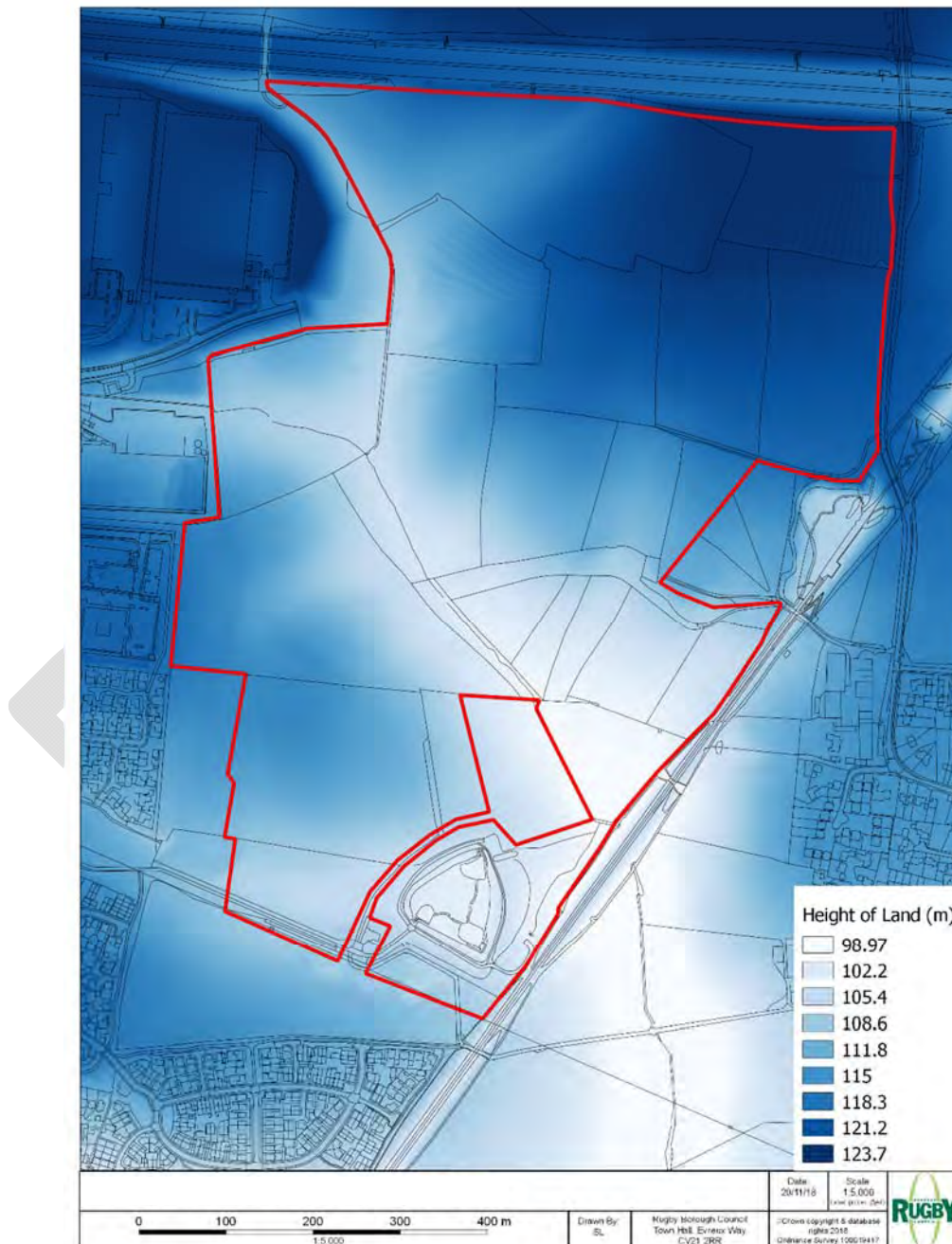
3.6. The site is 3.6km directly north east of the town centre and just over 5km by road. Using The Great Central Walk route (shown on the previous map) there is a Tesco superstore just over 35 minutes' walk from the site and a large Aldi store just 16 minutes' walk from the site. Within 3km of the site is the Elliott's Field retail park and Junction 1 retail park which have a range of comparison and bulky goods on offer as well as a cinema and gym.

3.7. Key facts about the site can be found in the table below.

Figure One: Key Facts Table	
Site Size	Approximately 55 hectares
Timeframe for Delivery	<p>The Housing Trajectory which forms Appendix 2 of the Local Plan states that all of the 800 homes are expected to be built within the plan period with the final 20 homes scheduled for completion in 2029-30.</p> <p>280 homes are expected to be completed within the first five years of the plan post-adoption (2019-20 to 2023-24).</p>
Previous Uses	Currently agricultural land, mainly grade 2.
Ownership	The Andrews Family C/O Budworth, Hardcastle AC Lloyd Holdings Ltd Neyland Properties Ltd
How the site was identified	The site with its current outline was submitted to the 2016 'Call for Sites' process. It is included in the 2016 Strategic Housing Land Availability Assessment (SHLAA) as site S16/083. It had previously been submitted in 2013 as two separate sites.
Planning Designations and Constraints	<p>To the east of the site there is a Local Nature Reserve (LNR), 'Newton Dismantled Railway' also known as the 'Great Central Walk'. This also forms part of the Strategic Green Infrastructure Network for the Borough.</p> <p>There are also two Local Wildlife Sites (LWS) within the site - Coton Park Pool LWS and River Avon and Tributaries LWS. Outside of the site but in close proximity is the Newton Pool and Pastures LWS on the eastern side of the Great Central Walk.</p> <p>The site is on fairly undulating ground. This is illustrated in the cross sections below the table.</p> <p>The site is within an Air Quality Management Area.</p> <p>There is an underground gas line running across the site which requires an easement. Further information can be found in the Gas Pipeline section of the SPD.</p> <p>A stream runs across the site in the same direction has the underground gas line. This will require an easement.</p>

	Great Crested Newts, a European protected species are known to be located around the pond to the south west of the site.
Requirement of Policy DS7	Around 800 homes and 7.5ha of employment land. The full policy wording with complete list of requirements can be found in Appendix 1 to this document.

3.8. The site is fairly undulating, as shown on the topographic map and cross sections below.



Map Four: Digital Terrain Model showing Height of Land

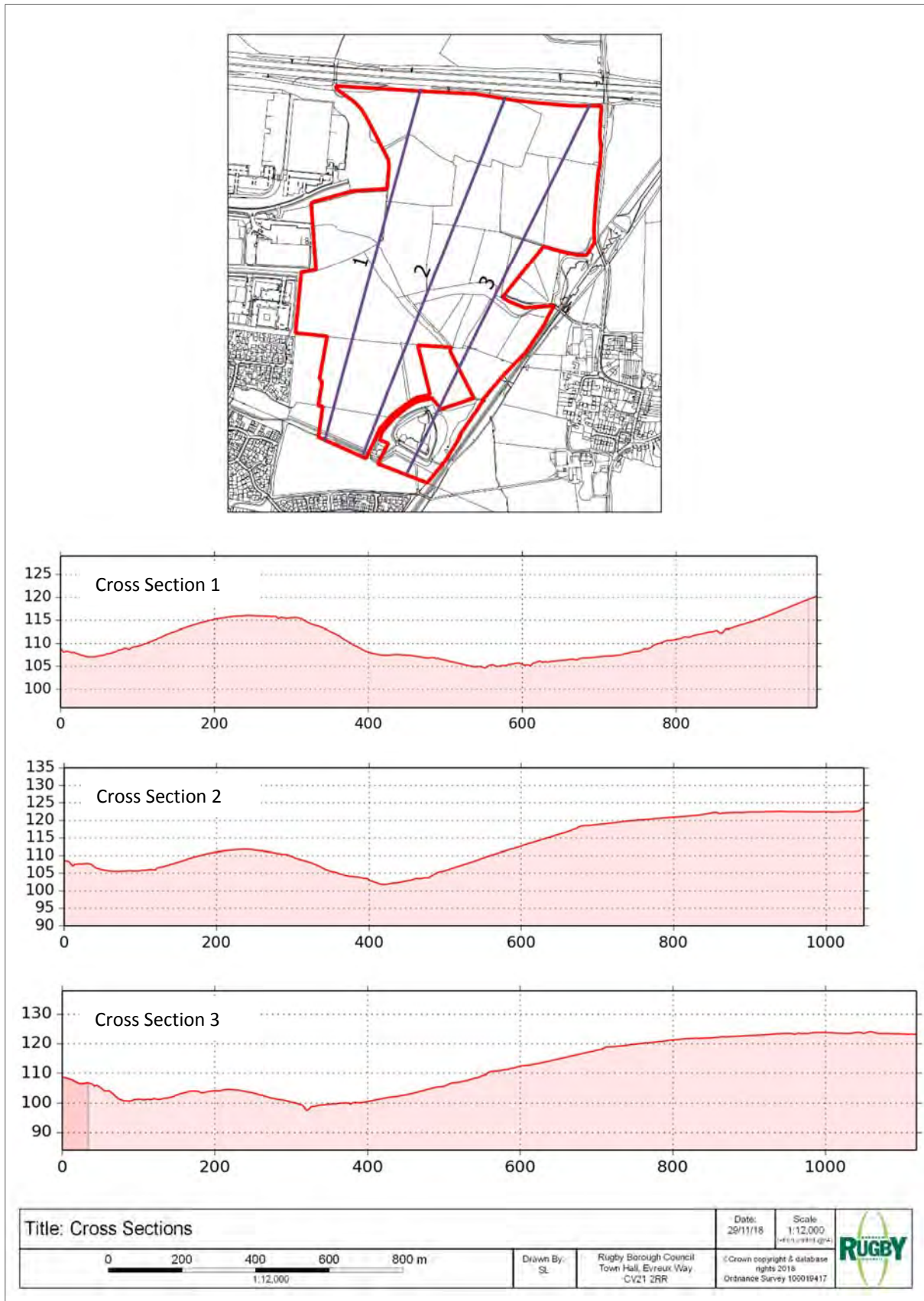


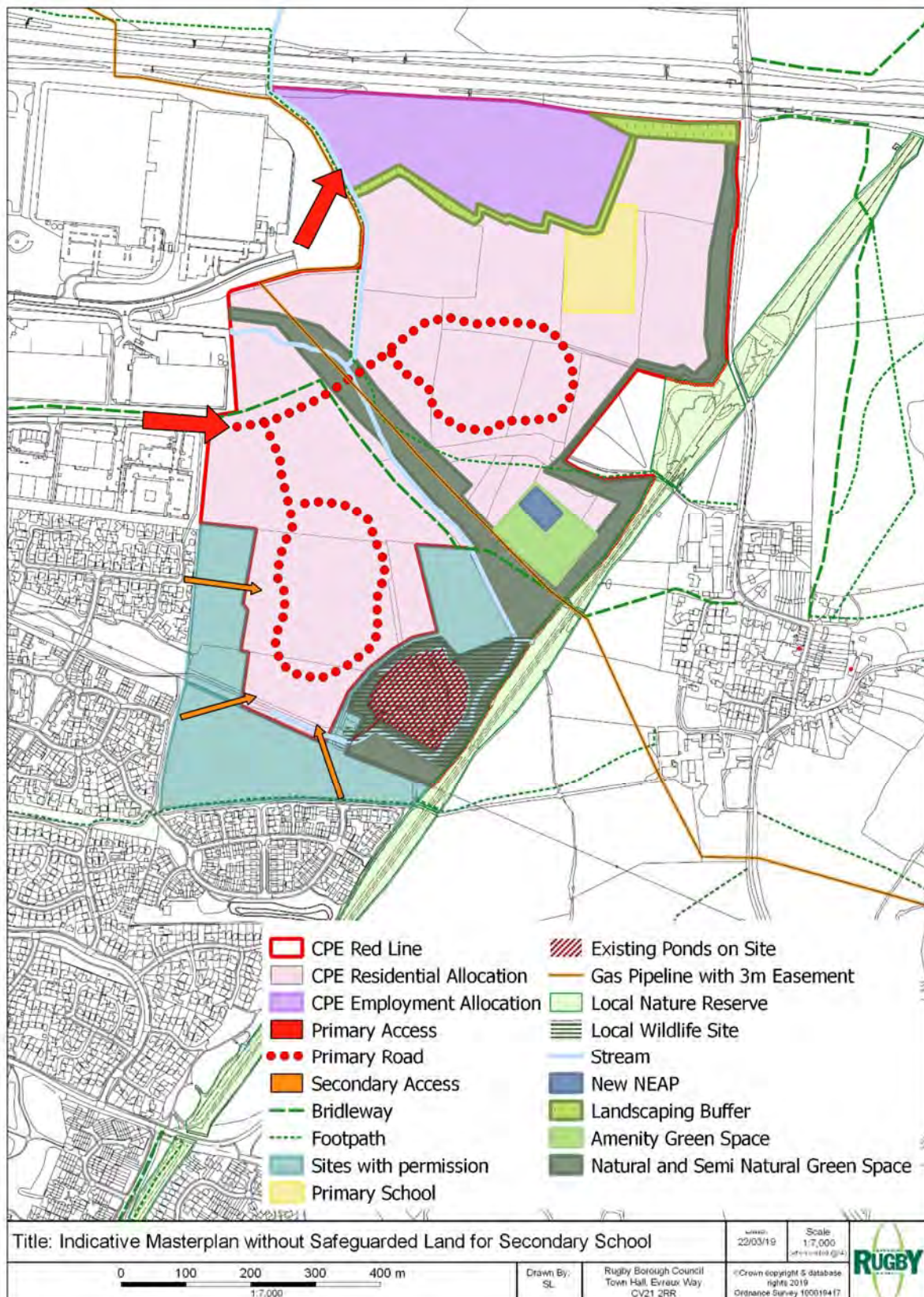
Figure Two: Cross Sections of Land

Heights and distances all in meters.

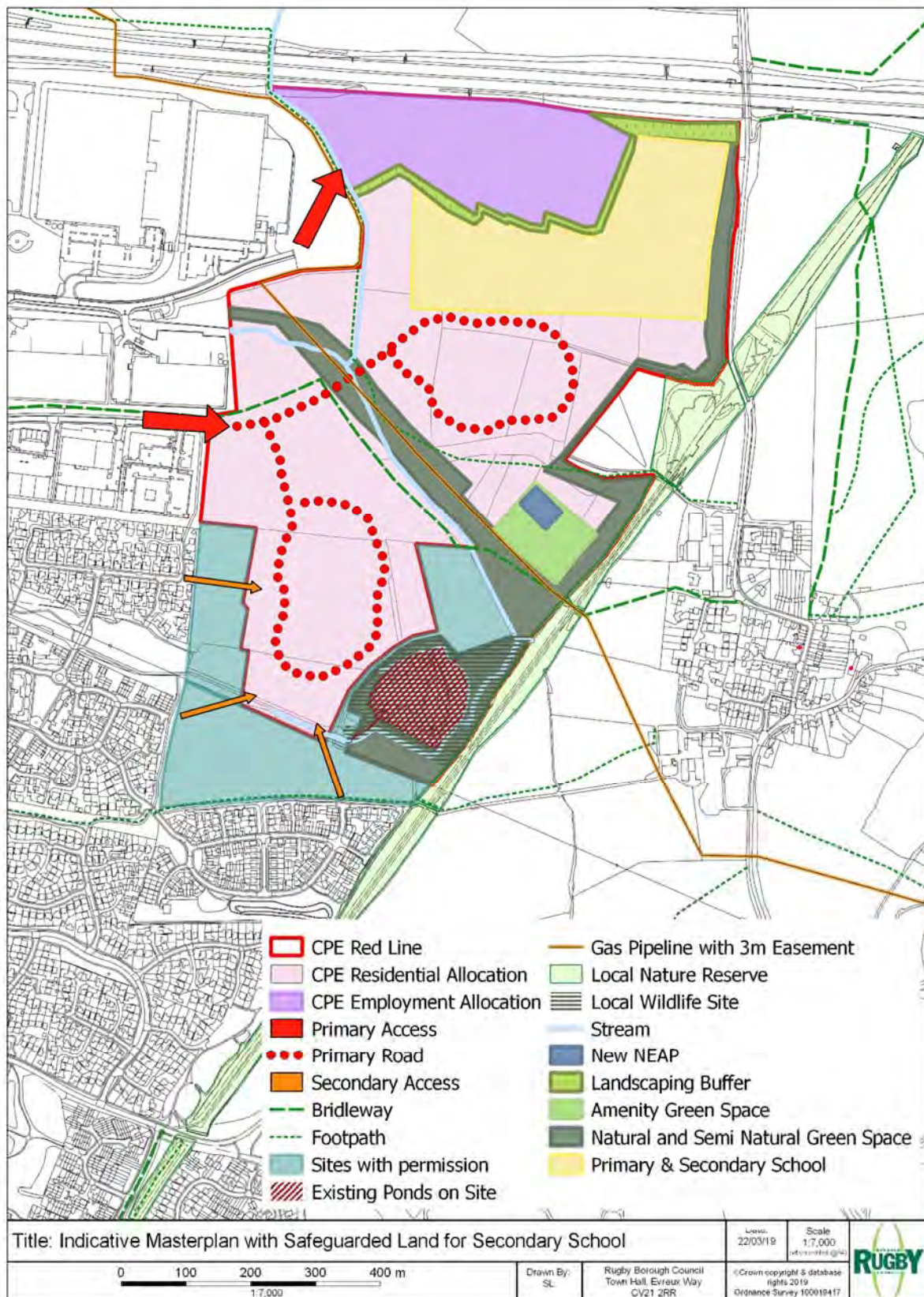
4. Masterplan

- 4.1. Below are two indicative masterplans for the Coton Park East allocation. The first illustrates all of the requirements for the site in the case where safeguarded land **is not** required for a secondary school and only a primary school is required. The second demonstrates all of the requirements for the site in the case where safeguarded land **is** required for a secondary school on site. Further information on this can be found in the education section on page 21.
- 4.2. In both examples the employment element of the site is positioned to the north, immediately adjacent to the existing Central Park employment site and along the M6 motorway. This location has been presented in draft masterplans provided by the developers as part of their 2016 SHLAA submission and in their own promotional materials from July 2016.
- 4.3. These masterplans have been provided to guide comprehensive delivery of the site by laying out indicative locations for open space, access, play areas, the school or schools, primary roads and other features. This demonstrates the requirement for the site to be considered as a whole allocation rather than separate development sites. The masterplans, and the SPD more generally, bring together the specific requirements of both Rugby Borough Council, Warwickshire County Council and other bodies to ensure these are clear to developers from the outset.
- 4.4. The locations for features are indicative and further information is provided in this SPD providing criteria for the location of features if they are to differ from those shown in the masterplans. Any masterplan which differs from these indicative versions will be considered on its own merits as part of the assessment of the application against the policies of the adopted Local Plan.

Map Five: Masterplan One- Safeguarded land is not required.



Map Six: Masterplan Two- Safeguarded land is required.



5. Phasing and Delivery

- 5.1. It is the Council's strong preference that one or two outline or hybrid applications which together cover the whole allocation site are submitted. There will be a legal agreement against each application. Each legal agreement will include triggers to ensure infrastructure and payments are provided at appropriate times.
- 5.2. Applications must acknowledge that they sit within the wider Coton Park East allocation and should refer to its relationship in terms of connectivity and design with other parcels and the wider site. A Statement of Compliance with this SPD should be submitted with each application.
- 5.3. Local Plan policy GP4 states that permission will not be granted for development which would prejudice comprehensive development of an allocated site. This must be complied with. In line with GP4 applicants and developers will be required to facilitate access across the whole allocation to ensure comprehensive delivery.
- 5.4. The Council will expect to be provided with an evidence base which provides site-wide information, to be submitted with all applications. This will be especially important for issues including flooding, drainage, landscape and highways matters.

6. Housing Mix and Affordable Housing

- 6.1 Policy H1 requires a housing mix which is consistent with the latest Strategic Housing Market Assessment (SHMA). The most recent SHMA at the time of writing this SPD was from 2015 and forms part of the Local Plan evidence base. The housing mix required by this document is outlined in table two below. This will be superseded when a new SHMA (or alternative equivalent document) is published. Applicants must comply with the most recent available published figures.
- 6.2 Policy H2 requires greenfield sites to provide 30 percent affordable housing. The tenure and mix of the affordable housing should also be in compliance with the latest SHMA. The housing mix figures for affordable housing from the most recent (2015) SHMA are also provided in table two below. The neighbouring Coton Park development has historically delivered affordable housing at levels compliant with adopted policy.

Figure Three: Table showing Housing Mix from 2015 SHMA

(these will be superseded)

	1-bed	2-bed	3-bed	4+bed
Market Housing	5-10%	25-30%	40-45%	20-25%
Affordable Housing	30-35%	30-35%	20-25%	5-10%

- 6.3 A legal agreement will secure the tenure and mix of affordable housing in line with the Council's requirement at the time the application is considered.
- 6.4 Policy H1 also requires provision to be made for self and custom build properties. At the time of writing this SPD (June 2019) there are 97 people who have registered as being interested in self

and custom build. Of these there are 25 who have either stated that they have no preference on the location or who have stated a broad location which could include the Coton Park East site. The exact number of custom and self-build plots will be negotiated at application stage. Provision of these units will be secured by a Section 106 Agreement.

- 6.5 Policy H6 requires provision of housing to meet the needs of older persons and those members of the community with specific housing needs. This would include a proportion of homes which meet the Category 2: Accessible and adaptable or Category 3: Wheelchair user dwellings. Requirements are found under part M of the Building Regulations. The Council would expect ten percent of dwellings at Coton Park East to meet this need with some of those units being affordable.

7. Employment

- 7.1. Local Plan Policy DS7 requires that employment development should be provided to meet the qualitative demand for smaller units in the range of 5,000 to 50,000 sq ft in B1c, B2 and ancillary B8 employment uses.
- 7.2. The 7.5ha of employment land forms part of the larger requirement for the Borough, as set out in Policy DS1. This employment requirement has been aligned with housing growth.
- 7.3. A qualitative need for smaller employment units was identified in paragraph 8.10 of the Rugby Employment Land Study (document LP12 in the Examination Library). Due to the smaller size of the site compared to other employment allocations and due to the current mix of employment units in the adjacent Central Park, Coton Park East was seen as the best location to meet this need for smaller units in the B1c, B2 and ancillary B8 use classes.
- 7.4. The conclusions of the Employment Land Study were strengthened by an additional piece of research carried out by Warwickshire Economics, part of Warwickshire County Council, in January 2018. This report showed that Rugby had a higher proportion of small and medium sized enterprises (SMEs) than the average for Warwickshire. Start-up rates for businesses in Rugby are proportionally larger than the averages for both the county and England. The majority of inward investment enquiries for Rugby received by Warwickshire Economics in 2017 were looking for unit spaces of between 5000 and 50,000 sq ft with the unit type most in demand being industrial. A clear mismatch between supply and demand was noted.
- 7.5. A secondary benefit of having smaller units in these specific use classes is their compatibility with residential properties and the school or schools which will form the remainder of the allocation. The smaller sizes of unit are less likely to be overbearing. The design of these units will be a key consideration in ensuring that the living conditions for any current and future residents of Coton Park East are safeguarded. Especially considering that the land to the north is positioned higher than much of the wider site.

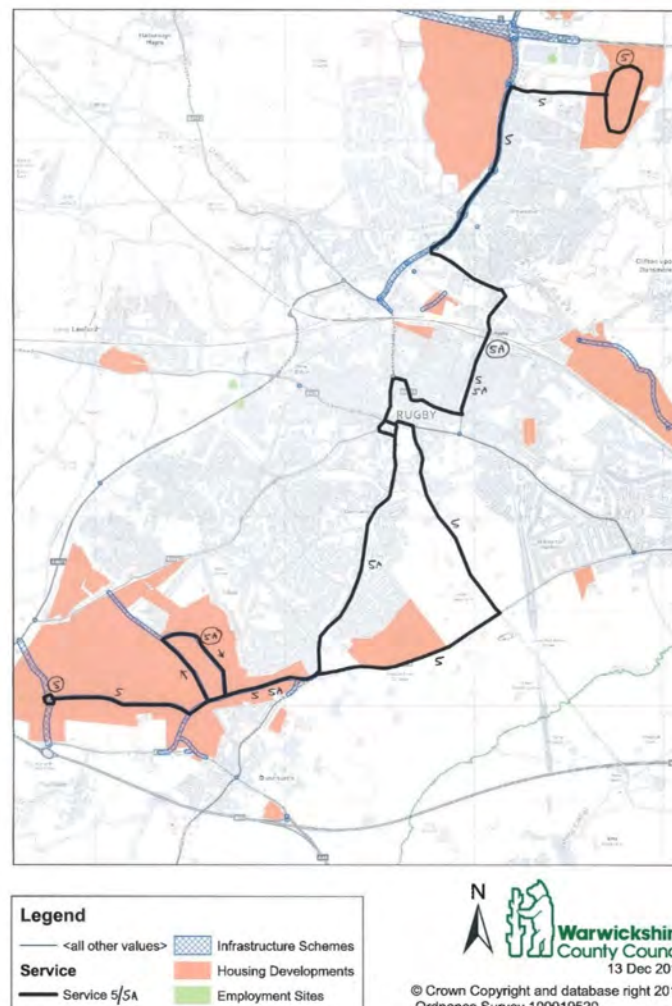
8. Connectivity and Highways

- 8.1. Advice from Warwickshire Highways states that a minimum of two roads would be required to provide access to a residential development of this size. Due to the nature of the accesses to the south of the site coming through existing residential areas, their capacity will be less than the primary access from Central Park Drive. As such, these are deemed to be secondary access points.

Indicative locations for these are shown on both masterplans. A total of four accesses into the residential element of the site are proposed, three of these coming through existing residential areas.

- 8.2. A further separate access must be provided from Castle Mound Way directly into the employment land to the north of the allocation. This must not go through the residential part of the site. This is shown on both masterplans.
- 8.3. Landowners and/or developers are encouraged to work together to provide specific pieces of evidence across the whole allocation. A Transport Assessment (TA) will be required to support applications within the allocation. It is the preference of Warwickshire County Council (WCC) that one TA which covers the whole allocation is produced. However, it is acknowledged that one TA for the residential area and one for the employment area would also be acceptable. The TA must demonstrate to the satisfaction of Warwickshire Highways and RBC that on-site and off-site measures will mitigate the transport impact of development.
- 8.4. Where there are separate TAs for separate parcels within the site these should include sensitivity testing to understand the cumulative impact on highways of development of the parcel in the context of development across the whole allocation site, even where these parcels have not yet been granted permission.
- 8.5. The TA should be based on the masterplan which will generate the highest trip rate. At this stage it is assumed that this would be masterplan one which includes a higher quantum of residential development with only the primary school required. Sensitivity testing should then be included which considers the implications of the differing scenarios for education provision onsite.
- 8.6. The criteria which must be covered by a TA can be found in Local Plan Policy D1.
- 8.7. The masterplans show the primary and secondary access points, defined as such due to their potential capacity. An indicative route for the primary road through the site is also shown. The indicative layout of the primary road only requires one crossing over the gas pipeline and stream. One larger loop which crosses this in two places would also be acceptable although minimising the crossing of the gas pipeline and stream is preferable. Crossing the gas pipeline will require permission from Cadent Gas and will require the use of concrete pads constructed and appraised to Cadent Gas G17 standards.
- 8.8. The Highways Authority will be consulted on the detailed layout of all accesses and roads as part of future planning applications.
- 8.9. The primary school should be positioned on a secondary road. Dwellings should be mainly provided off secondary roads. Dwellings which are positioned along a primary road should be laid out with up to 6 dwellings off a private drive which adjoins the primary road.
- 8.10. At present Coton Park is served by the D1 and D2 bus services. Their routes are shown on the map on page 8. Both services run between Rugby and Northampton with stops at the Daventry International Rail Freight Terminal (DIRFT) major employment site and Daventry town itself.

- 8.11. An extension to this existing bus route into Coton Park East may not be possible due to the primary access to the allocation being from Central Park Drive which would create a large diversion to the current route. If an extension is not feasible, a new bus route is proposed which will connect Coton Park East to Elliott's Field, Warwickshire College, Rugby Railway Station and the town centre. It is proposed that this route will continue down to connect to the new development at South West Rugby which includes a new employment area. Residents will be able to change buses in the town centre where they can then catch buses which take them to employment sites including DIRFT and onto Northampton.
- 8.12. Indicative information for this new bus route has been developed by WCC. The new route would be funded by contributions secured by way of a Section 106 agreement from both Coton Park East and the South West Rugby developments. Further detail on these costs will be finalised at the application stage.
- 8.13. The indicative new bus route can be seen on the map below. This has been provided by Warwickshire County Council and is only at the initial development stage.

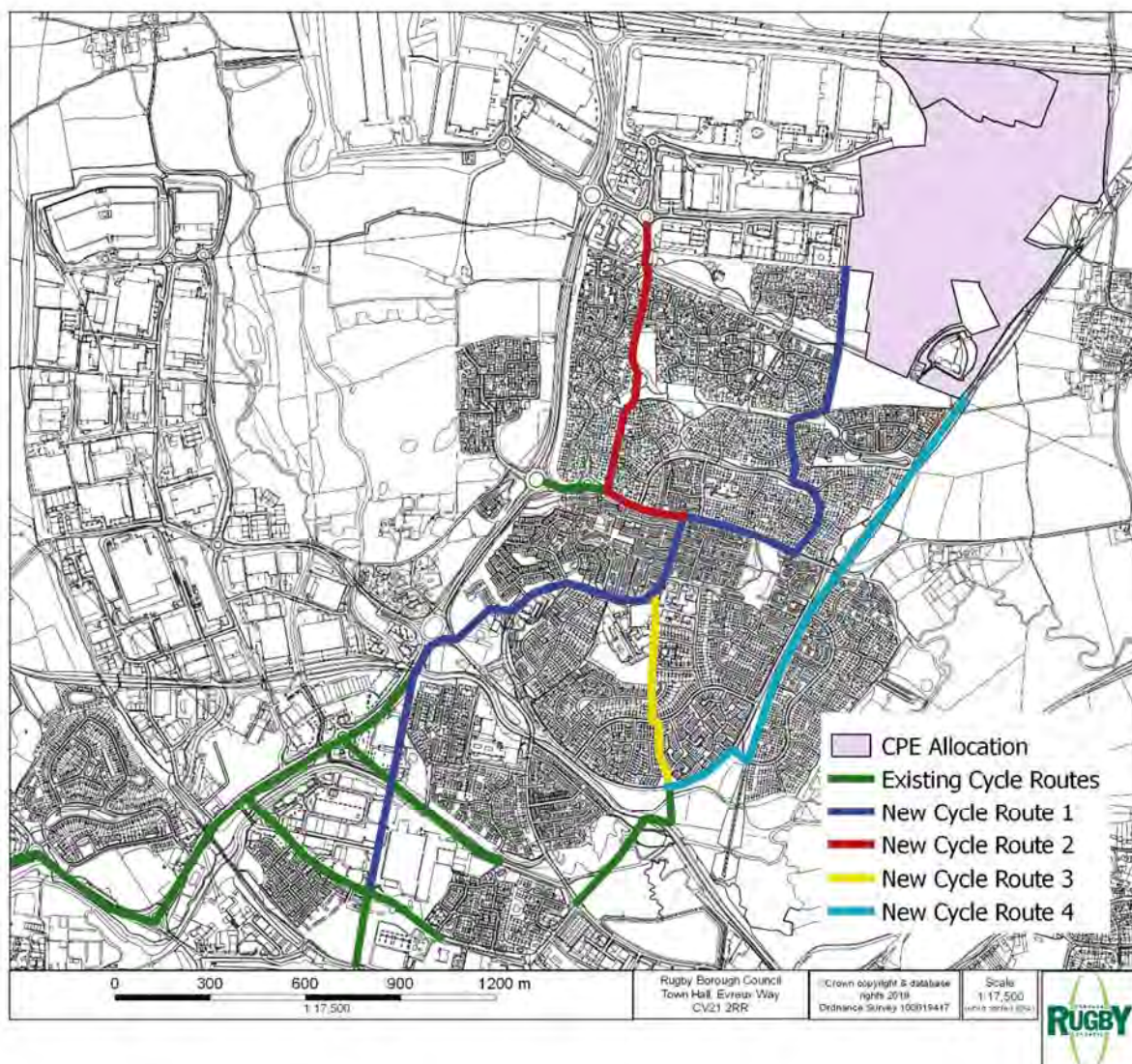


Map Seven: Warwickshire County Council Indicative New Bus Route

- 8.14. Good public transport connections to the town centre and Train Station will be essential and are specifically required by Policy DS5. The internal layout of the site will need to accommodate suitable bus routes. The indicative primary highways layout ensures that the primary road

through the allocation creates a loop for bus routes. Space within the highway for bus stops will need to be included.

- 8.15. Pedestrian routes and cycling paths will be required to connect housing with the school and the employment area. They should also provide comprehensive walking and cycling connections to existing adjacent developed areas. This is required by Policy DS5. New residents should be able to conveniently reach local destinations by cycle or on foot and not have to make long detours. More access points should be provided for pedestrians and cyclists than vehicles to encourage more active travel.
- 8.16. Signing of pedestrian and cycle networks within the development site should ensure that key locations within the site are easily accessible. Key destinations include the school (or schools), employment area and children's play areas. Signing should also highlight key destinations beyond the site boundary, such as the town centre, schools, train station and leisure facilities. The signing should include direction, destination and distance information as appropriate to raise awareness of the pedestrian and cycle links from the site.
- 8.17. The internal network of roads and streets should be designed so that cyclists can be accommodated safely within the road network. The cycle network across the site should meet the following criteria:
- Where traffic levels are higher, along the primary roads, dedicated provision for cycling which is segregated from traffic is required;
 - Interruptions to routes which require cyclists to stop and start should be minimised; and
 - Suitable crossing points are required for crossing the primary roads.
- 8.18. Cycling provision on the road network should be complemented by traffic-free routes along green corridors and through open spaces where appropriate. This can provide a more direct and attractive alternative to the road network. In line with this a contribution will be sought to relay the path and improve the northern section of Great Central Walk (as has been carried out already along the southern section). This will ensure it is utilised as a walking and cycling route to provide access toward the Train Station and into the town centre.
- 8.19. The layout of highways routes shown on the masterplan are indicative. However, the layout has been informed by discussions with Warwickshire Highways and as such it is expected that they will be used to inform the more detailed layout of the site and the routes for pedestrians and cyclists.
- 8.20. The peripheral location of this site in relation to Rugby means that safe, direct and attractive cycle links will be vital to encourage people to cycle rather than use cars for local journeys. WCC has identified potential new cycle links to serve the site and provide cycle access to key local destinations, as well as to connect to the existing cycle network in town. Direct and convenient access to these proposed off-site routes should be provided from all areas of the development site. The map below has been provided by WCC and shows four new off-site routes linking up to the existing cycle network which is shown in green.



Map Eight: Warwickshire County Council Existing and Potential Cycle Routes Map

- 8.21. A highways agreement will be required between the applicant and Warwickshire Highways to agree specifications for highways and other onsite infrastructure, including bus stops.
- 8.22. The Infrastructure Delivery Plan can be found at Appendix 3 of the Local Plan. There are several costs for off-site mitigation works included in this document. The final updated list of costs will be provided when an application is submitted and works will be secured through Section 106 or highways agreements.
- 8.23. The developer will provide the onsite cycle and pedestrian infrastructure including paths and signage. Alternatively it can be agreed that monies will be provided to the County Council to carry out the works. Provision of infrastructure or monies will be secured through a Section 106 agreement or planning condition.

9. Education

- 9.1. As per the Infrastructure Delivery Plan (IDP) at Appendix 3 of the Local Plan, a two form entry primary school is required on site. This will require between 1.2 and 1.5ha of land to be provided to WCC. The primary school shown on masterplan one covers an area of 1.5ha.
- 9.2. WCC would be looking to take freehold of the land at around 200 dwelling occupations with the land being accessible and serviced to the boundary at this point. The exact timing that this will be required will be agreed as part of the application process and secured through a S106 agreement.
- 9.3. Secondary school provision for Coton Park East is to be provided off-site through the expansion of existing secondary schools in Rugby. A financial contribution is therefore required to contribute to school places for secondary school as well as early years, post 16 and Special Education Needs (SEN).
- 9.4. The latest calculation provided by WCC estimates a sum of just over £8.6 million will be required as a contribution toward school places for all years if 800 homes are given permission on the site. This also makes an assumption about the mix and tenure of the dwellings on site. The financial contribution is based on the number of pupils the proposed housing is likely to generate. At the time of calculating this figure there are estimated to be 270 primary school pupils and 193 secondary school pupils living at Coton Park East if 800 homes are built out.
- 9.5. This £8.6 million includes a contribution towards the £6 million cost of delivering the primary school on site. The exact contribution requirement will be calculated by Warwickshire County Council using their current funding formula and will be dependent on the number, mix and tenure of dwellings proposed in planning applications as well as any agreed delivery of the school by the developer in lieu of costs. This will be secured by a S106 agreement.
- 9.6. Additionally there will be a cost for pupil transportation to schools which will be calculated at the application stage. This will take account of any primary and/or secondary provision onsite.
- 9.7. In order to safeguard provision for the eventuality that there is not capacity at existing secondary schools a 7ha parcel of land is to be reserved on site for a secondary school. This will be in addition to the primary school and could be a separate site or a single 8.5ha parcel of land for an all-through school.
- 9.8. As set out in Local Plan Policy DS7, the 7ha parcel of land will be reserved for a period of 12 to 24 months from Local Plan adoption. After this time if the Local Education Authority does not require the land for a secondary school the land will be released for residential use.
- 9.9. It will be the responsibility of the Local Education Authority to carry out periodic reviews and a final review and to ensure that land is requested within the timescales set out in Local Plan Policy DS7. A decision may be made by the Local Education Authority at any point between 12 and 24 months after the date that the Local Plan is adopted. If after 24 months WCC have not made a decision on whether the land is required landowners may seek to use the land for residential dwellings, subject to planning consent being obtained.

9.10. The location of the school or schools as shown on the masterplans on pages 13 and 14 are intended to be indicative. The location of the school or schools put forward in a planning application does not have to be in this indicative location. However, the Local Education Authority will expect the school site to meet specific requirements or to include appropriate mitigation. The list of requirements can be found in Appendix 5 Part A.

9.11. The design of the school or schools should be of a high standard in line with paragraphs 12.1 and 12.2 below. The Local Education Authority will expect the school site to meet specific design requirements. A list of requirements can be found in Appendix 5 Part B.

10. Gas Pipeline

10.1. The gas pipeline which runs across the site and along the north western boundary is classed as a 'Major Accident Hazard Pipeline' by Cadent Gas, the body responsible for the pipeline. A three metre easement is needed either side of the pipeline in order for Cadent Gas to maintain access to this piece of infrastructure. No development is permitted within the easement without the written permission of Cadent Gas, this will include public footpaths and children's play areas. This may have an impact on whether green space along and close to the pipeline can be included within the public open space requirement for the site. This will be confirmed as part of the consultation process for any application.

10.2. The Health and Safety Executive (HSE) will need to be consulted on any development within 90 metres of the pipeline. Minimum safe distances between the pipeline and certain land uses will be provided by the HSE as part of the consultation process for any application.

11. Parking

11.1 The latest parking standards are contained within Appendix 5 of the Local Plan. Proposals are expected to meet these standards. Clear and convincing justification would be required where proposals fall below the numbers set out in the standards. Parking Spaces must meet the standards as set out in the most recent version of 'Manual for Streets' or any alternative document as advised by Warwickshire Highways.

11.2 In terms of the size and layout of parking spaces, for residential dwellings car parking should be on plot ideally at the front of or in between properties. Development designs that facilitate the use and help the retention of parking spaces will be encouraged. Landscaping at the front of properties should be provided to soften the impacts of parking.

11.3 Cycle parking spaces should be covered and safe.

11.4 Electric Charging Points for electric and hybrid vehicles are required to be provided as part of development as outlined in the parking standards.

12. Residential and Employment Design

12.1. The 2019 NPPF has a renewed focus on the importance of good design. Paragraph 130 of the NPPF makes clear that permission should be refused for development of poor design and that design standards in SPDs should be taken into account. The Design and Access statement

submitted with applications should make clear how the proposal has considered this design section of the SPD.

- 12.2. Local Plan Policy SDC1 requires all development to demonstrate high quality, inclusive and sustainable design. It makes clear that new development will only be supported where the proposal is of a scale, density and design that responds to the character of the areas in which they are situated.
- 12.3. 'Building for Life 12', as referenced in the NPPF, will be used in the assessment of applications and it is advised that applicants use this to help inform layout and design. Appendix 6 contains principles for design across the site. Part A are site-wide design principles, Part B are principles for residential design and Part C principles for employment design.
- 12.4. The relationship between the residential, employment and school elements of the site must be carefully considered. A landscaping buffer will be required between the two elements as described in the biodiversity and landscape section below.

13. Landscape, Ecology and Biodiversity, and Green and Blue Infrastructure

Landscape

- 13.1. The 2006 Landscape Study (LP34 in the Local Plan Examination Library) classes the site of Coton Park East as being overall of high sensitivity, although moderate when looking at the fragility of the inherent character. It was classed as being declining in condition. The landscape type (high plateaux, village farmlands) is deemed to have low ecological sensitivity due to the area being intensively farmed. Equally, the Sustainability Appraisal carried out to support the Local Plan indicated that careful design of the site would be required in order to mitigate a significant negative effect on the landscape both in and surrounding the site.
- 13.2. As such the way in which the development is integrated into the landscape and the retention of landscape features on site is important in lessening the impact on the landscape where possible.
- 13.3. A landscape buffer, as shown on the masterplans, will be required along the M6 corridor to soften views both into and out of the site. This will also contribute to reducing noise pollution from the M6 and will mean that homes cannot be built within close proximity of the motorway.
- 13.4. Equally a landscaping buffer will be required between the employment and the residential and school elements of the site. Whether this will be positioned within the employment land or residential area will be at the discretion of the developers. The existing hedgerow along this boundary should form part of this buffer and should be protected and enhanced in line with Local Plan Policy NE3.

Ecology and Biodiversity

- 13.5. Local Plan Policy NE1 aims to ensure that development does not have a direct or indirect negative impact on sites of local importance. The sites of local importance both within and close to the allocation site are:
- The Great Central Walk Local Nature Reserve (LNR), which is an important green infrastructure corridor for biodiversity situated directly east of site;

- Coton Park Pool Local Wildlife Site (LWS) and River Avon and Tributaries LWS which are within the allocation boundary. Coton Park Pool LWS is shown on the masterplans in the south eastern corner of the site. The River Avon and Tributaries LWS is not shown specifically on the map but follows the line of the stream running across the centre of the site; and
- Newton Pool and Pastures LWS which is situated on the eastern side of the Great Central Walk, outside of the allocation site.

- 13.6. It is known that there are Great Crested Newts, a European protected species on the site.
- 13.7. An Ecological Assessment will need to be provided as part of any application for the site, in line with NE1, to show an assessment of potential impacts on sites of local importance has taken place. The Ecological Assessment should include a Biodiversity Impact Assessment (BIA) to assess the impacts on biodiversity. It should also look to determine the value of the existing hedgerows. This will indicate if they qualify as important under the Hedgerow Regulations or if they are used by bats or other protected or notable species.
- 13.8. The BIA would be used as a baseline to feed into a Biodiversity Offsetting Scheme which would ensure net biodiversity gains across the site.
- 13.9. The Ecological Assessment would be used to inform the size of any buffers and requirements for features such as dark corridors. For example, if there is a badger sett present, a buffer of up to 30m would be required. If there are bats present in or around the area then the buffer will need to be wide enough to comprise a dark corridor to ensure that bats could use it as a foraging and commuting route. The buffer zones should comprise semi-natural habitat due to value for biodiversity and the potential to deliver net gains for biodiversity.
- 13.10. The location of the indicative open space is important as this covers the locations of the sites of local importance and provides appropriate buffers. However, it is important that all of these sites of local importance will be protected during construction and also enhanced and managed in the long-term for biodiversity through appropriate long term habitat management plans.
- 13.11. Rugby is positioned with a Hedgehog Improvement Area as defined by the Warwickshire Wildlife Trust. Hedgehogs require porosity into and across the development and mitigation measures will be required to provide links between gardens and also links to and from public open space, encouraging colonisation and preventing habitat fragmentation.

Green and Blue Infrastructure

- 13.12. Local Plan Policy NE2 covers the requirement for development to protect existing green and blue infrastructure and provide connections to this. The Local Plan Green and Blue Infrastructure Map (extract of this below) shows the Green Infrastructure corridor which runs along the Local Wildlife Site. The indicative location of open space on the site acts to support this corridor while creating a new corridor which follows the line of the gas pipeline and stream across the centre of the site.
- 13.13. More information on the typologies of this open space can be found in the open space section of the SPD below. However, that which is adjacent to the LNR should be natural and semi-natural with the trees and hedges along this boundary retained and enhanced. Landscapes which support biodiversity such as native wildflower meadow will be encouraged.



Map Nine: Green Infrastructure Map Extract

- 13.14. There is a good network of existing hedgerows across the site. Hedgerow loss should be minimised and mitigated for and existing hedges retained where possible. It is acknowledged that some hedgerow loss for access roads and other infrastructure will be inevitable.
- 13.15. From the Warwickshire, Coventry and Solihull Green Infrastructure mapping the existing hedgerow within the existing Green Infrastructure on the site has a 'medium' connectivity score. The hedgerow within the Green Infrastructure corridors should be retained and buffered to act as a wildlife corridor and to retain and enhance this connectivity.
- 13.16. Sensitively designed lighting schemes should be provided within the Green Infrastructure and in particular along hedgerows.

14. Open Space

- 14.1. Local Plan Policy HS4 and Appendix 4 of the Local Plan provide the requirements for open space provision on site. The indicative masterplans show the preferred locations of this space across the site.
- 14.2. The table below sets out the indicative open space requirement for 800 homes. These figures will be recalculated as part of the process for assessing the application to ensure they are in line with the actual number of homes as well as the mix and tenure of properties proposed for the site.
- 14.3. The open space is proposed to be transferred to and managed by Rugby Borough Council. Arrangements for management and maintenance will be secured as part of any Section 106 agreements.
- 14.4. Off-site contribution costs will be calculated at the application stage.

Figure Four: Open Space Quantum's Table

Open Space Typology	Quantity Required for 800 homes at Coton Park East (ha)
Amenity Greenspace	2.07
Natural and Semi-Natural Greenspaces	4.70
Provision for Children and Young People	0.38
Outdoor Sports - Football Pitches	0.71- To be provided as an off-site contribution
Outdoor Sports - Cricket Pitches	0.43- To be provided as an off-site contribution
Outdoor Sports - Rugby Pitches	0.6- To be provided as an off-site contribution
Allotments	Not required
Parks and Gardens	2.82- To be provided as natural and semi natural green spaces rather than parks and gardens
Total required on site	9.97

- 14.5. The indicative masterplans show around 8.70ha of strategic open space in total, divided between natural and semi-natural green spaces, amenity greenspace and provision for children and young people. The remainder would be provided within the development parcels.
- 14.6. Formal outdoor sports provision will be provided off-site. A contribution will be required for this which will be calculated as part of the application process.
- 14.7. Neighbourhood and Local Equipped Areas for Play (NEAPs and LEAPs) which cover 0.38ha will be required within the development as shown in the table above under 'Provision for Children and Young People'. Additional space for informal play will be required next to the equipment and will help to form a buffer between these play areas and dwellings.
- 14.8. The informal play space is included in the quantum of 'Amenity Green Space' in the table above.
- 14.9. The indicative masterplans show proposed locations for one NEAP of 0.2ha in size (plus adjacent land for informal play space). The NEAP does not need to be in this specific location. At this stage the masterplans are indicating that a further two LEAPs of 0.09ha each (plus adjacent land for informal play space) will be required. Suitable locations and numbers of play areas will be dependent on the layout and number of dwellings.
- 14.10. A NEAP is an area of open space specifically designed, laid out and equipped for older children of relative independence who have the freedom to range further from home, but with play opportunities for younger children as well. The Council will expect the location and design for a NEAP to meet specific criteria. These can be found in Part A of Appendix 7.
- 14.11. A LEAP is an open space specifically designed and laid out with features including equipment for children who are beginning to go out and play independently close to where they live. The

Council will expect the location and design for a LEAP to meet specific criteria. These can be found in Part B of Appendix 7.

- 14.12. Existing play areas in the adjacent Coton Park development are shown on the map on page 8. Access and proximity from Coton Park East to these existing play areas should be considered when deciding on the location and distribution of new play areas on the Coton Park East site.
- 14.13. Sustainable drainage can be incorporated into the quantum of natural and semi natural open space where these are part of a larger usable area. However larger features such as ponds cannot be included as open space. The location of sustainable drainage features will need to be carefully considered. The safety of residents, especially children will need to be protected.

15. Heritage

- 15.1. There are some identified heritage assets outside of the site. Coton House is a grade 2* listed building around 560m away from the northern edge of the site across the M6 motorway. The application will need to include an assessment of potential impacts on this asset and its setting. In addition, there are two grade 2 listed buildings within the village of Newton that should be considered. These are the Stag and Pheasant Public House and Home Farmhouse and attached Stable Block.
- 15.2. The Local Planning Authority will require information with the application which assesses whether the site has the potential to include heritage assets with archaeological interest. Trial trenching has been undertaken in certain areas of the site. This has identified some significant archaeological features dating to the Late Iron Age and Roman periods on the site. An appropriate strategy to mitigate any potential impacts on archaeological features will be required in line with national policy.

16. Noise, Odour and Lighting

- 16.1. The M6 motorway is located directly north of the site. This will create noise impacts for dwellings, the school or schools and the employment area within a certain proximity of the road. The Sustainability Assessment for the Local Plan indicated there may be a significant negative impact due to noise pollution.
- 16.2. Local Plan Policy SDC1 requires that living conditions of existing and future neighbouring occupiers are safeguarded. This includes the impacts of noise, odour and lighting.
- 16.3. A Noise Impact Assessment will be required with the application in order to understand the potential impact on the employment areas, the school and residential dwellings. Mitigation measures will need to be included where the impacts are unacceptable. The Council will require The Noise Impact Assessment to consider a range of criteria. These are set out in Appendix 8.
- 16.4. Odour control may be required for certain businesses, such any falling with A3, A4 or A5. This will be considered as part of applications.
- 16.5. External lighting will need to be installed to ensure no glare or excessive light spill affects any other properties on or off the development site. Information can be obtained from the Institute

of Lighting Engineers on types and positioning of lighting to minimise off site effects and impacts on ecology.

17. Contaminated Land

17.1. Historic maps of the periods 1900-1906 and 1915-1931 show a former gravel pit to eastern edge of site however no details are available as to what material was used to fill it in. Large amounts of the site are historically agricultural and ponds occur as features on historic maps from 1951-1980. There is a historic landfill outside of the site to north, on the other side of M6, which would be within 250m of the North Eastern edge of site. The site is bounded to the east by a pathway which was the London and North Eastern Railway and this appears to have consisted of cuttings and embankments – identified as the Great Central Walk on maps from 1990 onwards. Having regard to this and the change of land use a contaminated land assessment will be required.

18. Flooding and Sustainable Drainage

18.1. The map below is taken from the government flood map for planning and shows the entirety of the site to be within flood zone 1 with no main rivers in close proximity to the site. The government describes flood zone 1 as having a low probability of flooding. Due to the size of the site being over 1ha a flood risk assessment (FRA) will still be required to accompany planning applications for the site.

Map Ten: Flood Map



18.2. This map is at national scale and as such doesn't take into account the smaller watercourse which runs across the site. On the masterplans the watercourse sits entirely within the open space and this, where possible, should remain the case for the open space layout in planning applications for the site.

- 18.3. Sustainable drainage systems are required in all major developments. Local Plan Policy SDC6 covers the requirements for sustainable drainage and will need to be complied with. WCC, as the Lead Local Flood Authority, also recommend referring to best practise documents including The SuDS Manual and the LASOO Guide. WCC also have a guidance document on their website which gives advice on high quality features that can be included in the design of sustainable drainage which should be consulted.
- 18.4. Where possible sustainable drainage features should incorporate biodiversity functions as well as drainage and flood risk functions. For example, this could include waterbodies that hold water all year round and native species planting. There are known great crested newt populations on site so creation of new sustainable drainage features could be important for this species.
- 18.5. A comprehensive site wide Sustainable Drainage strategy will be required to ensure the drainage and run off from the varied uses on the site do not have an unacceptable cumulative impact. The different uses within the site may require different levels of surface water treatment and this should be carefully considered. Sustainable drainage features must be located outside of the flood plains for the watercourse and should be outside any surface water outlines within the site.
- 18.6. The latest Strategic Flood Risk Assessment (SFRA) forms part of the evidence base for the Local Plan. This shows several narrow bands of surface flooding across the site. The governments flood risk map for surface water provides a more up to date map, shown below. This shows a band of high risk following the line of the watercourse with areas of medium and low risk in close proximity to this. The south eastern corner of the site contains the majority of the areas at risk, however much of this is shown within the open space on the indicative masterplan. If the masterplan changes substantially the alternative use of this land would need to be carefully considered.



Map Eleven: Flood Risk Map

- 18.7. The Planning Advice for surface water in Rugby provided in the SFRA requires site layout and design to consider surface water flow paths. This should be incorporated into the application's FRA. Surface water runoff from all new developments should be attenuated to the greenfield runoff rate for equivalent rainfall events, up to and including the 1% AEP (1 in 100 year) plus climate change return period event. Finally, the SFRA states that infiltration measures are the preferred means of surface water disposal, further information on this is included in Local Plan Policy SDC6 and its supporting text.
- 18.8. Landowners and/or developers are encouraged to work together to provide specific pieces of evidence across the whole allocation. The FRA should be site wide in order to understand the flood risk both to and from this large-scale site with particular consideration of those parcels adjacent to the site that are currently being developed. A site wide document will also allow for the cumulative effect and the phasing of the development to be taken into account.
- 18.9. Construction Management Plans for individual parcels will need to include suitable boundary treatments along the outside of the parcel to cut off surface water and manage flows until the adjacent parcel is developed. Additionally, measures must be put in place to manage run-off and silt during construction and drainage systems must be cleared before occupation.

19. Air Quality

- 19.1. The site of Coton Park East sits within an Air Quality Management Area. Given the scale of housing and industrial and commercial buildings allocated there will be an impact on air quality to consider. Landowners and/or developers are encouraged to work together to provide specific pieces of evidence across the whole allocation; evidence on air quality should be for the whole allocation.
- 19.2. In line with Local Plan Policy HS5, an initial traffic assessment is necessary to determine the new and/or changed combined light and heavy duty vehicle flows. A detailed Air Quality Assessment is required, having regard to the EPUK and IAQM Guidance on Planning for Air Quality.
- 19.3. There are already existing concerns with regard to the air quality in the Rugby area. Air quality targets are presently being exceeded around the gyratory and are close to being exceeded on Newbold Road, both of which are to the south of this development. It is likely that some of the traffic will use the A426 and local roads to travel into Rugby or beyond. Impacts on traffic flows, such as an increase in standing or stop/start traffic which could result from this development should be considered for modelling purposes and so far as feasible, alterations to local bus networks that could occur.

20. Utilities

- 20.1. Local Plan Policy SDC9 requires broadband to be provided in new developments.
- 20.2. Western Power has noted that capacity in the area may be limited. It is strongly encouraged that developers engage with Western Power at an early stage in order to ensure required works are carried out.

20.3. The Water Cycle Study, published as part of the Local Plan evidence base, states that there are some network constraints that are identified and upgrades will be required in order to support growth up to 2021. As above, it is strongly encouraged that developers engage with Severn Trent at an early stage in order to ensure required works are carried out.

21. Community, Safety & Health

21.1. Local Plan Policy HS2 requires sites providing over 150 dwellings where the site area is 5ha or above to submit a Health Impact Assessment Screening Report and a full Health Impact Assessment where the screening indicates that significant impacts on health and wellbeing would arise from the development.

21.2. The Infrastructure Delivery Plan (IDP) requires the following infrastructure for Coton Park East. Indicative costs are provided in the IDP and these will be updated as part of the application process:

- A contribution to support library services;
- Premises expenditure to cater for 3 police staff;
- Start up and personal equipment for 3 additional police staff;
- Additional police vehicles;
- An off-site contribution to GP provision contributions; and
- Contributions towards costs for projects at The Hospital of St Cross and University Hospital Coventry.

21.3. Infrastructure requirements for the site will form the basis for the Heads of Terms for the S106.

22. Viability

22.1. Where, in the opinion of a developer, their proposed development cannot meet Local Plan policy requirements and the requirements of this SPD, the developer is required to robustly demonstrate that the development is clearly unviable by submitting a financial viability assessment (FVA) to the local planning authority. An FVA will normally be submitted with the planning application for the proposed development scheme and must in any event be submitted well in advance of determination of that planning application.

22.2. All FVAs submitted by developers must contain the following information with supporting evidence:

- a summary of the main assessment assumptions (evidenced from an independent expert or source);
- site or building acquisition cost and existing use value;
- construction costs and programme;
- fees and other on costs;
- projected sale prices of dwellings/non-residential floorspace;
- details of discussions with registered providers of affordable housing (if relevant) to inform the value of affordable housing assumed within the FVA;

- gross and net margin;
- other costs and receipts;
- other relevant information dependent on the nature of the obligation(s) under discussion
- a summary clearly setting out the reasons that make a development proposal unviable; and
- a request to vary planning obligations and/or affordable housing requirements from those set out in the Local Plan and this SPD and stating the proposed level of obligations, demonstrating why they are the maximum that can be provided.

22.3. The FVA will be scrutinised by the Council with advice from a suitably qualified external consultant and the reasonable cost of this external consultant is to be met by the developer who has submitted the FVA. If material changes are made to an application after submission that could affect scheme viability, a revised FVA will be required.

23. Submission Documents

23.1. Several documents will be required to be submitted as part of an application for development on the site. These have been referred to throughout this SPD but are listed here for completeness. This list is not designed to be exhaustive, other information or studies may be required by the case officer:

- Air Quality Assessment;
- Archaeological Assessment;
- Construction Management Plan;
- Contaminated Land Assessment;
- Design and Access Statement;
- Ecological Assessment including a Biodiversity Impact Assessment;
- Health Impact Assessment Screening Report and full Health Impact Assessment if required;
- Heritage Statement;
- Landscape and Visual Impact Assessment;
- Noise Impact Assessment;
- Proposed Heads of Terms for Section 10 Agreement;
- Site-wide Drainage Strategy;
- Site-wide Flood Risk Assessment;
- Statement of Compliance with this SPD;
- Transport Assessment; and
- Transport Plan (Only required for full application for the school).

Appendices

Appendix 1- Local Plan Policy DS7

Policy DS7: Coton Park East

This development site, as shown on the Policies Map, is allocated to provide around 800 dwellings and 7.5 ha employment land. Proposals for development within the allocation site should be informed by the Coton Park East Masterplan SPD.

Employment development at this location should be provided to meet the qualitative demand for smaller units in the range of 5,000 - 50,000 sq.ft, in B1c, B2 and ancillary B8 employment uses.

Within the broad locations identified in the Coton Park East Masterplan SPD, provision of the following facilities must be made:

- A local centre that contains one form entry primary school, with the flexibility to increase to two form entry if demonstrated necessary. This may be provided as part of an all-through school if the need for a secondary school on-site is deemed to be necessary;
- A comprehensive Green Infrastructure Network, which protects, enhances and links into adjacent networks and utilises existing habitats where possible, particularly those present at the disused Great Central Railway local nature reserve;
- On-site and off-site measures to mitigate transport impact as detailed in the Infrastructure Delivery Plan, including access to the local road network as deemed necessary through the Transport Assessment and agreed by Warwickshire County Council and Highways England;
- Provision of a direct, high quality public transport link between the site, the railway station and the town centre;
- Provision of a comprehensive cycle and footpath network to link residential areas with key on-site facilities and to service centres and community facilities located in existing adjacent development areas;

Secondary school provision for Coton Park East is to be provided off-site through the expansion of existing secondary schools in Rugby to which a financial contribution will be required to provide for the school places generated by the development and pupil transportation. However, in order to safeguard provision for the eventuality that the capacity is not available at existing schools, an 8.5ha parcel of land is to be reserved on-site for a combined primary and secondary school. The location of this parcel of land has been identified on the policies map. The 8.5ha parcel will be reserved for a period of 12-24 months from the date of Local Plan adoption. After this time if the local planning authority does not require the land for a secondary school the land will be released for provision of the primary school and for residential use.

Further onsite and offsite infrastructure requirements will be determined through the application of other policies in this Local Plan and in line with the requirements set out in the IDP.

Rugby Borough Council will not support ad hoc or piecemeal development which is contrary to the aims of this policy.

Coton Park East is a sustainable and deliverable extension to the town of Rugby. The site is located adjacent to a previous but now well established extension to the north of the town and represents the final stage of the comprehensive development of this area.

Development of Coton Park East produces a series of opportunities that will benefit the community local to the area and the wider town. For example, the provision of a new primary school on the Coton Park East site will bring benefit to new and current residents. The delivery of smaller employment units and sites to the north of the site will ensure this qualitative employment is met, continuing the development typology seen at Central Park.

The site is adjacent to an existing nature reserve which will be protected and enhanced through the allocation of this urban extension. There is potential for this area to be improved both in terms of protection of the habitats which exist and also for improved access for both existing residents of Rugby town and future residents of the new development.

The location of Coton Park East adjacent to previous Local Plan allocations for residential and employment development means that the immediate infrastructure requirements for the urban extension are already in place. Work undertaken as part of the SHLAA in partnership with the promoters of the site has demonstrated that the totality of the extension is developable and deliverable within a comparatively short timeframe. As such Coton Park East is required to be phased into the overall housing trajectory so that residential development commences in 2019.

Policy DS7 contains what is considered to be the approximate development capacity of the site whilst ensuring the sustainable delivery of the extension. The specific infrastructure requirements are detailed in the Infrastructure Delivery Plan, which has been informed by service providers such as Warwickshire County Education, Highways Agency, Rugby Borough Council and the promoters of the land.

Appendix 2- Local Plan Policy DS5

Policy DS5: Comprehensive Development of Strategic Sites

Proposals for the development of strategic sites of over 100 dwellings should be supported with information outlining how the specific characteristics of each site have been considered in the masterplanning, design and viability assessments of proposals.

More specifically, proposals for strategic sites must include:

- Provision of and/or connection to a direct, high quality public transport link between the site and key transport hubs such as railway stations and the town centre;
- Provision of and/or connection to a comprehensive cycle network to link residential areas with the key on-site facilities, such as schools and community buildings, and comprehensive connections to existing adjacent developed areas;
- Further on-site and off-site measures to mitigate transport impact as detailed in the Infrastructure Delivery Plan, including access to the local road network as deemed necessary through the Transport Assessment and agreed by Warwickshire County Council and the Highways Agency;
- Provision of and/or contribution to community facilities such as schools, community buildings and sports facilities;
- Comprehensive onsite Green Infrastructure Network, utilising existing habitats where possible, which links to adjacent networks;

The specific characteristics of each site will determine how these requirements will be met. This will be influenced by constraints, and the masterplanning, design and viability, where relevant policies in this Local Plan apply.

Further onsite requirements are determined through the application of other relevant policies in this Local Plan.

The achievement of sustainable development is the central principle of this Local Plan. For larger sites, the achievement of sustainable development is complicated by the fact that sites are often within multiple land ownership, and this Policy DS5 therefore seeks to ensure that development on such sites comes forward within the context of an appropriate comprehensive scheme. Without a comprehensive development scheme, the delivery of infrastructure and services cannot be guaranteed or properly integrated into the area. Further, incremental proposals which do not take sufficient account of proposals for the whole site are less likely to deliver a high quality, integrated development which can build a strong sense of place.

Any masterplan SPD or subsequent development briefs will clearly demonstrate how the mix of uses and infrastructure requirements set out in Policies DS3 (residential allocation) and DS4 (employment allocation), and articulated within the Infrastructure Delivery Plan and on the Policies Map, will be

planned for and delivered to ensure the development is sustainable and meets the Policies set out elsewhere in this Local Plan.

DRAFT


Appendix 3- Equality Impact Assessment.

EQUALITY IMPACT ASSESSMENT (EqIA)

Context

1. The Public Sector Equality Duty as set out under section 149 of the Equality Act 2010 requires Rugby Borough Council when making decisions to have due regard to the following:
 - eliminating unlawful discrimination, harassment and victimisation, and other conduct prohibited by the Act,
 - advancing equality of opportunity between people who share a protected characteristic and those who do not,
 - fostering good relations between people who share a protected characteristic and those who do not, including tackling prejudice and promoting understanding.
2. The characteristics protected by the Equality Act are:
 - age
 - disability
 - gender reassignment
 - marriage/civil partnership
 - pregnancy/maternity
 - race
 - religion/belief
 - sex/gender
 - sexual orientation
3. In addition to the above-protected characteristics, you should consider the crosscutting elements of the proposed policy, such as impact on social inequalities and impact on carers who look after older people or people with disabilities as part of this assessment.
4. The Equality Impact Assessment (EqIA) document is a tool that enables RBC to test and analyse the nature and impact of what it is currently doing or is planning to do in the future. It can be used flexibly for reviewing existing arrangements but in particular should enable identification where further consultation, engagement and data is required.
5. The questions will enable you to record your findings.
6. Where the EqIA relates to a continuing project, it must be reviewed and updated at each stage of the decision.
7. Once completed and signed off the EqIA will be published online.
8. An EqIA must accompany all Key Decisions and Cabinet Reports.
9. For further information, refer to the EqIA guidance for staff.
10. For advice and support, contact:
Minakshee Patel
Corporate Equality & Diversity Advisor
minakshee.patel@rugby.gov.uk
Tel: 01788 533509

Equality Impact Assessment

Service Area	Development Strategy
Policy/Service being assessed	Coton Park East Masterplan Supplementary Planning Document.
Is this is a new or existing policy/service? If existing policy/service please state date of last assessment	This is a new planning document which will sit underneath the new Local Plan
EqlA Review team – List of members	Victoria Chapman- Development Strategy Manager Sophie Leaning- Senior Planning Officer
Date of this assessment	5 th February 2019.
Signature of responsible officer (to be signed after the EqlA has been completed)	

A copy of this Equality Impact Assessment report, including relevant data and information to be forwarded to the Corporate Equality & Diversity Advisor.

If you require help, advice and support to complete the forms, please contact Minakshee Patel, Corporate Equality & Diversity Advisor via email: minakshee.patel@rugby.gov.uk or 01788 533509

Details of Strategy/ Service/ Policy to be analysed

Stage 1 – Scoping and Defining	
(1) Describe the main aims, objectives and purpose of the Strategy/Service/Policy (or decision)?	The document is a planning document which sits beneath the Local Plan. It will assist in the comprehensive and timely delivery of housing, employment land and school(s) on the Cotton Park east site allocated in the new Local Plan.
(2) How does it fit with Rugby Borough Council's Corporate priorities and your service area priorities?	It primarily fits in with priorities on: <ul style="list-style-type: none"> • Ensuring residents have a home that works for them and is affordable; • Enhance our local, open spaces to make them places where people want to be; and • Promote sustainable growth and economic prosperity. <p>It meets our service area priorities as this is a document required by the Local Plan Inspector and written into Policy DS7 of the new Local Plan.</p>
(3) What are the expected outcomes you are hoping to achieve?	The document will be used to assist developers and planning officers to ensure comprehensive and timely delivery on the Cotton Park East site.
(4) Does or will the policy or decision affect: <ul style="list-style-type: none"> • Customers • Employees • Wider community or groups 	All three groups may benefit from the adoption of the document. At this stage the document is being taken to Cabinet for approval to consult on the document. This consultation will be open to all residents, employees and the wider public and provides an opportunity for them to share their views.
Stage 2 - Information Gathering	As a minimum you must consider what is known about the population likely to be affected which will support your understanding of the impact of the policy, eg service uptake/usage, customer satisfaction surveys, staffing data, performance data, research information (national, regional and local data sources).

<p>(1) What does the information tell you about those groups identified?</p>	<p>As the site will provide new housing and employment opportunities it is difficult to pinpoint a specific group who will benefit. The site will include a primary school and land is safeguarded for a secondary school which may be of benefit to existing residents. This proposed consultation will be open to the wider public which will allow us to gather information and opinions from a cross section of the community.</p>		
<p>(2) Have you consulted or involved those groups that are likely to be affected by the strategy/ service/policy you want to implement? If yes, what were their views and how have their views influenced your decision?</p>	<p>This is the part of the process we are currently undertaking.</p>		
<p>(3) If you have not consulted or engaged with communities that are likely to be affected by the policy or decision, give details about when you intend to carry out consultation or provide reasons for why you feel this is not necessary.</p>	<p>If granted approval at Cabinet a six week public consultation will take place which will be widely advertised in line with our Statement of Community Involvement.</p>		
<p>Stage 3 – Analysis of impact</p>			
<p>(1) Protected Characteristics From your data and consultations is there any positive, adverse or negative impact identified for any particular group, which could amount to discrimination? If yes, identify the groups and how they are affected.</p>	<p>RACE</p> <p>MARRIAGE/CIVIL PARTNERSHIP</p> <p>RELIGION/BELIEF</p>	<p>DISABILITY</p> <p>AGE</p> <p>PREGNANCY MATERNITY</p>	<p>GENDER</p> <p>GENDER REASSIGNMENT</p> <p>SEXUAL ORIENTATION</p>



<p>(2) Cross cutting themes</p> <p>(a) Are your proposals likely to impact on social inequalities e.g. child poverty, geographically disadvantaged communities? If yes, please explain how?</p> <p>(b) Are your proposals likely to impact on a carer who looks after older people or people with disabilities? If yes, please explain how?</p>	<p>The SPD reiterates the Local Plan requirement for 30% affordable housing which will support a mixed community and is likely to have a positive impact on social inequality. The SPD is unlikely to have an impact on a carer who looks after older people or people with disabilities.</p>
<p>(3) If there is an adverse impact, can this be justified?</p> <p>(4) What actions are going to be taken to reduce or eliminate negative or adverse impact? (this should form part of your action plan under Stage 4.)</p>	
<p>(5) How does the strategy/service/policy contribute to the promotion of equality? If not what can be done?</p>	<p>The SPD aims to provide a mixed community through reiterating the Local Plan requirements for mixed housing types and the provision of affordable housing on site. A school or schools on site also allow for different sections of the community meet and mix.</p>
<p>(6) How does the strategy/service/policy promote good relations between groups? If not what can be done?</p>	<p>See above answer to question 5</p>
<p>(7) Are there any obvious barriers to accessing the service? If yes how can they be overcome?</p>	<p>The price of dwellings will be a potential barrier for some considering moving to the new development. The Local Plan tries to overcome this by setting a requirement for the proportion of homes which need to be affordable and by setting a required mix of house sizes.</p>

Stage 4 – Action Planning, Review & Monitoring																																									
<p>If No Further Action is required then go to – Review & Monitoring</p> <p>(1) Action Planning – Specify any changes or improvements that can be made to the service or policy to mitigate or eradicate negative or adverse impact on specific groups, including resource implications.</p>	<p>No further action is required.</p> <p>EgJA Action Plan</p> <table border="1" data-bbox="890 882 1082 1921"> <thead> <tr> <th>Action</th> <th>Lead Officer</th> <th>Date for completion</th> <th>Resource requirements</th> <th>Comments</th> </tr> </thead> <tbody> <tr><td> </td><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td><td> </td></tr> <tr><td> </td><td> </td><td> </td><td> </td><td> </td></tr> </tbody> </table>	Action	Lead Officer	Date for completion	Resource requirements	Comments																																			
Action	Lead Officer	Date for completion	Resource requirements	Comments																																					
<p>(2) Review and Monitoring State how and when you will monitor policy and Action Plan</p>	<p>This EgJA will be reviewed again prior to adoption of the Cotton Park East Materplan SPD later in 2019.</p>																																								

Please annotate your policy with the following statement:

'An Equality Impact Assessment on this policy was undertaken on (date of assessment) and will be reviewed on (insert review date).'



Appendix 4- Strategic Environmental Assessment Screening Report.

Introduction

This report has been produced to determine the need for a Strategic Environmental Assessment (SEA) in accordance with the Environmental Assessment of Plans and Programmes Regulations 2004 (EAPP Regulations).

The purpose of the document is to undertake a screening assessment that meets the requirements of the European Legislation, applied in the UK through the Environmental Assessment of Plans and Programmes Regulations (S.I. 1633). The Regulations do not require an assessment of the planning merits of the case, rather it is to determine whether or not Strategic Environmental Assessment is required. This is a separate process to considerations under the planning process.

The policy framework for the Coton Park East Masterplan Supplementary Planning Document (SPD) is the Local Plan which was adopted on the 4th June 2019.

The SPD will be subject to public consultation in accordance with the relevant regulations and in line with the council's Statement of Community Involvement.

Requirement for SEA

Previous UK legislation required all land use plans, including Supplementary Planning Documents to be subject to sustainability appraisal, which incorporated the need for strategic environmental assessment. The 2008 Planning Act (paragraph 180 (5d)) and the Town and Country Planning (Local Planning) (England) Regulations 2012 removed the UK legislative requirement for the sustainability appraisal of Supplementary Planning Documents. However, SPDs may still require SEA in exceptional circumstances if they are likely to have significant environmental effects that have not already been assessed during the preparation of the Local Plan. Many councils prepare screening opinions to provide a transparent process to demonstrate that the environmental effects have been assessed in accordance with the EAPP Regulations to identify any requirement for SEA.

Application of the SEA Directive

SEA Directive Criteria Schedule 1 of Environmental Assessment of Plans and Programmes Regulations 2004	Is the Plan likely to have a significant environmental effect Y/N	Summary of significant effects. Scope and influence of the document
Regulation	Y / N	Reason
Regulation 2 (1) Is the SPD subject to preparation and/or adoption by a national, regional or local authority or prepared by an authority through a legislative procedure by Parliament or Government (Article 2(a))	Yes	The SPD is prepared and will be adopted by Rugby Council.
Is the SPD required by legislative, regulatory or administrative provisions (Article 2(a))	No	The SPD is not a requirement, but additional.

<p>Regulation 5(2)</p> <p>Is the SPD prepared for agriculture, forestry, fisheries, energy, industry, transport, waste management, water management, telecommunications, tourism, town and country planning or land use; AND does it set the framework for future development consent of projects in Annex I or II to Council Directive 85/337/EEC on the assessment of the effects of certain public and private projects on the environment, as amended by Council Directive 97/11/EC?</p> <p>(Article 3.2(a))</p>	Yes	The SPD is required for town and country planning purposes and it provides further detail to adopted policies in the Local Plan. It sets the framework for Annex II development within the SPD area.
<p>Regulation 5(3)</p> <p>Will the SPD, in view of the likely effect on sites, require an assessment pursuant to Article 6 or 7 of the Habitats Directive?</p> <p>(Article 3.2(b))</p>	No	The question of whether there is a need for appropriate assessment will be asked of Natural England during the consultation process.
<p>It may be required that the Plan would be eligible for full SEA, unless the exemptions set out under Reg 5 (5) or 5(6) apply.</p>		
<p>Regulation 5 (5)</p> <p>Is the SPD sole purpose to serve national defence or civil emergency; a financial or budget PP or is it co-financed under Council Regulations (EC) No's 1260/1999 or 1257/1999</p> <p>(Article 3.8,3.9)</p>	No	Not applicable.
<p>Regulation 5(6)</p> <p>Does the SPD:</p> <p>determine the use of a small area at local level; or</p> <p>propose a minor modification of an existing PP subject of the regulations.</p> <p>(Article 3.3)</p>	No	(a) The SPD does not designate land for development. Policy DS7 of the Local Plan allocates (determine) the use of the land. The SPD is supplementary to these policies and only seeks to clarify the detailed requirements in bringing the development forward. The level of development designated is strategic in scale but the detail associated with that development is not. This view is enforced by the analysis of likely significant effects set out in the table below. It is also consistent with the strategic

		<p>provisions of the adopted development plan. The effects of the allocations and use of land has been dealt with via the Sustainability Appraisal process associated with the Local Plan.</p> <p>(b)The SPD does not propose minor modifications of an existing pp subject of the regulations.</p>
<p>It may still be required that the Plan would be eligible for full SEA, unless it is determined that it will not give rise to significant environmental effects under Regulation 9.</p>		
<p>Regulation 9(1)</p> <p>Is the PP likely to have a significant effect on the environment taking into account the views of the consultation bodies and the criteria set out at Schedule 1 of the Regulations?</p> <p>(Article 3.5)</p>	<p>No</p>	<p>Following assessment of the potential affects by the responsible body it is felt that the SPD will not give rise to any significant environmental effects. Consultation with Natural England, Historic England and the Environment Agency on this screening document will take place and a final screening report will be issued. Further detail for this view is set out below.</p>

The following assessment was made by Rugby Council as to whether the SPD was likely to have any significant environmental effects. This takes into account the responses and independent assessments of the relevant consultation bodies against the Schedule 1 criteria in the EAPP Regulations, set out below. This assessment has been undertaken bearing in mind the following context:

- The SPD has been developed to be in general conformity with the strategic policies of the adopted development plan together with the NPPF.
- The emerging Local Plan was subject to a Sustainability Appraisal that sets the framework for growth and development within the borough until 2031.

Criteria	Assessment	Significant environmental effect (positive or negative)?
1. The characteristics of plans and programmes, having regard to:		
(a) The degree to which the SPD sets a framework for projects and other activities, either in regard to location, nature, size and operating	The SPD sets out the Council's approach to how development should come forward including phasing and developer contributions. It adds detail to the framework for development set out in Local Plan policy DS7. To this end it	No

conditions or by allocating resources.	cannot by its nature provide for development that exceeds the intentions of the Local Plan and instead provides the details associated with the requirements for future development of the site. The SPD does not allocate resources but it does provide guidance on where land uses (and their associated resources) should be directed. Overall, however, it does not set a framework, only adding detail to existing policies.	
(b)The degree to which the plan or programme influences other plans and programmes including those in the hierarchy.	The SPD supplements the policies of the Local Plan by adding further detail. The SPD does not influence other development plan documents and is in general conformity with the development plan.	No
(c)The relevance of the plan or programme for the integration of environmental considerations in particular with a view to promoting sustainable development.	SPDs are required, by virtue of the fact they must be supplementary to an adopted policy help achieve sustainable development. This includes environmental sustainability, as one of the three pillars identified in the NPPF. The primary objective of the SPD is to plan positively and achieve a sustainable level of growth whilst maintaining both the built and natural environment, taking into account on site constraints and ensuring development is comprehensive. This is in accordance with the NPPF. The SPD will add detail, but not fundamentally have a negative effect environmentally.	No
(d) Environmental problems relevant to the plan or programme.	Policy DS7 of the Local Plan has been subject to a Sustainability Appraisal process. The detail associated with the SPD will successfully manage the introduction of development to the extent that any residual environmental issues will be mitigated against sufficiently.	No
(e)The relevance of the plan or programme for the implementation of Community legislation on the environment (for example, plans and programmes linked to waste management or water protection).	The SPD is not relevant in this instance, as the matters described are guided by higher level legislation. Instead, the policies of the Local Plan must have regard to these matters and seek to ensure that any development it promotes does not compromise the objectives of higher level strategies.	No

2. The characteristics of the effects and of the area likely to be affected, having regard, in particular, to:		
(a)The probability, duration, frequency and reversibility of effects	Once development has started then the nature of the land will be changed and will not be reversible. However, the principle of developing the area for residential will have been established through the adoption of the Local Plan policy, not the SPD. Since the SPD itself does not allocate land or formulate policies for this land, the effects of the SPD are not considered significant.	No
(b) The cumulative nature of the effects	The principle of developing the area for residential use will have been established through the adoption of the Local Plan policy, not the SPD. Since the SPD itself does not allocate land or formulate policies for this land, the effects of the SPD are not considered significant.	No
(c)The transboundary nature of the effects	In context the SPD is seeking to manage future development by listing requirements that assist in developing the area in the most sustainable manner possible. It is unlikely that the SPD will have any sort of significant transboundary effect, taken primarily to mean impacting on another EU member state, as defined in the EIA Regulations. Even if 'transboundary' were to be defined as impacting on the jurisdiction of other administrative areas within the UK (for example between parishes or boroughs) the effect would be minimal in both instances.	No
(d)The risks to human health or the environment (for example, due to accidents)	It is highly unlikely that the SPD will give rise to any significant instances of risk to human health. It principally proposes the delivery of residential development by way of a policy that seeks to ensure that the impacts of development are successfully mitigated, thereby allowing development to go ahead.	No
(e)The magnitude and spatial extent of the effects (geographical area and size of the population likely to be affected)	As identified above it is highly unlikely that any environmental effect brought about by the SPD will be of any magnitude or impact on any area of scale. It is particularly important to remember that the SPD does not allocate land for development and it is merely supplementary to a Local Plan policy.	No

<p>(f)The value and vulnerability of the area likely to be affected due to (i) special natural characteristics or cultural heritage; (ii) exceeded environmental quality standards or limit values; or (iii) intensive land use.</p>	<p>The SPD has been developed with input from Ecologists, Archaeologists and Historic Environment specialists at Warwickshire County Council who have raised no concerns but have requested safeguards be put in place such as trial trenching to check for signs of historic importance. This SPD is not setting these requirements, they would be required as part of the Development Management process, but is highlighting the need for these at an earlier stage to ensure comprehensive delivery of the site. As such the SPD itself will not be cause of any impacts.</p>	<p>No</p>
<p>(g)The effects on areas or landscapes which have a recognised national, Community or international protection status.</p>	<p>There are no designations relating to national or international protection status. There is a Local Wildlife Site running to the East of the site and two within the site. The SPD contains provisions for protection of these areas. As long as subsequent planning application adhere to the principles of the SPD, the effects in this category are unlikely.</p>	<p>No</p>

As a result of the assessment set out above it is the view of the responsible body, Rugby Council that the SPD will not give rise to any significant environmental effects and therefore an SEA is not required.

Appendix 5- Location and Design Principles for Education

Part A

The Local Education Authority will expect the location of the school to meet the following criteria or to provide appropriate mitigation where this is not possible:

- The school site should be a flat, useable space which ideally should be square or rectangular;
- The ground should be broadly level and should be level with surrounding areas, in particular with suitable points of vehicular and pedestrian access. It is acknowledged that for Coton Park East an entirely flat site may not be possible. The indicative location of the primary and or secondary schools is on an area which varies in height less than other parts of the site. This should allow for a flat site to be provided however it may be the case that the site is stepped. This will need to be discussed with WCC as early as possible;
- The land should have at least 30cm of clean topsoil and should not be liable to flooding;
- The land should not be crossed by any public rights of way and should not be bounded or crossed by any power lines. It should be a sufficient distance from gas lines based on advice from the HSE;
- The site should be free from protected species;
- The soil and water table should be free of contamination and the site should not be affected by ground gases or vapours;
- The site should be outside any current or proposed sources of 55db LAeq (30 min) noise source or contour;
- The site is free from invasive plants such as Japanese knotweed;
- The site is not affected by potential sources of light pollution;
- The site is a sufficient distance away from land uses that could cause public anxiety including potentially dangerous employment uses such as chemical storage, storage of live viruses, phone or radio masts and transmitters or major sources of dust or strong odours; and
- The site is free from any encumbrances that may need to be removed such as spoil and fly tipping, certain trees and any void spaces including well, sumps and pits.

Part B

The Local Education Authority will expect the location of the school to meet the following criteria:

- The primary elevation of the school should provide an identifiable focal point;
- The indicative location for the school is on a higher area of the site and as such if the school remains in this location, the building height should be restricted to 15m, or three storeys, in order not to dominate the area;
- Structural landscaping should ensure privacy between the school grounds and residential properties;
- Safe pedestrian crossings should be provided on all streets which have access to the school; and
- The school should be set back from the highway.

Appendix 6- Design Principles

Part A

Site-wide design principles:

- The layout and design of the development should be coherent with that of the existing Coton Park development in order to ensure that Coton Park East is sympathetic to local character and maintains a strong sense of place;
- The topography of the site is undulating. The character of this land should be maintained and development should respond to changes in topography, with building form stepping down slopes rather than large areas of land being flattened. The use of significant retaining walls should be avoided; and
- If more than two applications covering the residential areas of the site are to be submitted a design code may be required to ensure coherent design across the site.

Part B

Residential design principles:

- The density of residential development should sit broadly in line with that of Coton Park. Individual residential parcels in Coton Park vary in density between around 24 and 37 dwellings per hectare (dph). This has been calculated from the outline of each residential parcel and as such does include the internal roads. This doesn't include any large areas of open space or play;
- Higher densities (up to around 36 dph) would be appropriate toward the south of the Coton Park East site where it meets the existing Coton Park development. Higher densities will also be appropriate alongside the primary roads which will provide quick access to bus routes. The density will be expected to drop to lower densities (up to around 30 dph) to the east of the site where it borders the Local Nature Reserve and along the Green Infrastructure corridor across the centre of the site;
- Affordable housing should be well integrated with market dwellings and housing types and sizes should be varied across the site;
- Housing should be laid out to create a variety of frontages which could include stepped, staggered and consistent. This will add character and interest to the street scene and allow different areas of Coton Park East to form their own identifies. Layouts should ensure that housing looks out onto the areas of open space and doesn't leave blank or boundary walls adjacent to these areas. Rear gardens should not back onto the LNR or LWS. As well as providing overlooking and increased safety this will reduce the risk from people tipping garden waste or compost over the fences into these important sites;
- Dwellings should be of a high quality design and include features of architectural interest which contribute to create a place which is both visually attractive and adds to the overall quality of the area. Features could include, but are not limited to, functional porches (not decorative), chimneys, dormer windows which complement the design and bay windows. The highest quality materials should be used on the most prominent buildings. These will be those which form gateways into each residential plot or those which are highly visible from multiple views such as corner plots;
- Primary entrances to buildings should be visible from the public realm with active frontages created along main routes and spaces;

- Corner plots should positively address both sides to avoid blank walls facing out onto the street;
- Privacy should be maintained through the application of the 45 degree rule for habitable rooms, by ensuring garden depth is a minimum of 10m and by allowing a minimum of 20m between windows of separate properties;
- To avoid loss of daylight and sunlight there should be at least 14m between a wall with windows and a blank 2 storey wall and 12m between a wall with windows and a blank single storey wall. This applies to the walls of garages and outbuildings as well as dwellings;
- Side boundaries should be constructed in brick to provide continuity with the main built form. Rear boundaries can be brick or fenced. Both should have a landscaping buffer of at least 0.5 metres where they are adjacent to the highway;
- There are a wide variety of materials used in the construction of dwellings at Coton Park and Coton Park East should look to use materials which match these. The use of different materials is important to ensure that interest and character are added to the street scene. Material types may tie in with different character areas created across the site to ensure that areas have their own identity;
- Development designs that facilitate the use and help the retention of parking spaces will be encouraged. This may for example include generously sized spaces, or using a large single garage door instead of two single doors on a double garage; and
- Appropriate bin storage should be provided for all dwellings.

Part C

Employment design principles:

- The maximum height will be determined through the Landscape Visual Impact Assessment which will need to consider the proximity to the residential area, impacts on heritage assets to the north of the M6 and the topography of the site. It is anticipated that the maximum height of employment buildings will not exceed the height of buildings along Castle Mound Way ; and
- Within the employment area front elevations to buildings should be visible from the public realm with active frontages created where possible.

Appendix 7- Criteria for NEAPs and LEAPs

Part A

The Council expects the location and design of a NEAP to meet the following criteria:

- It should be within a 15 minutes walking time from home. Given the size and shape of Coton Park East it is likely that one NEAP centrally located would ensure all homes will be 15 minutes from a NEAP;
- It should have a minimum activity zone of 1000 sqm comprising of an area for play equipment and a hard surfaced area of at least 465 sqm (this is the minimum needed to play 5 a side football);
- It should be positioned beside a well-used pedestrian route, and overseen;
- It should occupy a reasonably flat site surfaced with grass and hard surfaced areas, with impact absorbing surface beneath and around play structures as appropriate;
- It should be designed to provide a stimulating and challenging play experience with a minimum of 9 play experienced and at least 8 types of equipment;
- It should have a multi-games area (MUGA) consisting of a hard surface for ball games and wheel sports, a shelter for meeting and socialising, seating and litter bins;
- A buffer zone of 30m should separate the activity zone from the boundary of the nearest property; and
- The specification should be based on RBC's Play Strategy and Field in Trust guidelines.

Part B

The Council expects the location and design of a NEAP to meet the following criteria:

- It should be within 5 minutes walking time from home. The optimum location and distribution of the three play areas (One NEAP and a minimum of two LEAPs) would ensure that the majority of homes are within a 5 minute walk to a play area;
- It should have a minimum activity zone of 400 sqm;
- It should be positioned beside a well-used pedestrian route and overseen;
- It should be designed to provide a stimulating and challenging play experience. It must include a minimum of 6 play experiences and at least 5 types of equipment as well as seating and litter bins;
- It should have a buffer zone of 20m between the activity zone and the habitable room elevation of the nearest property and a buffer zone of 10m between the activity zone and the boundary of the nearest dwelling; and
- The specification should be based on RBC's Play Strategy and Field in Trust guidelines.

Appendix 8- Required considerations for a Noise Impact Assessment

- Noise from existing industrial or commercial operations or sites with permission or under consideration. Noise from transport sources including the M6, A5 and local roads. According to ENDS noise data approximately the northern upper third of site is affected by night time noise of 55.0-59.9dB L_{night} value or above, with over half the site showing as 55.0-59.9dB L_{Aeq} 16 hr or above;
- Noise from the new development that could have an adverse impact upon existing sites, sites with permission or under construction or those that form part of the Coton Park East development itself. This would include noise from traffic ingress and egress. Hours of operation including restrictions on deliveries and or collections may be appropriate where spatial or other acoustic treatments are likely to prove insufficient;
- Assessments would need to have regard to relevant standards including BS4142 and BS8233 and consider the protection of outdoor amenity;
- The school(s) will need to consider the amended issue of Building Bulletin 93 which provides minimum acoustic performance standards for school buildings;
- Outdoor play areas, outdoor sports areas or all weather pitches (MUGA's or similar) will need site specific consideration. MUGA's in particular can cause significant noise impact and complaints about noise and lighting and should be as far from residential properties as possible, suitably screened and may need an hours of use restriction;
- Guidance documents including 'Planning ProPG: Planning and Noise' recommend spatial layout and the use of buffer zones between residential and industrial or commercial uses should be considered to minimise disturbance and the likelihood of complaints.

Coton Park East Masterplan Supplementary Planning Document

Consultation Statement

Document Title: Coton Park East Masterplan Supplementary Planning Document (SPD)- Consultation Draft Version	
Nature of Plan being Prepared	The document is a supplementary planning document (SPD). Once adopted it will not form part of the Development Plan but will sit beneath the Local Plan. Its purpose is to provide additional detail and information to help guide comprehensive development of the Coton Park East allocation. It has been specifically referenced in Local Plan Policy DS7 and once adopted will be a material consideration in the assessment of planning applications on or close to the allocation site.
Purpose of Consultation	Regulation 12b of the Town and Country Planning (Local Planning) (England) Regulations 2012 requires SPDs to be consulted on for a minimum of 4 weeks. The aim of this consultation is to ensure the wider public are aware of the content of the document and give the public and other stakeholders an opportunity to submit representations on the draft document.
Nature of issues that need to be consulted upon	The SPD provides indicative masterplans for the site. It also provides more detailed information on the requirements for many aspects of the site including, education provision, design and open space. The SPD crucially does not introduce new policy but develops and expands upon Local Plan policies.
Who should be consulted	<p>The consultation will be open to anyone who wishes to submit a representation.</p> <p>In line with the Councils Statement of Community Involvement the following groups will be notified directly of the consultation. This will be done by email where possible with letters sent to those for whom an email address is not available:</p> <ul style="list-style-type: none"> • All statutory bodies; • All Parish Councils; and • All groups and individuals who have opted to be on the Consultation Database. <p>In addition to direct emails and letters, in order to raise wider public awareness of the consultation it will be promoted in the following ways, in line with the Council's Statement of Community Involvement:</p> <ul style="list-style-type: none"> • Information and documents will be published on the Council's website; • The consultation will be advertised in the local paper; and • Hard copies of the documents will be available to view at the Town Hall, Rugby Library, Dunchurch Library and Wolston Library.

Why are we consulting them	We are carrying out this consultation to ensure all individuals and groups who may be affected by the Coton Park East development have the opportunity to voice their opinions on the content of the document.
When consultation will take place	The consultation will take place for a period of 4 weeks from the 9am on the 25 th June 2019 to 5pm on the 23 rd July 2019.
Accessible Inclusive Consultation	<p>As outlined above the consultation will be promoted both online and in the local newspaper and the document will be available to read both online or in hard copy form.</p> <p>In addition to this, to ensure the consultation is accessible and inclusive, the following measures will be put in place:</p> <ul style="list-style-type: none"> • Hard copies of the documents can be posted out to individuals upon request; • Individuals can call or email to discuss the document with a planning officer; • Adapted versions of the document can be produced on request, e.g. large print; • Representations can be submitted by email or post.
How comments will be taken into account	<p>Each representation will be read and carefully considered. If it is felt that as a result of the representation changes should be made to the SPD then these will be incorporated into the final document. It is important to note that not all representations received will lead to changes in the SPD.</p> <p>A comment will be provided by the Council on each representation received and this will be published as part of the Consultation Statement.</p>
How comments will be reported	<p>A Consultation Statement will be published following the close of the consultation. This will include:</p> <ul style="list-style-type: none"> • A list of the persons consulted; • A summary of each representation; and • A comment on how each representation has been considered.

AGENDA MANAGEMENT SHEET

Report Title: Finance & Performance Monitoring 2018/19 – Year-End

Name of Committee: Cabinet

Date of Meeting: 24 June 2019

Report Director: Head of Corporate Resources and CFO

Portfolio: Corporate Resources

Ward Relevance: All Wards

Prior Consultation: None

Contact Officer: Mannie Ketley- Head of Corporate Resources & Chief Financial Officer

Public or Private: Public

Report Subject to Call-In: Yes

Report En-Bloc: No

Forward Plan: Yes

Corporate Priorities: This report relates to the following priority(ies):

(CR) Corporate Resources To provide excellent, value for money services and sustainable growth

(CH) Communities and Homes Achieve financial self-sufficiency by 2020

(EPR) Environment and Public Realm Enable our residents to live healthy, independent lives

(GI) Growth and Investment Optimise income and identify new revenue opportunities (CR)

Prioritise use of resources to meet changing customer needs and demands (CR)

Ensure that the council works efficiently and effectively (CR)

Ensure residents have a home that works for them and is affordable (CH)

Deliver digitally-enabled services that residents can access (CH)

Understand our communities and enable people to take an active part in them (CH)

Enhance our local, open spaces to make them places where people want to be (EPR)

Continue to improve the efficiency of our waste and recycling services (EPR)

- Protect the public (EPR)
- Promote sustainable growth and economic prosperity (GI)
- Promote and grow Rugby's visitor economy with our partners (GI)
- Encourage healthy and active lifestyles to improve wellbeing within the borough (GI)
- This report does not specifically relate to any Council priorities but

Statutory/Policy Background: Section 6.1 of the Council's Financial Standing Orders states that the Head of Corporate Resources:

Be responsible, in conjunction with the Executive Director and Heads for submitting periodic reports to Cabinet and Council during the year, indicating the anticipated financial position compared to original revenue and capital budgets indicating where expenditure is anticipated to exceed or income fall short of the budgeted amount by the margins agreed corporately for the purpose of budget monitoring.

Summary: This report sets out the 2018/19 Year-End financial and performance position for the Council.

The report also presents proposed budget adjustments as required by Financial Standing Orders including carry-forward and other budget requests for 2019/20.

Financial Implications: As detailed in the main report.

Risk Management Implications: This report is intended to give Cabinet an overview of the Council's spending and performance position for 2018/19 to inform future decision-making.

Environmental Implications: There are no environmental implications arising from this report.

Legal Implications: There are no legal implications arising from this report.

Equality and Diversity: No new or existing policy or procedure has been recommended.

Options:

Members can elect to approve, amend or reject the supplementary budget requests listed at recommendations 2 to 10.

Recommendation:

- 1) The Council's anticipated financial position for 2018/19 be considered;
- 2) A 2019/20 supplementary General Fund revenue budget of £0.030m be approved for Development Strategy for South-West expansion costs (see Section 7);

IT BE RECOMMENDED TO COUNCIL THAT
-

- 3) Supplementary revenue budgets be approved for 2019/20 as a result of carry forwards from 2018/19 as follows (see Appendix 4);
 - a. General Fund- £0.125m
 - b. HRA- £0.125m
- 4) Approve the estimated amount to be provided to mitigate future risks – See sections 3.5-3.8 and Summary Reserves at Appendix 5b
- 5) Net transfers to new and existing GF Earmarked Reserves be approved for 2018/19 of £2.607m (See Appendix 5a)
- 6) A net nil Supplementary General Fund revenue budget of £0.480m in 2019/20 be approved for the extension of the Family Weight Management Scheme, to be met from external funding (further details in Section 6)
- 7) Supplementary capital budgets be approved for 2019/20 as a result of budget carry forwards from 2018/19 as follows:
 - a. General Fund capital £3.563m
 - b. Housing Revenue Account capital £12.449m;
- 8) A capital virement of £0.092m be approved for 2019/20 between the Carbon Management Plan and the Corporate Asset Management System
- 9) A GF capital supplementary budget for 2019/20 of £0.100m be approved, to be funded from contributions from Daventry District Council (£0.050m) and borrowing, for Rainsbrook Crematorium for a Car Park extension to meet increased capacity.

10) Performance summary & performance data included in Section 6 and Appendix 6 be considered & noted

Reasons for Recommendation: A strong financial and performance management framework, including oversight by Members and senior management, is an essential part of delivering the Council's priorities and statutory duties

Cabinet - 24 June 2019

Finance & Performance Monitoring 2018/19 – Year-End

Public Report of the Head of Corporate Resources and CFO

RECOMMENDATION

- 1) The Council's anticipated financial position for 2018/19 be considered;
- 2) A 2019/20 supplementary General Fund revenue budget of £0.030m be approved for Development Strategy for South-West expansion costs (see Section 7);

IT BE RECOMMENDED TO COUNCIL THAT:

- 3) Supplementary revenue budgets be approved for 2019/20 as a result of carry forwards from 2018/19 as follows (see Appendix 4);
 - a. General Fund- £0.125m
 - b. HRA- £0.125m
- 4) Approve the estimated amount to be provided to mitigate future risks – See sections 3.5-3.8 and Summary Reserves at Appendix 5b
- 5) Net transfers to new and existing GF Earmarked Reserves be approved for 2018/19 of £2.607m (See Appendix 5a)
- 6) A net nil Supplementary General Fund revenue budget of £0.048m in 2019/20 be approved for the extension of the Family Weight Management Scheme, to be met from external funding (further details in Section 7)
- 7) Supplementary capital budgets be approved for 2019/20 as a result of budget carry forwards from 2018/19 as follows:
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- 8) A capital virement of £0.092m be approved for 2019/20 between the Carbon Management Plan and the Corporate Asset Management System
- 9) A GF capital supplementary budget for 2019/20 of £0.100m be approved, to be funded from contributions from Daventry District Council (£0.050m) and borrowing, for Rainsbrook Crematorium for a Car Park extension to meet increased capacity.
- 10) Performance summary & performance data included in Section 6 and Appendix 6 be considered & noted

1. INTRODUCTION

This is the final of the quarterly finance and performance monitoring reports for 2018/19, which combines finance (revenue and capital) as well as performance for General Fund (GF) and Housing Revenue Account (HRA). This is based on actual expenditure from 01 April 2018 to 31 March 2019 and the report also includes proposed budget carry forwards into 2019/20 for consideration. Members should note that the financial figures for 2018/19 may be subject to change until the final accounts have been audited, however, it is not anticipated that there will be any major amendments that would impact on the Council's overall revenue financial position for 2018/19.

The key sections of the report are laid out as follows:

- 2018/19 Overview and Context- Section 2
- General Fund (GF) Revenue Budgets - Section 3 and Appendix 1;
- Housing Revenue Account (HRA) Revenue Budgets - Section 4 and Appendix 2;
- Capital Budgets - Section 5 and Appendix 3;
- Summary Carry forward requests – Appendix 4
- Summary Reserves transfers – Appendix 5a and 5b
- Supplementary Budget Requests- Section 6
- Performance – Section 6 and Appendix 7

Throughout the report, from a financial perspective, adverse variances to budget, expenditure overspends, and income shortfalls are shown as positive values. Favourable variances, such as expenditure underspends and additional income, are shown as negative values in brackets.

2. CONTEXT

Final Outturn Position 2018/19

The table below provides an overview of the variances by expenditure type. This includes both General Fund and HRA combined.

	Revised Budget £000s	Actual £000s	Variance £000s
Employee Expenses	17,673	17,310	(363)
Running Costs	9,335	10,050	715
Income	(28,233)	(29,185)	(952)
Total	(1,225)	(1,823)	(600)

Positive Figures: Overspend/Underachievement of income
Figures in Brackets: Underspend/Additional income

It can be seen that the main variances are as follows;

a. Employee expenses –The table below outlines the variances in relation to employee expenses, which equates to 2.05% of the revised budget;

	Revised Budget £000s	Actual £000s	Variance £000s
Salaries and wages	16,211	15,512	(699)
Agency	217	580	363
Other staff expenses	1,245	1,218	(27)
Total	17,673	17,310	(363)

Positive Figures: Overspend/Underachievement of income
 Figures in Brackets: Underspend/Additional income

The table identifies that there is a (£0.699m) favourable variance on salary and wages due to staff turnover. The following provides some context, explanation and actions taken to mitigate the challenges faced in recruitment and retention.

- Overall the Council has faced challenges in the recruitment and retention of staff with employee turnover rate for this year at 13.1% which is marginally higher than the mean average of 11-13% for local councils during 2018/19.
- During the year 93 recruitment campaigns have taken place, 16 of these (17%) resulted in no appointments being made.
- Where services are reviewing a team's activities or restructuring (e.g. impacts due to digitalisation), then posts will be held vacant, maybe filling those vacancies with temporary employees or agency workers to meet demand. Some examples this year include: introduction of route optimisation software for Refuse and Recycling crews; service review of Licensing processes; review of Grounds Maintenance functions; review of Legal, Democratic and Electoral services management structure.
- Occasionally interim support is appointed with specific specialist technical skills to meet business needs. In such circumstances, vacancies may be held to finance the cost of the interim.

However, as explained above, the cost of agency staffing in order to maintain services is often higher than core funded staff and is funded through savings in the employee and wages budget.

b. Running Costs- Despite the favourable variances seen in many areas, the Council has also faced challenges where there has been increased demand on services. As detailed in previous reports, the most significant pressures and challenges faced by the authority include;

- Homelessness and temporary accommodation saw a 45% increase in the level of average homeless applications per quarter on the previous year resulting in expenditure of £0.266m more than original forecasts. The council received late notification of additional government grant in-year and has combined this funding with residual grant from 2017/18 to meet the demand. We have also received confirmation of further grant funding in 2019/20 to mitigate this pressure in the short term. Management actions (including an increase in the use of Private Sector Leasing scheme and additional staffing to assist individuals and families moving from

temporary accommodation into sustained tenancies in the private sector) were also taken with the impact of this being seen in the final quarter of 2018/19 resulting in a significant decrease in the use of expensive and unsuitable Bed and Breakfast accommodation compared to the previous three quarters. To alleviate medium and longer-term forecast demand a Housing Acquisition Fund was approved in December 2018 which will acquire suitable new build and open market homes to match demand. Further details on this can be seen within the General Fund key variances in section 3.2.

- The redevelopment of the high-rise sites at Biart Place and Rounds Gardens following structural surveys demonstrating that they were beyond economic repair. Initial cost estimates for the new schemes are c£60m to replace the demolished blocks with like-for-like numbers of social homes to rent. Additional revenue costs of £1.532m have been incurred in 2018/19 in respect of increased security/fire risk measures and loss of rent.

- c. **Income** - The Council's commitment to the corporate priority '**Achieve financial self-sufficiency by 2020**' has empowered services to actively generate income through sharing good practise, joint working with other authorities, fees and charges and cost recovery. As reported this has already proved successful in many areas of the Council providing an overall increase of 3% when compared with income budgets, in particular within the Environment and Public Ream portfolio where income targets have been exceeded within Trade Waste and Bereavement Services which have both delivered an excellent service to customers. In addition, the Regulatory Services team has successfully been leading fly tipping investigations for other Local Authorities alongside the development and implementation of a training programme for GDPR within Communications. Both examples of joint working are set to continue in 2019/20.

Consequently, income budgets within the General Fund have been increased as part of the budget setting process for 2019/20 providing an increase above inflation recognising the anticipated increased demand in these areas.

3. General Fund Reserves Overview 2018/19

3.1 GENERAL FUND (GF) REVENUE BUDGETS:

The approved budget for 2018/19 included new savings and income proposals totalling £1.836m which have been successfully achieved and exceeded during the year. As shown in Appendix 1, the final 2018/19 GF position is a (£0.600m) favourable variance.

3.2 Key Variances

A summary of the major variances for 2018/19 for each of the portfolios is included within the following tables, along with proposed carry forward requests and proposed contributions to reserve. Appendix 1 provides an overall summary by portfolio with further details on the carry forward requests found in Appendix 4 and reserve transfers in Appendix 5a.

Positive Figures: Overspend/Underachievement of income
 Figures in Brackets: Underspend/Additional income

<u>Growth & Investment -key variances to budget</u>	<u>Variance at P13</u>	<u>Proposed Carry Forwards (See App 4)</u>	<u>Proposed Contribution to Reserves (See App 5a)</u>	<u>Revised variance</u>
	£000s	£000s	£000s	£000s
Economic Development - The variance and carry forward request relate to additional Local Plan costs for the Planning Inspection.	33	20	-	53
Land Charges - One-off salary underspends due to maternity leave and an overachievement of income due to an additional 200 searches compared to 2017/18.	(38)	-	-	(38)
Queens Diamond Jubilee Centre - Budget earmarked by all for gym equipment has not been utilised in 2018/19 therefore this has been returned to the Council.	(81)	-	-	(81)
Planning - An underachievement of planning income from applications of £92,000 and increased costs on consultancy and legal fees of £57,000.	150	-	-	150
Sports and Recreation - It is proposed that the service underspend on Family Lifestyle is transferred to the Budget Stability reserve to mitigate any future risk of increased cost to the service moving forward.	(68)	-	73	5
Town Centre Improvement - Town Centre Improvement service underspend has been transferred to a new earmarked reserve to be used for future projects recommended by the working party.	(325)	-	325	-
Other variances	(22)	20	6	4
Variance Subtotal Growth and Investment	(351)	40	404	93

<u>Environment and Public Realm- key variances to budget</u>	<u>Variance at P13</u>	<u>Proposed Carry Forward (See App 4)</u>	<u>Proposed Contribution to Reserves (See App 5a)</u>	<u>Revised variance</u>
	£000s	£000s	£000s	£000s
Car Parks - The variance mainly relates to a reduced level of income from Pay and Display charges of £43,000 compared to budget. The income received in 2018/19 was £17,000 less than the amount received in 2017/18. This decline is in line with national trend of consumer preference for online shopping as ONS data reports growth in online retailing of 10.1% from April 2018 to April 2019. The popularity of out-of-town Retail Parks as well as a national town centre vacancy of nearly 9.9%. are also likely to be contributing factors to a reduction in town centre visitor numbers.	31	-	-	31

Positive Figures: Overspend/Underachievement of income
 Figures in Brackets: Underspend/Additional income

<u>Environment and Public Realm- key variances to budget</u>	<u>Variance at P13</u>	<u>Proposed Carry Forward (See App 4)</u>	<u>Proposed Contribution to Reserves (See App 5a)</u>	<u>Revised variance</u>
	£000s	£000s	£000s	£000s
Cemeteries - Overachievement of burial and licence income of (£45,000), reflected in the 2019/20 budget, and a one-off underspend of (£17,000) on maintenance work.	(63)	-	-	(63)
Highways - Underspends on the Great Central Walk Bridges of (£34,000) due to other commitments, weather and environmental constraints, slippage of (£21,200) relating to car park repairs. It is requested that this underspend be carried forward into 2019/20	(79)	21	-	(58)
Land Drainage - This is a reactive service and no substantial work was required in 2018/19 resulting in an underspend. It is proposed that this is transferred into a new earmarked reserve, as this service will be removed from the core budget from 2020/21. Funds will be drawn from the reserve as and when required.	(16)		16	-
Safety and Resilience - Underspends on salaries and external contractors due to a delay in recruitment, however, anticipated to start in early 2019/20. It is requested that this underspend be carried forward for a Health and Safety audit in 2019/20	(20)	20	-	-
Regulatory Services -This is mainly due to income from other Local Authorities with regards investigative fly tipping works. The carry forward request relates to delayed staff training and a new HMO reserve is requested to offset future years costs within this area.	(142)	4	44	(94)
Street Cleansing - Due to ongoing route optimisation, there has been a temporary underspend on salaries. A recruitment process will take place following the outcome of development work. In the interim, agency staff have been used in some cases to cover posts where necessary.	(46)	-	-	(46)
Trade Waste - Additional income from Trade Waste customers. The overachievement of budget has been put into a new earmarked Waste reserve to mitigate future risks in this area.	(47)	-	48	1
Travellers Enforcement - Expenditure on the enforcement and preventative measures with regards to trespassers occupying Council owned land. The Council has recently secured new legal powers to stop illegal encampments on Council land, meaning officers are able to act more quickly.	48	-	-	48
Other variances	(252)	-	240	(12)
Variance Subtotal Environment and Public Realm	(587)	45	348	(193)

Positive Figures: Overspend/Underachievement of income
 Figures in Brackets: Underspend/Additional income

<u>Communities & Homes- key variances to budget</u>	<u>Variance at P13</u>	<u>Proposed Carry Forward (See App 4)</u>	<u>Proposed Contribution to Reserves (See App 5a)</u>	<u>Revised variance</u>
	£000s	£000s	£000s	£000s
<p>Community Advice & Support – The level of applications to the service rose by 45% in 2018/19 resulting in an increased demand on temporary and Bed and Breakfast accommodation for longer periods, particularly during the earlier part of the year. B & B expenditure rose by c £120k and costs for Nightly Self-Contained by c£110k in year. In both categories the Council is only able to recoup c. 30% of the average costs from Housing Benefit/Universal Credit. Since June overall numbers in B & B have fallen (38 - June to 6 - March) as mitigating measures began to take effect.</p> <p>Proposed transfers of £278,000 from unapplied grants reserve income and £230,000 following a review of corporate reserves have been recognised; £225,000 of this has offset the pressure seen in 2018/19 it is proposed that £283,000 is transferred into a newly created Welfare reserve to help mitigate future risks from continuing high demand for temporary accommodation.</p>	(242)	-	283	41
<p>Customer Support Services – One-off underspend due to various factors including staff turnover, maternity leave and review of resource requirements.</p>	(51)	-	-	(51)
<p>Housing Benefit Payments – As reported in February, there has been a significant reduction in the overall level of debt associated with Housing Benefit overpayments, partially due to the transition to Universal Credit. Consequently, the contribution to bad debt provision has been reduced resulting in an overall underspend of (£164,000).</p>	(164)	-	-	(164)
<p>Welfare Services- The service has seen an increase in demand for lifeline alarms following a recent marketing campaign. Further expansion is planned in 2019/20 with an estimated increase in revenue of £40,000</p>	(21)	-	-	(21)
Other variances	12	-	23	35
Variance Subtotal Communities and Homes	(466)	-	306	(160)

Positive Figures: Overspend/Underachievement of income
 Figures in Brackets: Underspend/Additional income

Corporate Resources- key variances to budget	Variance at P13	Proposed Carry Forward (See App 4)	Proposed Contribution to Reserves (See App 5a)	Revised variance
	£000s	£000s	£000s	£000s
Corporate Property Administration – Feed-In Tariff (FIT) income of around (£18,000) was received for the electricity generated from solar panels fitted at the Town Hall and Works Services Unit. It is proposed that is used to establish the Energy Efficiency Investment Fund in 2019/20 to promote further measures to reduce expenditure/generate income and mitigate the Council's carbon footprint. Other variances include a reduction in water costs (£15,000) and an increase in the level of contribution from Warwickshire County Council in respect of overheads at the Art Gallery and Museum (£10,000). There is also a carry forward request of £19,000 for increased utility costs in 2019/20.	(42)	19	18	(5)
Council Tax- This is made up of an £80,000 variance reflecting a reduction in court summons being issued and consequently impacting the income collected. This is partly offset by salary underspends of (£25,000) due to maternity leave & a vacant post.	54	-	-	54
Public Offices - Variance relates to actual cleaning costs against original estimates and a reduction in expenditure on replacement equipment/materials	(22)	-	-	(22)
Resources- Variance relates to both increased recruitment costs across the organisation and a provision for anticipated redundancy costs. There is also a carry forward request of £13,000 to carry out staff training on LGBT awareness in 2019/20.	13	12	20	45
Other variances	(20)	-	-	(20)
Variance Subtotal Corporate Resources	(17)	31	38	52

Positive Figures: Overspend/Underachievement of income
 Figures in Brackets: Underspend/Additional income

<u>Executive Directors Office- key variances to budget</u>	<u>Variance at P13</u>	<u>Proposed Carry Forward (See App 4)</u>	<u>Proposed Contribution to Reserves (See App 5a)</u>	<u>Revised variance</u>
	£000s	£000s	£000s	£000s
Communications- The underspend relates to a combination of income received from the shared service with Nuneaton on Data Protection and reduced marketing costs.	(49)	-	-	(49)
Electoral Services - Unanticipated one-off contribution of income of (£44,000) in relation to 2017/18 parliamentary elections.	(44)	-	-	(44)
Democratic & Legal Services- There was a one-off underspend on salaries from vacancies held within the Legal Services Team. This has enabled the service to cover the cost of redundancy following the service redesign which is now complete and fully staffed from February 2019.	(22)	8	-	(14)
<u>Executive Directors Office- key variances to budget</u>	<u>Variance at P13</u>	<u>Proposed Carry Forward (See App 4)</u>	<u>Proposed Contribution to Reserves (See App 5)</u>	<u>Revised variance</u>
	£000s	£000s	£000s	£000s
Other variances	(19)	-	-	(19)
Variance Subtotal Executive Directors Office	(134)	8	-	(126)
Variance Net Service Expenditure	(1,555)	125	1,096	(334)

<u>Corporate Items- detail of key variances to budget</u>	<u>Variance at P13</u>	<u>Proposed Carry Forward (See App 4)</u>	<u>Proposed Contribution to Reserves (See App 5)</u>	<u>Revised variance</u>
	£000s	£000s	£000s	£000s
Minimum Revenue Provision (MRP) – Underspends on several capital schemes in 2017/18, mainly on vehicle procurement.	(225)	-	-	(225)
Other- This includes (£16,000) additional DWP grant income, a saving of (£18,000) against Net Cost of Borrowing and an underspend of (£87,500) on Revenue Contributions to Capital. £80,000 has been transferred to a reserve from GF underspends for digitalisation of the Council Chamber as approved in the budget resolution for 2019/20	(121)	-	80	(41)
Total Corporate Items	(346)	-	80	(266)
Overall GF Variance	(1,901)	125	1,176	(600)

3.3. Collection Fund

The following table details the outturn position and a budget surplus of (£0.293m) which has been transferred to the business rates equalisation reserve.

	2018/19 Budget	2018/19 Outturn	Variance
	£000s	£000s	£000s
RBC share of NDR Income @ 40% (as per the NNDR1 forecast)	(19,506)	(19,506)	-
Less Tariff	12,767	12,767	-
Gross Amount Retained	(6,739)	(6,739)	-
Section 31 Grants	(1,209)	(1,356)	(147)
Levy Payment	2,688	2,957	269
Coventry & Warks BR Pool Income	(200)	(582)	(382)
Net Retained Income	(5,460)	(5,720)	(261)
MHCLG reconciliation payment 17/18	-	(32)	(32)
Total Business Rates Income	(5,460)	(5,752)	(293)

Positive Figures: Overspend/Underachievement of income
Figures in Brackets: Underspend/Additional income

Business Rate Retention

The Council sets its business rates budget for 2018/19 based on the NNDR1 form that was submitted to Government on 31 January 2018. It was forecast that the Council would collect £48.800m of business rates during 2018/19, of which Rugby Borough Council would retain £5.459m.

The impact on the General Fund for business rates partially follows the council tax collection fund model, in that only some of the transactions go through the Collection Fund, whereas others are a direct charge for the General Fund.

The actual business rates income collected goes through the Collection Fund and in 2018/19 there is a year-end deficit of £1.020m. This will be distributed between ourselves, Warwickshire County Council and Central Government in the relevant shares. Our share of the deficit is £0.408m and this will be charged to the General Fund budget in 2020/21.

This deficit arose in 2018/19 due to a delay in the Valuation Office bringing new properties onto the Rating list e.g. Amazon at Gateway. There was also an increase in the appeal provision, with our share increasing from £4.437m to £5.222m. This appeal provision was calculated by applying 4.7% to gross rates payable being the national average of appeal losses on the 2010 rating list as measured by the Ministry of Homes Communities and Local Government (MHCLG).

However, some parts of the business rates retention system operate outside the Collection Fund and are a direct charge to the General Fund. The main aspect of the system that operates in this way is the levy that we have to pay Government each year, which is equivalent to 50% of our share

in the growth of local business rates. The 50% levy payment made to government is based on actual business rates income received. Consequently, the Council's levy payment is approximately £0.200m higher than budgeted.

The Council participates in the Coventry & Warwickshire Business rates pool (the Pool), which operates to allow partners to work together, so that we can retain a greater proportion of any business rate growth within the Pool area. Our 50% levy of £2.950m is therefore also offset by a pooling gain and in 2018/19 we gained £0.582m from our pool membership, which was higher than the budgeted amount £0.200m.

As a result of higher levy and higher pooling gain, plus some additional s31 grant funding from Central Government, the overall income received and charged to the General Fund for 2018/19 was higher than estimated and resulted in an in-year surplus of (£0.293m).

As explained previously, this surplus has been transferred to the Business Rates Equalisation reserve and will be used, alongside other balances within this reserve, to completely offset the £0.408m deficit as part of budget setting for 2019/20.

In summary:

- As a result of this partial Collection Fund model for business rates, there is a positive variance against budget, even though the actual 2018/19 cash performance was adverse.
- It is proposed that this positive variance of £0.293m has been transferred to the Business Rates Equalisation reserve, in addition to the budgeted contribution of £0.553m.
- The actual deficit on collection in 2018/19 will be charged to the General Fund budget in 2020/21.
- Therefore the £0.293m will be credited to the budget in 2020/21 to part-fund the collection fund deficit.

Council Tax

The authority's share of council tax income for 2018/19 was estimated in February 2018 at £7.063m.

The amount credited to the General Fund in 2018/19 for council tax income is fixed to the budgeted amount of council tax billed during the year, not the actual cash collected. Any difference between the actual amount collected and the initial forecast will feed through into a surplus or deficit on the Collection Fund, to be met from or credited to future years' budgets.

For 2018/19 the actual cash position for council tax was an overall surplus of (£0.129m). This will be distributed between Rugby Borough Council, Warwickshire County Council and The Office of the Police and Crime Commissioner for Warwickshire in the relevant shares, as detailed in the Collection Fund Statement. Rugby Borough Council's share of the surplus is £0.015m and this will be credited to the General Fund budget in 2020/21.

The Council Tax income has exceeded the budgeted amount mainly due to new houses coming into occupation and change in residents' circumstances.

For information below is a summary of housing growth in the Borough which will have an impact on the future council tax base

	2017/18 (actual)	*2018/19 (projected)	2019/20 (projected)
New dwellings	578	939	1004

*2018/19 is projected as the final numbers will not be available until August 2019

3.4 Corporate Savings Target

As part of the Budget Setting process for 2018/19, a target of (£0.360m) was set, to be achieved through corporate savings, salary savings and digitalisation of services. Following efficiencies seen in various areas of the Council, the (£0.360m) Corporate Savings Target was successfully achieved during 2018/19. A breakdown of this can be seen in the table below

Breakdown of savings achieved	Delivered £000s
One-off salary savings due to vacancies across the organisation	(247)
Recurrent efficiencies due to digitalisation	(41)
Other ad-hoc savings	(72)
Total	(360)

3.5. General Fund Reserves

The Council has built and put into practice a strategy in recent years of targeting an increase in reserves. This ensures that resources which are not absolutely key to the delivery of services for Rugby today are kept aside for the Rugby of tomorrow. This is needed because Rugby today is growing at such a pace that the cost of delivering services for the future is likely to experience a stepped change in cost at some point when the current management and overheads are no longer able to stretch to meet demand. It is also the case that there are monies aside to provide for the managed open spaces and affordable housing that we need to provide as the population grows. In addition, it is assumed that the services currently provided today, which are delivered at a level which is right for the Borough, are only affordable in the medium term by building up reserve levels which will provide a one-off source of funding to soften the impact of the Fair Funding review increase medium term financial resilience. This review, alongside a Comprehensive Spending Review, are expected in the next 12-18 months, with an expected negative impact on all lower tier authorities like ourselves over the 5 years of the spending review period.

Therefore, it is imperative that we keep reserves levels under scrutiny to ensure that the Council is neither building up too much nor too little reserve and that the strategy and risk assessments are in line. Whilst the budget setting process made an assessment of the risks, this has been revisited to align earmarked reserves to manage specific risks and transformation costs that are anticipated over the medium term.

It is generally accepted that Local Authorities' General Fund balances should be between 3 and 5% of their net budget requirement in order to allow for unexpected, urgent or critical events which could not be funded any other way. We have adopted a risk-based approach to assessing whether this target is appropriate for our circumstances and have refreshed this during the preparation of the accounts.

Our plans show that over the medium term we are achieving levels of reserves and a General Fund balance which meet the risks we have identified in the financial planning environment. The contributions which we have made to reserves in the past, and in the next two financial years, will allow us to establish a level of reserves which allow us to:

- continue to ensure that discretionary services we charge for do not make a profit over time
- recognise the risks of service needs increasing in response to demographic growth or wider economic pressures

- recognise the potential loss of New Homes Bonus and Retained Business Rates income
- allow for emergency situations and legal challenges which the Council may face

We will continue to look at opportunities to use the budget stability reserve to invest in new ways of working to deliver ongoing value for money. In addition, by holding cash the Council will benefit in terms of reduced running costs by being able to:

- avoid borrowing costs
- invest monies held and gain a return
- meet costs itself which would otherwise need to be insured against
- meet ongoing liabilities earlier thus reducing payments over time
- invest in energy efficiency schemes

Anticipated General Fund Balance as at 31 March 2019

	£000s	£000s
GF Balance at 31 March 2018		(3,069)
Proposed transfer to other reserves following risk assessment review	1,198	
Supplementary Budget and In-Year Approvals	218	
Variance at the end of 2018/19 (including proposed carry forwards and reserve transfers)	(600)	
Net amount to be added to balances		(816)
Anticipated GF Balance at 31 March 2019		(2,253)

Positive Figures: Contribution from Balances
 Figures in Brackets: Contribution to Balances

The previous table shows that the final position was an underspend of (£0.600m). After accounting for the budgeted £0.218m contribution from the General Fund, to fund in-year budget adjustments, a net £0.381m was added to General Fund revenue balances. In line with the risk assessment undertaken, (see appendix 5b), it is proposed that £1.198m is moved into other earmarked reserves to provide assurance against the assessed risks in budget stability over the medium term.

Movements in GF Earmarked Reserves

We budgeted for contributions from reserves of £0.033m. As a result of reviewing the balances held in revenue grants received in advance and other areas of the balance sheet, it is proposed that reserve levels will rise by (£2.607m) above that which was planned, which is summarised in the table below.

£000s	Notes
(1,706)	Following a risk assessment and review of balances, an additional 1.706m has been transferred into the Budget Stability Reserve.
(125)	Proposed carry forward amounts for ongoing plans into 2019/20
(1,033)	The creation of new reserves (see below)
257	Other proposed contributions from reserves
(2,607)	Total

Below is a table detailing the proposals for new reserve creation.

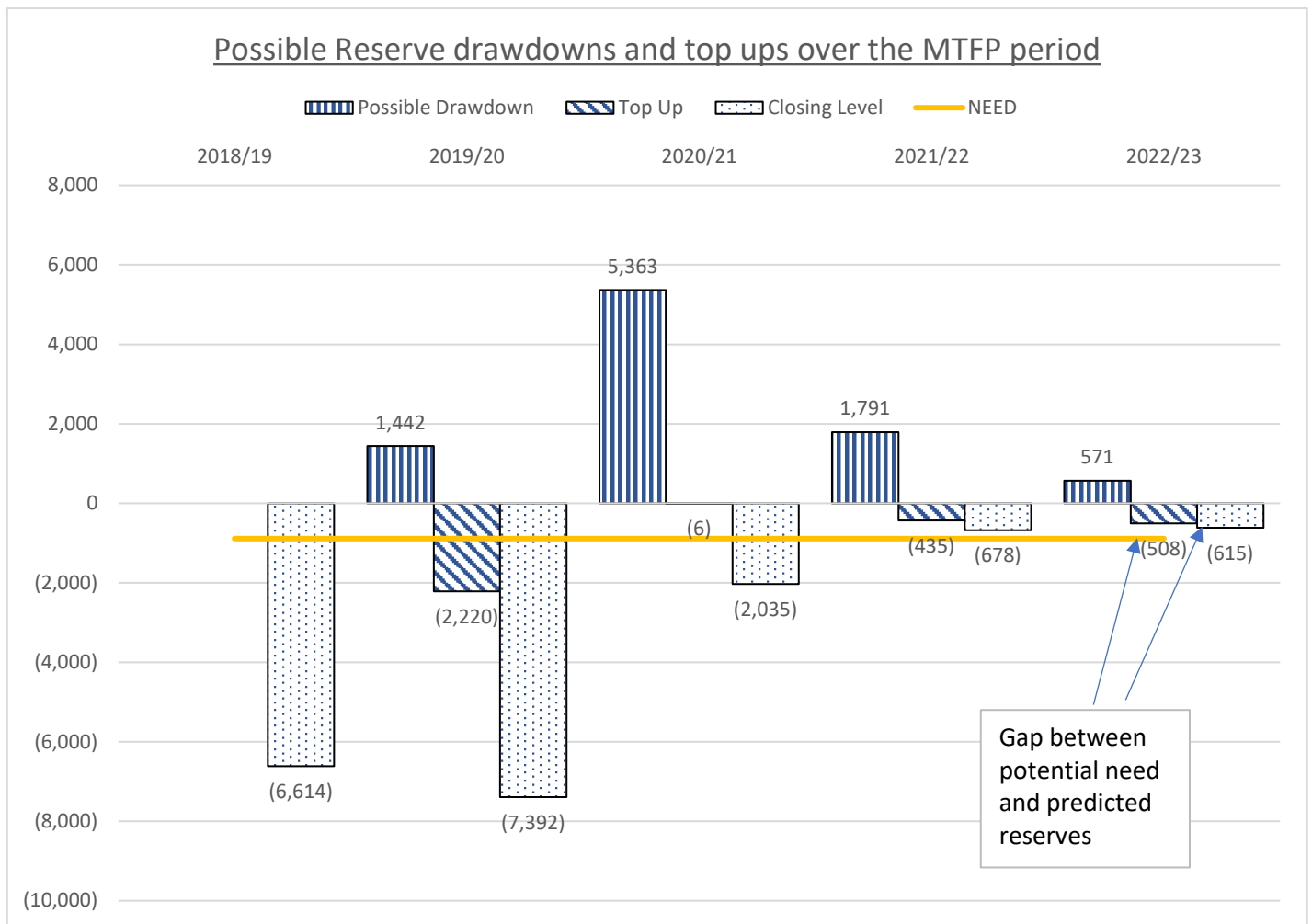
A full breakdown of the movement in GF earmarked reserves can be found in appendix 5a.

Proposed new reserves	Amount to/(from) £000s	Reason
Welfare Support and IT	600	Homelessness pressures (See 3.8)
Town Centre Improvements	325	As previously agreed by the working party
HMO Licenses	44	Support on-going resource in this area
Land Drainage	16	Support future years spend in this area
Waste	48	Mitigate future years' risks
Total	1,033	

Anticipated and Required Corporate and General Fund Reserves as at 31 March 2019

During the outturn period we have focussed on completing a risk assessment of the reserve's levels in our corporate reserves which we use to respond to and manage financial risks. The detailed risk assessment is included as appendix 5b.

What the risk assessment shows is that there is potentially a funding gap in our corporate reserves such that if all the risks present in the environment crystallised, particularly the funding risks, then the reserves would be depleted by 2022/23. This underlies the need to continue to focus on putting money into reserves but also creates the opportunity that if the funding outcomes in 2020/21 are not as bad as currently forecast, the reserves could be used for other purposes.



The Corporate and General Fund Reserves considered in this analysis are the General Fund itself, the Budget Stability Reserve, the Business Rates Equalisation Reserve and the new Welfare Support Reserve.

3.6. Budget Stability

There are various items within the Council’s budget that are subject to significant degrees of volatility or variation from one year to another, often due to factors that are outside the Council’s control or influence; this reserve assists the mitigation of such volatility by allowing the Council to call upon it in years where budget overspends occur and conversely replenish it in years where favourable variances arise.

	£000s
Balance at 1 April 2018	(539)
Approved drawdown of funds to mitigate extended costs surrounding the implementation of the Local plan.	100
Proposed transfer following the review of unapplied grant income	(251)
Proposed transfer to mitigate risks in the weight management contract	(73)
Proposed transfer to other reserves following risk assessment review	(1,382)
Balance at 31 March 2019	(2,145)

Positive Figures: Contribution from Balances
 Figures in Brackets: Contribution to Balances

Should the proposed reserve transfers be approved the balance in the budget stability reserve will be £2.145m at year-end. There are no other immediate plans in 2019/20 to use this reserve but the balance is to be set aside to mitigate future budget volatility.

3.7. Business Rates Equalisation Reserve

This reserve is established to mitigate future fluctuations in the business rates base alongside the risks faced by the Council through the anticipated changes in business rates baseline and fair funding.

	£000s
Balance at 1 April 2018	(1,285)
Planned in year transfer to reserve	(553)
Additional contribution after calculating surpluses (explained in section 3.3)	(293)
Proposed transfer to other reserves following risk assessment review	415
Balance at 31 March 2019	(1,716)

Positive Figures: Contribution from Balances
 Figures in Brackets: Contribution to Balances

As previously highlighted in section 3.3, the collection fund for business rates is currently reporting a deficit of £0.408m. This deficit will be charged to the General Fund in 2020/21, but the balance on this earmarked reserve will be used in 2020/21 to mitigate the deficit. The initial estimates for business rates in 2019/20 anticipate additional growth and assumes a further £1.964m to be transferred into the Business Rates Reserve by the end of March 2020.

3.8 Welfare Support Service and IT Reserves

These reserves have been created in 2018/19 as a result of reconsidering the specific risks arising from service provision in this area and a commitment to invest in IT. During the year we utilised £0.117m of the Homelessness Prevention Grant received in 2017/18 and now intend to use the balance of that grant, and the grant received in 2018/19 in order to reduce the overspend in this area. We have drawn in other balances relating to Housing Benefits previously in other reserves. This will create a single point of resilience for pressures in this area which we anticipate and have included in the MTFP until we can implement the housing acquisition plans to reduce costs. A further grant of £0.193m has been announced for 2019/20, which could be added to this reserve if it is not needed to support service overspends in the coming year

	£000s
Balance at 1 April 2018	0
NC DWP New Burdens Funding	(193)
Flexible Homelessness Support Grant 2018/19	(226)
Flexible Homelessness Support Grant applied to services	226
Proposed transfer from Housing Benefits Admin reserve	(125)
Proposed transfer from other reserves following risk assessment review	(230)
Other smaller grants	(52)
Balance at 31 March 2019	(600)

Positive Figures: Contribution from Balances
 Figures in Brackets: Contribution to Balances

4 HOUSING REVENUE ACCOUNT (HRA) REVENUE BUDGETS:

4.1 Context

Housing Rents were set by Council on 6 February 2018, in the context of rent policy changes from government, most notably the imposition of 1% rent reductions for the period 2016/17 until 2019/20. Supplementary revenue budgets totalling £1.532m were approved during 2018/19 in respect of:

- Increased security and fire risk prevention measures at Biart Place / Rounds Gardens including 24/7 floor walking patrols; and
- Rent losses arising from the decant of properties at Biart Place

Biart Place/Rounds Gardens

Council has received three reports in 2018/19 concerning the condition and potential options for both Biart Place and Rounds Gardens. Recommendations have now been approved:

- Proceeding with the decant and demolition of the sites in addition to redevelopment design and procurement; and
- Installation of additional fire alarms at Rounds Gardens based on recommendations by the fire risk assessor and Warwickshire Fire and Rescue Service (upon the assumption tenants remain in the block for the duration of these works)

The structural findings in respect of the blocks at both sites, which account for almost 10% in total of the Council's HRA stock, were unanticipated. The measures required to respond to these findings will have an extraordinary impact on the HRA's financial resources, which will impact on its ability to meet to both current and emerging housing needs. In turn, this will have a potential impact on the General Fund, as unmet housing need has to be increasingly met via temporary accommodation. The Council has approached Central Government to establish what financial support they are able to provide to respond to these issues. In addition, a General Fund Housing Acquisition Fund of £13.000m was approved in December 2018 for capital investment in the provision of temporary accommodation.

The draft HRA Revenue and Capital Budgets 2019/20 report to Cabinet (5th November 2018) included a recommendation that £5.839m set aside for the repayment of debt in 2018/19 is now utilised as Revenue Contributions to Capital Expenditure.

4.2 Year-end position

The year-end position shows a favourable variance of £0.268m against the 2018/19 revised budget of £1.532m. Officers have requested that £0.125m be carried-forward to 2019/20, leaving a favourable variance of £0.143m. This surplus will be added to the £5.839m Revenue Contribution to Capital Expenditure in 2018/19 noted in section 4.1 giving a final break even position.

The following table identifies the key HRA revenue budget variances.

4.3 Major Variances

A summary of the key variances follows:

Positive Figures: Contribution from Balances
 Figures in Brackets: Contribution to Balances

HRA Income and Expenditure	Year-end variance	Carry Forward	Revised Variance
	£000s	£000s	£000s
Rent income from dwellings / Charges for services – Void levels have increased from an estimated 1% to 3.2%, primarily as a result of the decanting of properties at Biart Place and intensive structural surveys at Rounds Gardens.	352	-	352
Transfer to the Housing Repairs Account - Repainting schemes not undertaken in 2018/19 to be rolled into the 2019/20 programme of cyclical maintenance to be aligned with door entry improvements approved as part of the HRA capital programme 2019/20.	-	125	125
Staffing costs Variance arising from: <ul style="list-style-type: none"> Salary and employment costs relating to 6 vacant posts/apprentice positions (£235,500) predominantly within the Property Maintenance and Housing Management-Tenancy Sustainment teams; offset by: Use of agency staff within Property Maintenance and Housing Management-Tenancy Sustainment teams £23,400 	(212)	-	(212)
Biart Place/Rounds Gardens - Additional security costs and risk measures at Biart Place and Rounds Gardens (24/7 floor walking, inspection of void properties, structural surveys, etc.) to minimise potential of a shock event. The blocks at Biart Place have now been fully decanted and ongoing security risk measures amended for these circumstances. The sites at Rounds Gardens will retain a 24/7 floor walking presence, alongside additional fire alarm installation measures, until such point as these blocks are fully decanted. These pressures will be met from HRA revenue balances, which were enhanced in 2017/18 following the transfer of the Voluntary Revenue Provision (VRP) to HRA revenue balances.	254	-	254

Positive Figures: Contribution from Balances Figures in Brackets: Contribution to Balances			
HRA Income and Expenditure	Year-end variance	Carry Forward	Revised Variance
	£000s	£000s	£000s
Rent, rates, taxes, and other charges – Council tax charges payable by the Housing Revenue Account in its landlord function as the owner of empty premises at Biart Place.	49	-	49
Provision for bad or doubtful debts – the level of overall arrears has fallen by £54,000 as at 31 March 2019 (including debts of £334,000 relating to former tenants) resulting in a reduction in the contribution to the provision against the original estimate.	(171)	-	(171)
Interest Payable & Investment income – Slippage within the HRA capital programme in 2018/19 has resulted in higher HRA cash balances within the year for investment, coupled with higher investment rates available as markets anticipated the rise in Bank of England base rate in August 2018.	(165)	-	(165)
Other variances (including Pension adjustment of £343,000)	(376)	-	(376)
Variance	(268)	125	(143)
Additional Revenue Contribution to Capital Investment Balances	143	-	143
Net Variance	(125)	125	-

4.4 Anticipated HRA Balances

	£000s	£000s
HRA Balance at 31 March 2018		(6,492)
Supplementary Budget Approvals (Council 24 April 2018: increased security costs/risk measures for Biart Place and establishing a guarantor/indemnity reserve)	1,532	
Carry forward to 2019/20	(125)	
Amount to be taken from balances		1,407
Anticipated HRA Balance at 31 March 2019		(5,085)

Positive Figures: Contribution from Balances
Figures in Brackets: Contribution to Balances

Major Repairs Reserve

The Major Repairs Reserve is an earmarked reserve for the capital financing of the planned elements of replacement expenditure on council houses. The reserve earns interest on all balances which must also be used for this purpose. Significant expenditure to be charged to the reserve in 2018/19 includes:

- Disabled Adaptations £0.145m;
- c. 110 Kitchen modifications £0.268m;
- c. 120 Bathroom replacements £0.459m; and
- c. 190 Heating Upgrades £0.320m

	£000s	£000s
Balance at 31 March 2018		(1,580)
Depreciation on non-current assets	(3,076)	
Appropriations to or (from) HRA Revenue	789	
Interest Received	(23)	
Capital Financing	1,346	
Amount to be added to balances		(964)
Balance at 31 March 2019		(2,544)

Positive Figures: Contribution from Balances
 Figures in Brackets: Contribution to Balances

Housing Repairs Account

The Housing Repairs Account is an earmarked reserve for the financing of reactive and planned maintenance on council houses.

	£000s	£000s
Balance at 31 March 2018		(1,090)
Contributions during the year	(3,676)	
Repairs and maintenance charged	3,744	
Amount to be taken from balances		68
Balance at 31 March 2019		(1,022)

Positive Figures: Contribution from Balances
 Figures in Brackets: Contribution to Balances

HRA Capital Investment Balances

HRA Capital Investment Balances are utilised to fund acquisitions (in tandem with a proportion of retained Right to Buy receipts) and other capital expenditure not financed via the Major Repairs Reserve, for example Housing Management System software, CCTV and Lifeline replacement equipment.

Acquisition and new build expenditure funded via HRA Capital Investment Balances in 2018/19 includes:

- 22 new build properties at the Cawston Meadows development
- 5 open market purchases

Further to Council approval (24 April 2018 and 5 February 2019) £0.922m of decanting costs, surveys, and structural modelling expenditure has been charged against balances in 2018/19 in

respect of Biart Place and Rounds Gardens. Subject to further approvals, capital costs for this project will be charged against HRA Balances (Capital) and RTB Capital Receipts where applicable.

	£000s	£000s
Balance at 31 March 2018		(14,025)
Contributions during the year	(5,977)	
Capital Expenditure charge (see above)	4,148	
Amount to be added to balances		(1,829)
Balance at 31 March 2019		(15,854)

Positive Figures: Contribution from Balances
 Figures in Brackets: Contribution to Balances

Right-to-Buy (RTB) Capital Receipts

The Council entered a 1-4-1 retention agreement with Ministry of Housing Communities and Local Government (MHCLG) in 2012 allowing it to retain a greater proportion of receipts upon the condition that they are utilised in provision of replacement housing within 3 years. Receipts under the 1-4-1 retention agreement that are not utilised must be returned to Her Majesty's Treasury (HMT) and incur an interest charge of Bank of England Base Rate plus 4%. Only 30% of the expenditure incurred on replacement housing may currently be financed from RTB receipts.

20 homes were sold under RTB in 2018/19 producing an average receipt of £0.096m (prior to pooling). 27 homes were purchased in 2018/19, including 22 at the Cawston Meadows site.

	£000s	£000s
Balance at 31 March 2018		(6,606)
Net contributions (after pooling)	(1,431)	
Expenditure charged	1,465	
Increase / (decrease) in RTB Receipts		34
Balance at 31 March 2019		(6,572)

Positive Figures: Contribution from Balances
 Figures in Brackets: Contribution to Balances

5 CAPITAL:

A summary of the overall position on the capital programme is provided at Appendix 3. It can be seen that there is a net variance of (£15.477m).

5.1 General Fund Capital – Overview

The General Fund capital programme shows a net variance to year-end of (£3.115m). This amount is made up of a total in-year variance of £0.448m and (£3.563m) carry forwards into 2019/20. Explanations for in-year variances and carry forward requests are detailed in the following table.

Positive Figures: Overspend
 Figures in Brackets: Slippage / Underspend

Carry forwards into 2019/20 / Brought forward from 2018/19	£000s
Corporate Resources	
<p>Carbon Management Plan – on-going commitment including completion (pending review) of Phase 4 Solar Panel installation: Art Gallery and Museum and Queens Diamond Jubilee Leisure Centre</p> <p>Considering the decrease in costs for Solar PV in recent years, £93,000 is requested as a virement for the Corporate Asset Management System to facilitate the introduction of new modules (contractor portal, self-serve, mobile working, project management, etc.)</p> <p>The following corporate and HRA properties now benefit from solar power: Town Hall, Work Services Unit, John Barford Car Park, Tanser Court, Albert Square. Income generated via Feed in Tariffs (FITs) from these projects has been utilised to create an Energy Efficiency Investment Fund with £18,000 in 2018/19.</p>	(607)
Market Quarter Development – carry forward to finalise marketing and sales for site in 2019/20	(25)
Housing Acquisitions Fund – the fund was established in December 2018 with an intended commencement date of 1 April 2019. However, land and property transactions have already taken place to enable the creation of 15 units of accommodation for families and single tenants.	482
Corporate Asset Management System – procurement is now complete and Phase 1 (Transition of Property Register / Asset Register) will conclude in summer 2019 with the expected roll-out of further phases (mobile working, contractor portal, health and safety compliance modules, integration with new Housing Management System) in autumn/winter 2019.	(40)
Corporate Property Enhancements – conclusion of upgrade works at the Town Hall (Kitchens/Toilets) and the Lawn/Retreat.	(59)

Positive Figures: Overspend
 Figures in Brackets: Slippage / Underspend

Environment and Public Realm	
Crematorium Project - completion/retention costs	(46)
Vehicle Procurement – procurement was deferred in 2018/19 pending the completion of a review of vehicle use across the Council. This is now complete and new fleet on order.	(1,656)
Rainsbrook Cemetery Preparation – delays while officers liaise with the Environmental Agency on water courses, to provide data on protection prior to commencement of works	(189)
Great Central Walk Bridges – Following works at Newton Bridge and Bridge Street Bridge in recent years a full survey of remaining works has now been concluded in conjunction with Warwickshire County Council. A programme of works commencing with priority activities at Clifton Road and Hillmorton Road bridges will commence this year. The carry-forward amount is deemed sufficient for this programme and therefore no further budget was requested in 2019/20.	(694)
Open Spaces – Rokeby Play Area / Whitehall Recreation Ground – further public consultation is in progress prior to completion of these projects	(380)
Communities and Homes	
Disabled Facilities Grant – additional grant funding was received in 2018/19 from central government meaning that resources funded by Rugby Borough Council were not required to meet demand in year. This funding is requested to be carried forward to further initiatives being developed by the HEART service in respect of aids and adaptations in 2019/20.	(150)
Others	
Including resourcing and specific delays involving ICT projects	(199)
Subtotal	(3,563)

Net variances	£000s
Communities and Homes	
Disabled Facilities Grant – additional grant allocation from government in 2018/19	127
Environment and Public Realm	
S106 Schemes – developer contributions to schemes at Long Lawford (Play Areas) and Cawston (Community Hall)	277
Other items	44
Subtotal	448
Net variance and carry forwards	(3,115)

5.2 Housing Revenue Account – Capital

The HRA capital programme shows a net variance at year-end of (£12.362m). This amount is made up of a total in-year variance of £0.087m and (£12.449m) carry forward requests into 2019/20. Explanations for in-year variances and carry forward requests are detailed in the following table.

Positive Figures: Overspend
 Figures in Brackets: Slippage / Underspend

Carry forwards into 2019/20	£000s
Rounds Gardens / Biart Place – amounts approved by Council in 2018/19 for the decant, design, and survey costs associated with the redevelopment schemes.	(5,097)
Purchase of Council Houses / Cawston Meadows – the final properties for the Cawston development were delivered in April 2019. In total, the Council has purchased 34 new homes for social and affordable rent from this scheme.	(2,706)
Bell House – a planning application will shortly be reviewed by committee following amendments to the original application in respect of transport and ecological surveys. Subject to committee approval start on site will commence in September 2019.	(1,377)
Garage Sites Redevelopment – ground investigation surveys and traffic assessments have resulted in scheme design alterations which will require further approvals from Council prior to commencing the project	(1,300)
Energy Efficiency Phase - following changes in the funding criteria Property Services are reviewing the feasibility and returns/benefits offered by the scheme. The original slippage was due to lack of resources in the department.	(900)
Housing Management System – carry forward to implement new system in December 2019	(345)
Property Repairs Vehicle Procurement – procurement was deferred in 2018/19 pending the completion of a review of vehicle use across the Council. This is now complete and new fleet on order.	(300)
Other – including Disabled Adaptation works & Kitchen Modifications	(424)
Subtotal	(12,449)

Net variances	£000s
Bathroom modifications – increase in void works against planned replacements	40
Fire Prevention Works – additional plant and equipment purchased following increased assessments in year and legislative changes	46
Other	1
Subtotal	87
Net variance and carry forwards	(12,362)

6. Supplementary Budget Requests

As included within the recommendations section of this report, see below for further detail on the supplementary budget requests:

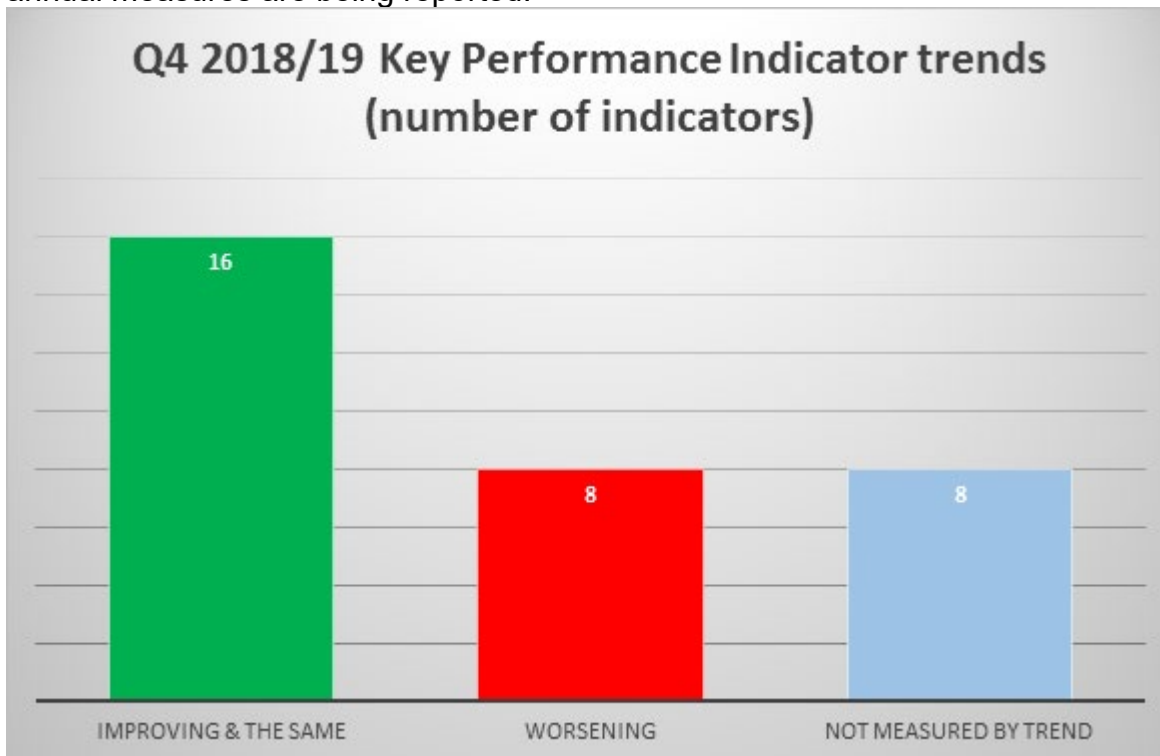
Recommendation 2- A General Fund revenue supplementary budget of £0.030m is requested for 2019/20 within Development Strategy. This is for costs associated with the South-West expansion. This work is done in conjunction with the Local Plan.

Recommendation 6- A net nil Supplementary General Fund revenue budget of £0.480m in 2019/20 is requested for the extension of the Family Weight Management Scheme, to be met from external funding. This will cover the period July to October 2019.

Recommendation 9- A General Fund capital supplementary budget for 2019/20 of £0.100m is requested, to be funded from external funding and borrowing, for Rainsbrook Crematorium for a Car Park extension to meet increased capacity. The works will be jointly funded with Daventry District Council and provide 50 additional spaces and comply fully with accessibility regulations. This proposal has been approved by the Crematorium Joint Committee, subject to Council approval.

7. PERFORMANCE SUMMARY

This is the monitoring report for the fourth quarter of 2018/19 and the reported data can be seen in Appendix 6. As this is the Q4 report there will be more indicators presented in the appendix as annual measures are being reported.



Out of the reported performance indicators to Cabinet 50% are showing improving or static trends. 25% have adverse trends and contextual narrative has been provided by the officers and managers and can be viewed along with the performance data in Appendix 6. 25% of the reported indicators do not have trends charted.

It is important to note that the refuse & recycling data around the percentage of waste sent to reuse, recycling and composting is being reported with provisional data. The reason for this is that the central government department Waste Data Flow have changed the frequency for validating data from a quarterly validation to an annual one. The data presented in Appendix 6 is at the stage of the process where it is sent for validation. Upon the annual validation there may be some retrospective amendments to the data which will be visible on the Rugby Performance Management System (RPMS).

The Key Performance Indicators (KPIs) for Bereavement Services and the Benn Hall were suspended from this report in Q2 2018/19 due to concerns over the quality of the data. Both were included in the 2018/19 Data Quality Assurance Programme.

- The indicator for Bereavement Services was reviewed due to a concern around the accuracy of the data, which has now been resolved. This data will be reinstated to this report as of Q1 2019/20.
- The indicator for the Benn Hall is still pending a data quality review which has been delayed due to a new digital booking system being put into place. The review should take place in Q2 2019/20. For any performance data on the Benn Hall please send a request to the Corporate Assurance & Improvement team by emailing rpmssupport@rugby.gov.uk

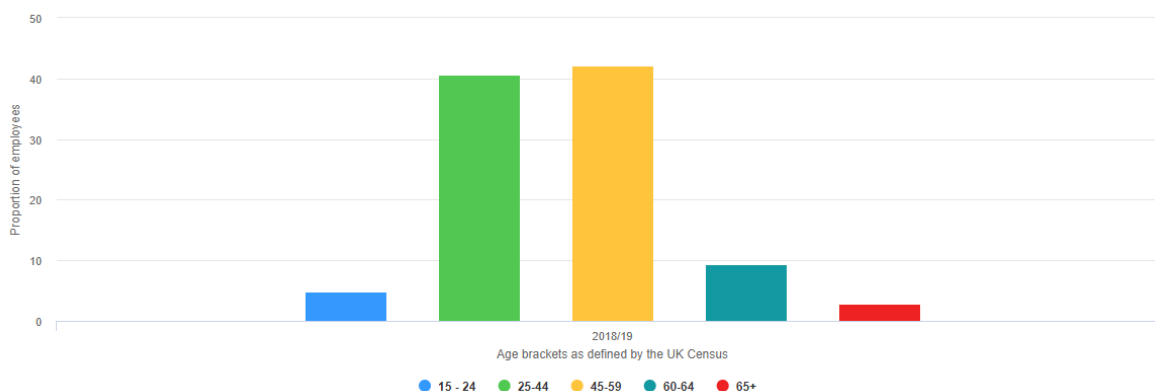
There are several new indicators featured in Appendix 6. The quality rating of parks and open spaces measure has been replaced by three measures: Number of green flag awards, number of volunteer hours and number of trees planted.

A new set of Safety & Resilience measures have been developed and one of them concerning members of the public recorded in an accident has been identified as a KPI and included in this report.

The proportion of rent arrears caused by Universal Credit is also a new measure put in place by the Housing Management & Tenancy Sustainment team.

Currently the Performance Management & Improvement Officer is developing an Equality & Diversity data set with the Council's Corporate Equality and Diversity Advisor and the HR Department. KPIs have yet to be identified but it is likely that 2019/20 will see the introduction of E&D reporting.

Employee Age Profile (as a percentage)-



1. Sample of equality data being developed

Training on the RPMS is available to Members and can be requested by contacting the Corporate Assurance & Improvement team. Training involves learning how to navigate the system, how to interpret the data and development of personalised performance dashboards. This can be arranged for a time to suit Members, either during the day or evening.

If you wish to request training or if there is specific piece of performance data not covered in the appendix on a particular subject matter that you wish to review, then please request a performance report from the Corporate Assurance & Improvement team by emailing rpmssupport@rugby.gov.uk

Name of Meeting: Cabinet
Date of Meeting: 24 June 2019
Subject Matter: Finance & Performance Monitoring 2018/19- Year-End
Originating Department: Corporate Resources

DO ANY BACKGROUND PAPERS APPLY **YES** **NO**

LIST OF BACKGROUND PAPERS

Doc No Title of Document and Hyperlink

The background papers relating to reports on planning applications and which are open to public inspection under Section 100D of the Local Government Act 1972, consist of the planning applications, referred to in the reports, and all written responses to consultations made by the Local Planning Authority, in connection with those applications.

Exempt information is contained in the following documents:

Doc No Relevant Paragraph of Schedule 12A

General Fund**Revenue Budget Position 2018/19 April 2018 to March 2019**

Positive Figures= over spend / income shortfall
 Figures in Brackets = under spend / additional income

	Revised 18/19 Budget	Year-End Position	Variance to Revised Budget	Proposed Carry Forwards to 2019/20	Proposed Reserve (from)/to Transfer	Net Variance 18/19
Portfolio Expenditure :-	£000s	£000s	£000s	£000s	£000s	£000s
Growth & Investment <i>(Note 1&2)</i>	3,336	2,985	(351)	40	404	93
Environment & Public Realm <i>(Note 1&2)</i>	6,832	6,246	(587)	45	348	(193)
Communities & Homes	1,943	1,477	(466)	0	306	(160)
Corporate Resources <i>(Note 1)</i>	1,171	1,154	(17)	31	38	52
Executive Director Office <i>(Note 1)</i>	1,894	1,760	(134)	8	0	(126)
	15,178	13,622	(1,556)	125	1,096	(335)
Less Corporate Savings Target	0	0	0			0
Less IAS 19 Pension Adjustment	(317)	(317)	1			1
Less Capital Charge Adjustment	(2,591)	(2,590)	0			0
Net Service Expenditure	12,270	10,715	(1,555)	125	1,096	(334)
Net Cost of Borrowing	465	447	(18)			(18)
Investment income in Properties	(50)	(50)	(0)			(0)
Income from Investment Properties	0	0	0			0
MRP Adjustment	1,929	1,704	(225)			(225)
Parish Precepts	761	761	(0)			(0)
Revenue Contribution to Capital Outlay	88	0	(88)		80	(8)
Total Net Expenditure	15,462	13,577	(1,885)	125	1,176	(584)
Corporate Income						
Revenue Support Grant	(153)	(153)	(0)			(0)
Retained Business Rates	(5,460)	(5,752)	(292)			(292)
New Homes Bonus Funding	(2,106)	(2,106)	0			0
Government Grants	(297)	(313)	(16)			(16)
Council Tax	(7,439)	(7,439)	(0)			(0)
Collection Fund Surplus/Deficit	112	112	0			0
Total Corporate Income	(15,342)	(15,650)	(308)	0	0	(308)
Summary Transfers to/from Reserves and Balances	Impact to Revenue			Impact to Reserves		
Transfer to/from Carry Forward Reserve	(354)	(230)	125	(125)		0
Transfer to/from Budget Stability Reserves <i>(Note 2)</i>	(100)	(100)	0			0
Transfer to/from Earmarked Reserves <i>(Note 2)</i>	0	1,176	1,176		(1,176)	0
Transfer to Business Rates Equalisation Reserve	553	845	292			292
Transfer from GF as per approved Budget Resolution	(13)	(13)	0			0
Transfer from GF Balances - In year Supplementaries	(206)	(206)	0			0
Total Transfers	(121)	1,473	1,593	(125)	(1,176)	293
Overall Variance	(0)	(600)	(600)	0	0	(600)

Note 1 - See full Details within Carry Forwards Appendix 4

Note 2 - This excludes transfers to/from Services - Full Details of all transfers are included within Reserves Appendix 5a

Housing Revenue Account (HRA)
Revenue Budget Position 2018/19 April 2018 to March 2019

Appendix 2

Key:
Positive Figure = over spend / income shortfall
Figure in brackets = under spend / additional income

Description	Original Budget	Revised Budget	Year-End Position	Variance to Revised Budget
	£'000	£'000	£'000	£'000
Income				
Rent income from dwellings	(16,127)	(15,808)	(15,540)	268
Rent income from land and buildings	(150)	(150)	(184)	(34)
Charges for services	(1,343)	(1,286)	(1,201)	85
Contributions towards expenditure	(216)	(216)	(164)	52
Total Income	(17,836)	(17,459)	(17,089)	370
Expenditure				
Transfer to Housing Repairs account	3,676	3,551	3,676	125
Supervision and Management	4,493	5,648	5,285	(364)
Rents, Rates, Taxes and other charges	3	3	48	45
Depreciation & Impairment	2,287	2,287	3,076	789
Debt Management Cost	15	15	38	23
Provision for Bad or Doubtful Debt	193	193	23	(170)
Amounts set aside for the repayment of debt	5,839	0	0	0
Total Expenditure	16,506	11,697	12,146	448
Net Cost of Services	(1,330)	(5,761)	(4,944)	818
HRA Share of Corporate & Democratic Core Costs	214	214	214	0
Interest Payable & Similar Charges	1,171	1,171	1,313	142
Interest & Investment Income	(112)	(112)	(418)	(306)
Net Operating Expenditure	(56)	(4,488)	(3,835)	653
Appropriation from Major Repairs Reserve	0	0	(789)	(789)
Contributions to/(from) Reserves	56	56	50	(6)
Revenue Contributions to Capital Expenditure	0	5,839	5,981	142
(Surplus)/Deficit for year	0	1,407	1,407	(0)

Appendix 3

Capital Budget Position 2018/19

April 2018 to March 2019

Summary

Key:

RED Over £10,000

AMBER Up to £10,000

GREEN Up to £5,000

Positive Figures = overspend / underachievement of income

Figures in brackets= underspend / additional income

Portfolio	Revised Budget 2018/19 £ 000s	Expenditure to Year-End 2018/19 £ 000s	Variance to Revised Budget 2018/19 £ 000s	Traffic Light to Year-End
Growth & Investment	0	3	3	GREEN
Communities & Homes	1,366	1,359	(8)	GREEN
Environment & Public Realm	3,700	829	(2,871)	GREEN
Corporate Resources	884	645	(239)	GREEN
Sub Total General Fund	5,949	2,835	(3,115)	GREEN
Housing Revenue Account	19,228	6,866	(12,362)	RED
Overall Total	25,177	9,700	(15,477)	RED

2018/19 GF and HRA (revenue) requests for budget carry forwards into 2019/20

Appendix 4

Portfolio	Service	Type of spend	Amount to carry forward £000s	Description
Growth and Investment	Economic Development	Borough Local Plan	20	Consultancy for Local Plan work due to be done in 2019/20
Growth and Investment	Leisure Grants	Grants to Voluntary Organisations	5	Unspent Grants from 2018/19 to be carried forward to 2019/20 until conditions have been met or the payments are requested
Growth and Investment	Sports and Recreation	Sports Activities	15	Budget requested to be carry forward to fund the OVO Energy Cycle Race in 2019/20
Total Growth & Investment			40	
Environment & Public Realm	Miscellaneous Highways	Repairs & Maintenance	21	Several repairs have been carried out at various RBC car parks during 2018/19, however, there are further car park repairs required in 2019/20
Environment & Public Realm	Regulatory Services	Training	4	Due to delays in 2018/19, it is requested to carry forward the underspent training budget to enable the Community Safety Wardens' to undertake specialised training during 2019/20
Environment & Public Realm	Safety and Resilience	External Contractors	20	The underspend on the Safety and Resilience service is requested to be carried forward for an independent health and safety review of the Works Services Unit.
Total Environment & Public Realm			45	
Corporate Resources	Corporate Property	Electricity	19	It is requested that an underspend on utilities be carried forward to 2019/20 as it as anticipated that electricity costs will be higher than budgeted.
Corporate Resources	Human Resources	Training	13	A commitment has been made to undertaking LGBT awareness training for all staff during 2019/20
Total Corporate Resources			31	
Executive Directors Office	Legal Services	Salaries	8	A carry forward from the underspend on salaries is requested in order to fund a temporary post for 3 months to aid pressures within the service
Total Executive Directors Office			8	
Total GF Carry Forwards			125	
Corporate Resources	Repairs- Repainting Schemes	Repairs & Maintenance	125	Repainting schemes not undertaken in 2018/19 to be rolled into the 2019/20 programme of cyclical maintenance to be aligned with door entry improvements.
Total HRA Carry Forwards			125	

Movement in General Fund Earmarked Reserves 2018/19

Appendix 5a

Reserve	Opening Balance £000s	Contribution from Reserves £000s	Contribution (to) Reserves £000s	Transfer to/(from) other reserves £000s	Closing Balance £000s	Budgeted amount £000s	Variance to budget	Description
New Reserves								
Welfare Support Reserve	-	-	(283)	(217)	(500)	-	(500)	New reserve to support future Welfare service provision as detailed in main report, section 3.8
Welfare Support IT Reserve	-	-	-	(100)	(100)	-	(100)	Planned future capital expenditure on Welfare related IT software as detailed in main report, section 3.8
Town Centre Improvement Reserve	-	-	(325)	-	(325)	-	(325)	2018/19 service underspend earmarked for future town centre projects as agreed by working party
HMO License Reserve	-	-	(44)	-	(44)	-	(44)	Surplus income earmarked to support future resource for this area as per Cabinet report in June 2018
Land Drainage Reserve	-	-	(16)	-	(16)	-	(16)	Land Drainage to be removed from core budget from 2020/21 & funds to be drawn from reserve as required
Waste Reserve	-	-	(48)	-	(48)	-	(48)	Created to mitigate pressure and risk in this area in future years
Subtotal New Reserves	-	-	(716)	(317)	(1,033)	0	(1,033)	
Corporate Reserves								
Business Rates Equalisation Reserve	(1,285)	415	(846)	-	(1,716)	(553)	122	See main report, section 3.7
Budget Stability Reserve	(539)	100	(1,455)	(251)	(2,145)	100	(1,706)	See main report, section 3.6
GF Revenue Carry Forward Reserve	(354)	354	(125)	-	(125)	354	(125)	£124,550 requested to be transferred into reserve as result of carry forwards from 2018/19 to 2019/20, subject to approval; further details in Appendix 4. £354,140 was taken out as previously approved for 2017/18 to 2018/19 carry forwards
Graves In Perpetuity			(11)	-	(11)	0	(11)	Review of balances showed that this should be reclassified as a reserve rather than revenue grants received in advance
STW Pensions Reserve			(86)	-	(86)	0	(86)	Review of balances showed that this should be reclassified as a reserve rather than revenue grants received in advance
<i>adjust to match opening balance</i>			-	-			0	As above
LAMS reserve	(109)	-	-	109	-	-	109	Review of balances showed that this was no longer required therefore released to Budget Stability reserve
Subtotal Corporate Reserves	(2,287)	869	(2,523)	(142)	(4,083)	(99)	(1,697)	
Operational Reserves								
Works Services Unit operational reserve	(127)	-	(193)	-	(320)	0	(193)	Long-term creditor no longer required therefore released to WSU operational reserve following review
Insurance / RM Reserve	(30)	0	-	-	(30)	0	0	Cover in-year expenditure
Acquisition Reserve (AG/M)	-	3	(6)	-	(3)	0	(3)	£2,500 transfer out of reserve to cover capital art expenditure. £5,730 contribution made to Acquisition Fund.
Environmental Crimes Reserve	(11)	-	(4)	-	(15)	0	(4)	Ringfenced surplus transferred to reserve for future use on Environmental Crimes
Housing Benefits Reserve	(125)	-	-	125	0	0	125	Transferred to new Welfare Support reserve 9844
Hackney Carriages Reserve	(32)	-	(26)	-	(58)	0	(26)	2018/19 additional income above budget put into reserve to smooth volatility in future years
Licensing Reserve	(15)	-	(17)	-	(32)	0	(17)	2018/19 additional income above budget put into reserve to smooth volatility in future years
Vehicles Reserve	0	0	-	-	0	0	0	Minimal amount no longer required therefore released to service
IT Equipment Reserve	(32)	22	-	-	(10)	0	22	£22k transferred to capital during 2018/19 to fund digitalisation of Licensing Software
Woodside Park R & M Reserve	(15)	13	(22)	-	(24)	(22)	13	£22k transferred to reserve, as budgeted, for creation of sinking fund (sewerage treatment and related repairs and maintenance. £13k transferred to service to cover in-year costs
Energy Efficiency Investment Fund	(26)	-	(18)	-	(44)	0	(18)	Historic FIT (Feed in Tariff) payments received in 2018/19 moved to Energy Efficiency Investment Fund to seed future carbon management and related activities.
Corporate Assurance Training Reserve	(9)	3	-	-	(6)	0	3	£3k transferred to service to cover spend on training in 2018/19
CIPFA Training Reserve	(26)	8	(20)	-	(38)	2	(14)	Transfer out of reserve to cover in year-spend. Transfer into reserve to cover future years training requirements
Corporate Apprentice Scheme Reserve	(54)	46	(23)	-	(31)	20	3	Budgeted contribution of £20k to put into reserve, however, funding was actually required out of reserve to cover expenditure in year on apprentice scheme
Crematorium Replacement Reserve	(30)	-	(10)	-	(40)	(10)	0	£10k put into reserve, as budgeted, for future maintenance of Cremators
Crematorium Cameo Reserve	(9)	-	(4)	-	(13)	(5)	1	Income received from Cameo scheme transferred to reserve for future spend on Crematorium service
Digitalisation & Trading Reserve	(81)	37	(80)	-	(124)	0	(43)	£37k used from reserve to fund IT capital expenditure for Benefits software. £80k contributed to reserve from GF underspends for digitalisation of Council Chamber as agreed in budget resolution for 2019/20
Revenue Section Agreements	(1,289)	156	(21)	-	(1,154)	53	82	Conditional Section 106 revenue agreements (spend and new contributions) for 2018/19. The budgeted contributions out of the reserve relate to Grounds Maintenance scheduled works for 2018/19
Non-Conditional Revenue Grants	(872)	136	(184)	334	(586)	94	192	Non-conditional Section 106 revenue agreements (spend and new contributions) for 2018/19. The budgeted contributions out of the reserve relate to Grounds Maintenance scheduled works for 2018/19 and a contribution to the Development Strategy service to cover spend.
Subtotal Operational Reserves	(3,085)	424	(628)	459	(2,830)	132	123	
TOTAL GF EARMARKED RESERVES	(5,372)	1,293	(3,867)	0	(7,946)	33	(2,607)	

As explained in sections 3.5-3.8 of the main report, there are £2.607m of unbudgeted contributions (to)/from reserves, to be approved by Members.

Risk Assessment review of Corporate Reserves
Appendix 5b

Risks	General Fund £000	Business Rates Equalisation Reserve £000	Budget Stability Reserve £000	Welfare Support £000	TOTAL £000
Opening Balance	(3,069)	(1,285)	(539)	0	(4,893)
In year Movements	816	(431)	(1,606)	(500)	(1,721)
Closing Balance prior to review	(2,253)	(1,716)	(2,145)	(500)	(6,614)
Risks:					
Emergency - up to 1% of gross budget requirement and/or one month of salary	1,503				1,503
Borrowing and interest rate exposure	50				50
Unexpected in year service demand: demographic growth, economic factors creating need	250				250
Unfunded new burdens e.g. separate food waste collection	200				200
Pay structure and Employment Market	100				100
Legal challenge	150				150
Loss of income from loss of growth by reset: timing risk that the baseline takes place back to 2018/19		1,792			1,792
Total loss of income based on negative outcome option		3,000			3,000
Growth delay or slippage in business rates income over medium term		600			600
Risk of a significant employer or business leaving the borough		150			150
Transformation or service improvement initiatives			1,000		1,000
New Homes Bonus - loss in year 1 of moving to 50:50 not 80:20			400		400
Non achievement of savings plans from digitalisation or commercialisation			150		150
Income not achieved for traded and commercial services including parking and green waste			250		250
Planning fees income reduction			500		500
Potential loss of contract income from services at risk or being retendered			75		75
Unexpected in year service demand: economic factors creating need in housing, homelessness				500	500
SUBTOTAL	2,253	5,542	2,375	500	10,670
Transfer between funds	1,198	415	- 1,382	(230)	-
CLOSING BALANCE	(1,055)	(1,301)	(3,527)	(730)	(6,614)
Budgeted contribution 2019/20		(1,964)	(256)		(2,220)

Budgeted contribution 2020/21		0	(6)		(6)
Budgeted contribution 2021/22		(429)	(6)		(435)
Budgeted contribution 2022/23		(501)	(6)		(507)
MEDIUM TERM FORECAST	(1,055)	(4,195)	(3,801)	(730)	(9,782)



Performance Appendix

Generated on: 26 April 2019

Service Area - Communities & Homes Service

Performance Indicator	Department	Current Value	Short Trend
Number of affordable homes delivered	Community & Projects	63	Improving

Latest Note

Midland Heart - 24 Completions

Bromford - 4 Completions

Orbit - 21 Completions

RBC - 14 Acquisitions

There were 40 delivered affordable homes in the previous quarter.

Performance Indicator	Department	Current Value	Short Trend
Number of homeless preventions and reliefs made by Rugby Borough Council	Community Advice and Support Team	120	Improving

Latest Note

There continues to be an increase in prevention and relief activity. This is a combination of the funded advice by CAB and 'in-house' activity. As the Homelessness Reduction Act becomes more embedded officers are able to resolve homelessness issues at an earlier stage.

Performance Indicator	Department	Current Value	Short Trend
Number of households where homeless preventions and reliefs have not been possible that RBC have a duty to rehouse	Community Advice and Support Team	20	N/A

Latest Note

The number of main duty acceptances has reduced as prevention and relief activity increases. There are some cases for whom it has not been possible to provide a prevention or relief solution. When this happens we are obliged to provide a main duty decision, these 20 cases are those to whom we have a full rehousing duty. These households are invariably housed in social housing.

Performance Indicator	Department	Current Value	Short Trend
Number of households in Bed & Breakfast at the end of Quarter	Community Advice and Support Team	3	N/A

Latest Note

As alternative forms of interim accommodation are sourced and the number of allocations improves B&B use remains low by recent standards.

Performance Indicator	Department	Current Value	Short Trend
Number of households in other types of temporary accommodation	Community Advice and Support Team	142	N/A

Latest Note

This shows a small decrease. With new developments starting come on stream it is hoped that the decrease will continue through 2019. A note of caution is that the Rounds Gardens decant has increased pressures, in addition many waiting in temporary accommodation require one-bedroom accommodation which is in short supply for historic reasons

Performance Indicator	Department	Current Value	Short Trend
Benefits - average end to end time for claims (days)	Community Advice and Support Team	March: 28.64 February: 36.73 January: 31.31	Improving

Latest Note

The time taken to process a benefits claim will vary from case to case and depends on the complexity of the individual case. In February resources have to be diverted to facilitate the annual updating of benefits claims to take into account changes in rent, council and state benefits.

Performance Indicator	Department	Current Value	Short Trend
Current position of rent arrears	Housing Maintenance & Tenancy Sustainment	£920,237.67	Improving

Latest Note

Last year we separated the rent collection function from general housing management, the revenues team are now responsible for all rent collection. This was completed to provide a more focused effort in collecting rent and arrears. Whilst the end of year collection rate was an improvement the Council still wishes to see the level of arrears reduce further.

Performance Indicator	Department	Current Value	Short Trend
Proportion of rent arrears caused by Universal Credit	Housing Maintenance & Tenancy Sustainment	48%	Getting Worse

Latest Note

Arrears attributed to UC cases is increasing with the increase of tenants in our properties who are in receipt of UC. We now have a Tenancy Coach in place who works with customers ahead of them being signed up to a tenancy and for four weeks after they have signed up. This service is proactively working with customers around income maximisation, setting up benefits & utility bills, engaging the customer with their community etc. This service will ensure customers are supported from the outset in particular around their UC or HB claim. Further to this we now have a Financial Inclusion Officer who is also targeting customers who are in receipt of UC and in arrears in an effort to engage with them and support them around their financial situation.

Service Area - Corporate Resources Service

Performance Indicator	Department	Current Value	Short Trend
Number of working days lost due to long term sickness absence	Human Resources	791	Getting Worse

Latest Note

In this quarter we have had a total of 19 people on long term sickness absence (+20 days) totalling 659.5 days. Taking this total out the average number of days per employee would reduce to 0.9 days. Of those 25 people 15 are now back at work, 2 people have taken ill health retirement and 8 are still absent. 32.9% of this absence was due to mental health related conditions and 34.5% due to musculoskeletal illness.

Managers continue to work within the parameters of the Absence Management Policy. Early referrals to Occupational Health appointments are offered for employees absent through musculoskeletal problems, stress or following surgery. We also have access to a local physiotherapist and are able to do referrals for employees who are having to wait for similar treatment on the NHS, thus shortening the time they are absent from work. Managers are also receiving absence management training as part of The Way We Manage Programme.

We have recently introduced Mental Health First Aiders in the Council. They will be available for staff to talk to about their issues. The MHFA's are not counsellors but will be able to listen and signpost the employee on to the best place for them to get the help they need.

The Council has signed up to the Year of Wellbeing and we will be looking to run a variety of health and wellbeing events during the year.

It is hoped that as the year progresses absence will be reduced.

Performance Indicator	Department	Current Value	Short Trend
Number of working days lost due to short term sickness absence	Human Resources	934	Improving

Latest Note

In this quarter the short-term absence is 7 days less than the previous quarter. Whilst this is a slight improvement the overall sickness absence for the Council during 2018/19 has remained static when compared with 2017/18.

3.4% of the absence in this quarter was due to employees coming back to work on a phased return to work basis (i.e. working for part of the week but being signed off sick for the remainder). Absence for colds was 7.7%, sickness and diarrhoea 7.6%, mental health reasons 9.5% and musculoskeletal 14.9%.

The last two paragraphs in the indicator above apply here as well.

Performance Indicator	Department	Current Value	Short Trend
Average void rent loss	Property Repairs Services	March: £1,132.43 February: £1,607.59 January: £1,414.90	Improving

Latest Note

Quarter four has seen an improvement in the average rent loss compared to quarter three. The reason for this can be attributed to an increase in ‘new build acquisitions’ which are handed over in a suitable condition to let, with no repairs costs and this also means that the letting time is reduced. Additionally, the last quarter has also seen a gradual increase in the amount of Houses in Multiple Occupation/Public Sector Leasing properties being used for accommodation, equally the use of RBC properties for temporary accommodation also has a positive effect on the average void days/average rent loss.

Performance Indicator	Department	Current Value	Short Trend
Energy Efficiency of Housing Stock	Property Services	68	No Change

Latest Note

The target Standard Assessment Procedure (SAP) rating of 68 is above the National Average in England and Wales which is 60. We currently have taken delivery of 40 New Build Properties which have an average SAP rating of 85. In addition, 12 of these properties benefit from the addition of Photovoltaic Solar Panels which directly benefit the tenants in terms of cost saving as well as increasing the SAP rating. In the current financial year we have reinstated the Boiler Replacement programme in which we anticipate around 300 older boilers will be replaced by High Efficiency ones.

Performance Indicator	Department	Current Value	Short Trend
% of Council Tax collected	Revenues Services	98.10%	Getting Worse

Latest Note

Council Tax collection has gone down slightly due to the number of new properties coming into the list and the time taken to band those properties

Performance Indicator	Department	Current Value	Short Trend
Percentage of Non-domestic Rates collected	Revenues Services	99%	Improving

Latest Note

The collection rate has increased slightly compared to the previous year as at the end of the previous year, one large assessment was brought into the list that was out of time to be collected within the year.

Service Area - Environment & Public Realm Service

Performance Indicator	Department	Current Value	Short Trend
% of premises within the Rugby Borough that have attained the Food Hygiene Rating 5	Commercial Regulation	68.8%	Getting Worse

Latest Note
 There has been a 1.7% decrease from last quarter. This is within the normal level of fluctuation but will continue to be monitored to ensure this type of decrease doesn't become an ongoing adverse trend.

Performance Indicator	Department	Current Value	Short Trend
% of premises within the Rugby Borough that have attained the Food Hygiene Rating 4 and above	Commercial Regulation	83.9%	Getting Worse

Latest Note
 There is a minor decrease from last quarter, but this is not outside expected fluctuations

Performance Indicator	Department	Current Value	Short Trend
% of premises within the Rugby Borough that have attained the Food Hygiene Rating 3 and above	Commercial Regulation	91.8%	Improving

Latest Note
 There is a slight increase from last quarter but nothing outside the expected fluctuations

Performance Indicator	Department	Current Value	Short Trend
Number of volunteer hours on RBC green space	Parks and Open Spaces	11,727	N/A

Latest Note
 The amount of volunteer hours supporting the management and maintenance activities on our green spaces has been steadily increasing since 2012. This supports a range of activities across Rugby and brings huge additional value and support to the service.
 The Manager considers that for a small borough like Rugby 11,000hrs is good and we are performing to the peak of what we can physically achieve, as volunteers still need managing.

Performance Indicator	Department	Current Value	Short Trend
Number of trees planted on RBC green space	Parks and Open Spaces	100	N/A

Latest Note
 Traditionally we plant a number of trees during the planting season. Despite decreasing resources it is important to maintain a good tree stock to help reduce the effects of climate change, capture carbon and reduce air pollution.
 The Council plants as many trees as it can within the confines of its available resources

Performance Indicator	Department	Current Value	Short Trend
Number of Green Flags awarded	Parks and Open Spaces	5	N/A

Latest Note
 5 Green Flags have been awarded for Caldecott Park, Centenary Park, Millennium Green, Gladstone Green and Rainsbrook Cemetery and Crematorium. This is the international quality award for parks and green spaces. It is owned by the UK Government and delivered via a licence to Keep Britain Tidy to support the management and maintenance of good quality parks. The parks are externally assessed on a number of criteria including, a welcoming place, healthy, safe and secure, well maintained, litter and cleanliness, environmental management, landscape biodiversity and heritage, community involvement, marketing and management.

The Manager considers 5 to be an average for a Borough such as Rugby and our current target is to maintain this level.

Performance Indicator	Department	Current Value	Short Trend
Percentage of household waste sent for reuse, recycling and composting	Refuse & Recycling	Q3: 42.5%	N/A

Latest Note
 Provisional data has been received from the Refuse and Recycling department that gives data up to Q3 2018/19. This data has not been validated by WasteDataFlow and is subject to change in the future. The Q4 provisional data was not available at the time of writing this report.

Performance Indicator	Department	Current Value	Short Trend
Number of members of the public recorded in an accident	Safety & Resilience Team	11	N/A

Latest Note
 Increase likely due to better reporting. Approx. 60% slips, trip & falls predominantly due to lack of awareness of surroundings possibly due to health condition or influence from Drugs & Alcohol. Approx. 20% Aggressive behaviour possibly due to Drugs & Alcohol. Approx. 20% collision with static objects due to children horseplay.

Service Area - Executive Director's Office

Performance Indicator	Department	Current Value	Short Trend
Electoral registrations within the borough of Rugby as a percentage of eligible population	Electoral Services	97%	Getting Worse

Latest Note

This has dropped from 99% in 2017/18.

Service Area - Growth & Investment Service

Performance Indicator	Department	Current Value	Short Trend
Average end to end time for Land Charge Searches (in days)	Development & Enforcement	March: 3.18 February: 4.06 January: 3.73	Improving

Latest Note

The Councils Local Land Charges Officer left post at the beginning of February 2019, which caused an initial delay in processing of searches until replacement resources could be set in place.

March showed an improvement because additional resources put in place pending the appointment and training of a new Local Land Charges Officer on 1st April 2019.

Performance Indicator	Department	Current Value	Short Trend
Percentage of major planning applications determined within statutory time frame	Development & Enforcement	100%	No Change

Latest Note

8 out of 8 major planning applications were determined within the statutory time frame

Performance Indicator	Department	Current Value	Short Trend
Percentage of non-major planning applications determined within statutory time frame	Development & Enforcement	90%	Getting Worse

Latest Note

155 out of 172 non-major planning applications were determined within the statutory time frame. The main cause for any reduction in performance on this measure is when the time frame exceeded and the applicants are willing to grant the Local Planning Authority an extension of time to determine the application. The Government designation target for this threshold is 70%. It can be seen from the data that Rugby Borough Council are well in excess of this threshold.

Performance Indicator	Department	Current Value	Short Trend
The number of new homes built within the year.	Development Strategy	578	Improving
Latest Note			

Increase in number of dwellings due to delivery on larger sites. Figure above Core Strategy target of 540 dwellings p.a.

Performance Indicator	Department	Current Value	Short Trend
No. of visits to Rugby Art Gallery & Museum in person	Art Gallery, Museum, Visitor Centre & Hall of Fame	24,521	Improving

Latest Note

The number of visits Jan - March 2019 is 24,521 up from 19,572 in the previous quarter. This will be largely due to the Peter Rabbit exhibition in the Art Gallery which has brought in large numbers of visitors, both local and from outside the Borough. It is pleasing to note though that both quarters are showing an increase on the same time the previous year (23,190 for Jan - March 2018 and 17,730 for September - December 2017) suggesting that the service as a whole has increased its audience

Performance Indicator	Department	Current Value	Short Trend
No. of visits to the Hall of Fame in person	Art Gallery, Museum, Visitor Centre & Hall of Fame	996	Improving

Latest Note

Increase in figures this quarter reflecting a seasonal trend across the building

Performance Indicator	Department	Current Value	Short Trend
Leisure Centre Visits	Sport & Recreation	180,908	Getting Worse

Latest Note

Quarter 4 2019 v Quarter 4 2017 remains 10% ahead, whilst showing a slight reduction in comparison to 2018. Successful recruitment to sales positions reflects positive sales trends over the quarter. A move to corporate social media marketing and emphasis on social value rather than numbers also reflects the value.

Performance Indicator	Department	Current Value	Short Trend
Total grants income from external funding	Sport & Recreation	£161,860.93	Improving

Latest Note

Additional funding secured from National Lottery Awards 4 All - £10,000, School Services continue to develop strong partnerships and consistent delivery. £2,000 Income for projects delivered by Sports Development

Performance Indicator	Department	Current Value	Short Trend
Number of participants - Family Weight Management	Sport & Recreation	147	Improving
Latest Note			
Successful recruitment to Stratford Family Lifestyle Officer resulted in additional courses being delivered. Successful recruitment and retention of families over the 9 week courses			

AGENDA MANAGEMENT SHEET

Report Title: Street Naming and Numbering Policy

Name of Committee: Cabinet

Date of Meeting: 24 June 2019

Report Director: Head of Communities and Homes

Portfolio: Communities and Homes

Ward Relevance: All Wards

Prior Consultation: Senior Management Team

Contact Officer: Jeremy Carter, Corporate ICT Manager,
Tel: 01788 533475,
Jeremy.Carter@rugby.gov.uk

Public or Private: Public

Report Subject to Call-In: Yes

Report En-Bloc: Yes

Forward Plan: No

Corporate Priorities: This report relates to the following priority(ies):

(CR) Corporate Resources To provide excellent, value for money services and sustainable growth

(CH) Communities and Homes Achieve financial self-sufficiency by 2020

(EPR) Environment and Public Realm Enable our residents to live healthy, independent lives

(GI) Growth and Investment Optimise income and identify new revenue opportunities (CR)

Prioritise use of resources to meet changing customer needs and demands (CR)

Ensure that the council works efficiently and effectively (CR)

Ensure residents have a home that works for them and is affordable (CH)

Deliver digitally-enabled services that residents can access (CH)

Understand our communities and enable people to take an active part in them (CH)

- Enhance our local, open spaces to make them places where people want to be (EPR)
- Continue to improve the efficiency of our waste and recycling services (EPR)
- Protect the public (EPR)
- Promote sustainable growth and economic prosperity (GI)
- Promote and grow Rugby's visitor economy with our partners (GI)
- Encourage healthy and active lifestyles to improve wellbeing within the borough (GI)
- This report does not specifically relate to any Council priorities but

Statutory/Policy Background: An updated Street Naming and Numbering Policy, including new standardised fee structure.

Summary: Cabinet approved the Council's Street Naming and Numbering Policy on 2 February 2015 (Minute 107-2014/15).

The policy provided clarification for street naming and numbering applications and for a fee to be charged 'for a name to be changed on an existing property'.

A review of the Street Naming and Numbering Policy has now been undertaken, with particular regard to the services provided and the fee that is currently being charged.

The outcome of the review and resulting recommendations are provided in this report.

Financial Implications: The new fee structure is designed to generate income for the council, and subject to the policy being approved, the budget will be increased to reflect the expected income following the revision of the charges.

Risk Management Implications: There are no known risks to the implementation of the updated policy and new fee structure.

There will be a risk of loss of income to the Council, should the updated policy and new fee structure not be approved.

Environmental Implications: There are no known environmental implications to the implementation of this policy.

Legal Implications:	Set out within the body of this report and the attached policy.
Equality and Diversity:	There are no equality and diversity implications for this report
Options:	<ol style="list-style-type: none"> 1. Approve the amended street naming and numbering policy and new fee charging structure 2. Not approve the amended street naming and numbering policy and new fee charging structure
Recommendation:	<p>IT BE RECOMMENDED TO COUNCIL THAT -</p> <ol style="list-style-type: none"> 1. the updated Street Naming and Numbering Policy be approved; and 2. a supplementary General Fund revenue income budget for 2019/20 be requested of £20,000 following anticipated uplift of income in line with the new charges as detailed in the report.
Reasons for Recommendation:	<p>The revised Street Naming and Numbering Policy provides improved guidance to developers and residents of the borough on the naming and numbering of streets and properties. It covers new developments – residential and commercial, and street naming and numbering.</p> <p>The policy also provides for a new fee charging structure to generate income for the Council given the growth within the borough and bring Rugby Borough Council in line with other authorities and their fees for Street Naming and Numbering services.</p>

Cabinet - 24 June 2019

Street Naming and Numbering Policy

Public Report of the Head of Communities and Homes

Recommendation

IT BE RECOMMENDED TO COUNCIL THAT -

- (1) the updated Street Naming and Numbering Policy be approved; and
- (2) a supplementary General Fund revenue income budget for 2019/20 be requested of £20,000 following anticipated uplift of income in line with the new charges as detailed in the report.

1. Introduction

Cabinet approved the Council's Street Naming and Numbering Policy on 2 February 2015 (Minute 107-2014/15).

The policy provided clarification for street naming and numbering applications and for a fee to be charged 'for a name to be changed on an existing property'.

A review of the Street Naming and Numbering Policy has now been undertaken, with particular regard to the services provided and the fee that is currently being charged.

The outcome of the review and resulting recommendations are provided in this report.

2. Street Naming and Numbering Policy Review

2.1 RBC Services Provided and Charges

The Council provides the following street naming and numbering services;

- a) Numbering new residential or commercial premises
- b) Registration of new roads
- c) Naming or numbering a new property
- d) Renaming or renumbering an existing property/building (currently in place)
- e) Enquiries from Solicitors and other bodies/organisations

The current policy only provides for a fee to be charged in respect of applications for the renaming and renumbering of an existing property/building (c) above. The current level of fee charged is £25 per property.

The income received during 2018/2019 was £5,554. The volumes of applications are expected to increase in 2019/20 and onwards as a result of the current and future growth of the borough.

2.2 Other Local Authorities – Services Provided and Charges

Research undertaken into other local authority Street Naming and Numbering policies and charging profiles within the county areas and beyond, has identified that additional fees are being charged by some local authorities for other street naming and numbering services provided. There is also variance on the level of fees being charged. See 3.2 below.

3. Proposed Amendments to the Street Naming and Numbering Policy

The Street Naming and Numbering Policy has been revised and attached as Appendix 1 to this report.

A summary of the proposed new changes are as follows;

3.1 New Charging Structure

In order to realise the potential income generation opportunities and to bring Rugby Borough Council in line with other authorities and their fees, it is proposed to implement a new charging structure for fees for the discretionary street naming and numbering services provided, as detailed in Table A below.

Discretionary services are those services that an authority has the power but not the duty to provide, as provided for under Section 93 of the Local Government Act 2003. Charges cover services such as the administrative function of the service, working with Royal Mail, notifying utilities and other bodies, and for registering non-statutory parts of the address such as property name.

Table A

SERVICE	CHARGE	UNIT OF CHARGE
Add a name to an existing address.	£25	Per address
Change an existing address.	£25	Per address
Register a new address.	£25	Per address
New Addresses on large developments	£100	2-5 plots
New Addresses on large developments	£200	6-10 plots
New Addresses on large developments	£300	11-19 plots
New Addresses on large developments	£400	20+plots
	£15	Per additional plot over 20 plots
Register a new street.	£100	Per Street
Rename existing street.	£200	Per Street
+ a per address charge	£25	Per address

Charges will also be made for changing a street name unless there is an overriding public interest for the name change.

3.2 Proposed Charges Comparison with Other Local Authorities

Table B below shows the new proposed fees compared to;

- Neighbouring authorities
- A cross section of other UK areas
- A cross section of London authorities

Table B

Local Authorities abutting or one step removed from Rugby boundary

Council	initial	+	Admin	HMO individual	HMO Admin	Change	Change Admin	Street	Street Rename	Written Confirm
Rugby	£25.00	£25.00	£0.00	£25.00	£0.00	£25.00	£0.00	£100.00	£200.00	£25.00
Harborough District	£40.00	£25.00	£200.00	£25.00	£40.00	£15.00	£50.00	£150.00	£250.00	£25.00
Daventry District	£25.00	£25.00	£0.00	£25.00	£0.00	£25.00	£0.00	£250.00	£250.00	not specified
Warwick District	£79.00	£22.00	£790.00	£79.00	£0.00	£79.00	£0.00	£128.00	poa	£30.00
Stratford upon Avon District	£25.00	£25.00	£0.00	£25.00	£0.00	£25.00	£0.00	£0.00	£0.00	not specified
Nuneaton and Bedworth Council	£147.10	£14.70	£0.00	£0.00	£0.00	£71.89	£0.00	£147.10	£434.00	not specified
North Warwickshire Borough	£124.00	£15.00	£124.00	£15.00	£124.00	£31.00	£0.00	£124.00	poa	£26.00
Blaby District	£40.00	£20.00	£0.00	£25.00	£0.00	£40.00	£40.00	£150.00	£250.00	£25.00
Hinkley & Bosworth District	£45.00	£25.00	£0.00	£30.00	£0.00	£20.00	£55.00	£160.00	£260.00	£30.00
South Northamptonshire Council	£25.00	£25.00	£0.00	£25.00	£0.00	£25.00	£0.00	£0.00	£0.00	£30.00
Average:	£61.12	£21.86		£31.13		£36.88		£158.44	£288.80	£27.67

Random Local Authorities in each GOR

Council	initial	+	Admin	HMO individual	HMO Admin	Change	Change Admin	Street	Street Rename	Written Confirm
Bath & North East Somerset Council (SW)	£63.00	£0.00	£0.00	£52.00	£0.00	£52.00	£0.00	£0.00	£0.00	£70.00
Arun District (SE)	£20.00	£20.00	£0.00	£50.00	£0.00	£50.00		£150.00	£150.00	not specified
South Norfolk Council (East)	£35.00			£35.00	£0.00	£62.00	£0.00	£0.00	£0.00	£0.00
Selby District (NE)	£62.40	£26.00	£312.10	£62.40	£0.00	£37.44	£0.00	£0.00	£0.00	£37.44
West Lancashire Borough (NW)	£50.00	£30.00	£0.00	£50.00	£0.00	£50.00	£0.00	£200.00	£200.00	£30.00
Average:	£46.08	£25.33		£49.88		£50.29		£175.00	£175.00	£45.81

London Authorities

Council	initial	+	Admin	HMO individual	HMO Admin	Change	Change Admin	Street	Street Rename	Written Confirm
Wandsworth	£150.00	£20.00	£0.00	£150.00	£0.00	£0.00	£0.00	£0.00	£0.00	not specified
Barnet	£99.80	£56.26	£775.00	£99.80	£775.00	£141.75	£0.00	£179.00	£179.00	not specified
Royal Borough of Kensington & Chelsea	£111.00	£62.00	£0.00	£284.00	£0.00	£284.00	£0.00	£853.00	£853.00	not specified
Redbridge	£100.00	£50.00	£0.00	£100.00	£0.00	£100.00	£0.00	£0.00	£0.00	not specified
Average:	£115.20	£47.07		£158.45		£175.25		£0.00	£516.00	£516.00

3.3 Property Numbering and Naming

The revised Street Naming and Numbering Policy has been amended to include further guidance for the naming and numbering of both residential and commercial properties.

4. Financial Implications

This new fee charging structure will generate revenue for the council and allow significant clarity regarding charges that would be applied to a development. This charging structure would bring Rugby Borough Council up to date in its charges for these services and in line with almost every other council.

It is important to note that the proposed charges have been kept in the lower quartile to ensure that we can as a council demonstrate good value, whilst ensuring we charge appropriately for our services

As previously detailed in 2.1 above, the income received during 2018/2019 for street naming and numbering services provided was £5,554.

In order to compare the impact of the new proposed fee charging, it has been calculated that the income generated during 2018/19 would have been £39,475 had the new structure been in place. This is based on the following;

73 streets @ £100	£7,300
1,287 properties @ £25	£32,175

It is difficult to exactly determine how much income will be raised in 2019/20, as it depends on a number of factors: how many planning applications are determined; the number of properties/changes each of those applications contain; number of individual changes, outside of large developments, come through.

However, it is anticipated that, subject to the new charging structure being approved, the income received during 2019/20 will be at least similar to that received in 2018/19.

Therefore, a supplementary General Fund revenue income budget for 2019/20 will be requested of £40,000 following anticipated uplift of income in line with the new charges as detailed.

The new fee charging structure will also be included in the Councils Fees and Charges information and the charges will be reviewed annually for future years to ensure that they remain appropriate.

5. Conclusion

The revised Street Naming and Numbering Policy provides improved guidance to developers and residents of the borough on the naming and numbering of streets and properties. It covers new developments – residential and commercial, and street naming and numbering.

The policy also provides for a new fee charging structure to generate income for the Council given the growth within the borough and bring Rugby Borough Council in line with other authorities and their fees for Street Naming and Numbering services.

Name of Meeting: Cabinet
Date of Meeting: 24 June 2019
Subject Matter: Street Naming and Numbering Policy
Originating Department: Communities and Homes

DO ANY BACKGROUND PAPERS APPLY YES NO

LIST OF BACKGROUND PAPERS

Doc No	Title of Document and Hyperlink

The background papers relating to reports on planning applications and which are open to public inspection under Section 100D of the Local Government Act 1972, consist of the planning applications, referred to in the reports, and all written responses to consultations made by the Local Planning Authority, in connection with those applications.

Exempt information is contained in the following documents:

Doc No	Relevant Paragraph of Schedule 12A

Street Naming and Numbering Policy 2.0

June 2019



Version	Changes	Author	Date
1.0	Original Document	David Bloxham	2014
1.1	Typographical errors and email address changes.	Andrew Singleton	2014
1.2	Minor wording amendment to clarify when Fee payment is required for name to be added or changed on an existing property. Adopted by Council.	Tom Orbinson	February 2015
2.0	Re-write of policy to reflect updates and changes in SNN best practice nationally. Addition of charging for discretionary work.	Mark Percival	June 2019

Review date: February 2024

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1 Introduction

Rugby Borough Council (RBC) has the legal responsibility to ensure that streets are named and properties are numbered. The authority has the power to approve or reject property addresses submitted by developers or the general public, or prescribe its own addressing schemes.

The legislation relating to street naming and numbering within Rugby Borough is contained within the following legislation:

- The Towns Improvement Clauses Act (1847) (sections 64 & 65)
- The Public Health Act 1925 (sections 17-19) - sections 17, 18 and 19 are adoptive only. Currently Rugby Borough Council has only adopted S18 (10/11/1987 (minute 45-87/88)).

All elements of an address, with the exception of postcode and post town, are defined by the Council. The numbers and names assigned to property and the official names assigned to streets are the Intellectual Property of the authority.

The information as to the naming of streets and numbering of properties is of critical importance to the Emergency Services, Royal Mail, the Local Authority and other agencies as it feeds into the National Address Gazetteer.

By utilising a single address database, services will be able to accurately record actions against land, streets and properties, which can then be input into Corporate back office systems.

All address changes and newly created addresses will be included and maintained within the Local Land and Property Gazetteer (LLPG) for the Authority. No address change or creation will be entered into the Authority's system without prior approval of an Officer responsible for Street Naming and Numbering.

This document will provide guidance to developers and residents on the naming and numbering of streets. It covers new developments - residential and commercial, and street naming and numbering.

1.1 Types of address

There are two forms of address in common use:

The Postal Address is the form of the address held by Royal Mail for the delivery of post. Royal Mail accept no responsibility for use of the postal address for any other purpose than delivery of mail by them.

The BS7666 Address is the form of the address which conforms to the national standard for addressing - BS7666. This form of address is prescribed by the government for various statutory purposes such as planning applications and the electoral register. It is used as the council's primary address register, the Local Land & Property Gazetteer (LLPG). It is also the basis of the National Address Gazetteer introduced by the government in 2011 to provide a single address list across the whole public sector.

While the two forms of the address are often the same, they may not be. The differences between the two forms are set out in Appendix A. Other forms of an address may exist (such as those on title deeds or held by third party databases) but have no legal standing.

The legislation covering Street Naming and Numbering only specifies that properties are numbered and street names allocated, all other services around the creation of an address are discretionary (see Appendix D). However, management of addresses is more complex than these two elements and for them to be effective they need to have other elements added (locality, town, postcode etc.) and other services notified/consulted.

2 New Developments

Applicants, and any other interested parties such as local Councillors or local Organisations, are at liberty to provide name suggestions for consideration during the planning application process but not later than 7 days after the development has been received by the Street Naming and Numbering Team for addressing. Names that refer to the historic and past heritage of an area will be given preference.

If no names have been suggested for consideration, or those that have been are not acceptable according to the National Street Naming and Numbering Conventions as defined by Central Government and /or Rugby Borough Council Policy, then the Officer(s) responsible for Street Naming and Numbering will research the site and in certain circumstances, liaise with Borough Councillors, Parish Councillors and or Local History Societies in order to provide suitable suggestions.

A list of suggestions may be kept by the Council made from suggestions from the public, councillors or other groups and societies. These will be made available to developers if requested. It is often helpful if these suggestions are made at the time of the planning application(s) as developers may have developed a naming structure when they start work on site.

All requests must be submitted using the form on the Council's website together with a site plan showing the plot layout and the sites relationship with the surrounding area and the approved planning application reference. No work will be carried out until a fee is agreed (SNN officers will determine the total to be paid and advise developers of the amount payable) – see charging schedule, Appendix D. Once agreed, any amendment (including any consequential changes) will incur further charges, at the prescribed rate. Payment must be made before any work is carried out.

Allocation of postcodes is the sole responsibility of Royal Mail. These are only assigned following receipt of address confirmation from the Officer responsible for Street Naming and Numbering who will liaise with Royal Mail as part of the SNN process.

Where a street is created as part of a new development, all costs for the fabrication and erection of street name plates will be paid by the developer. Rugby Borough Council will be responsible for the maintenance of the street name plate if or when the street has been adopted by the Highways Authority. Street name plate specifications are available on request.

3 Street Naming

All creating Authorities follow guidelines defined by the National Street Naming and Numbering Conventions [document ref: GeoPlace DEC-Addresses v3.4 2016].

The below conditions are a summary of Rugby Borough Councils rules as a guidance.

When considering street names:

- There should be significant and or historical links to the local area.
- Street names will not be created if it is similar to or the same as one which already exists if any of the following conditions apply:
 - It is in use in the same locality.
 - It is in use in the same town.
 - It is in use in the same post town.
 - It is in use in the same town or post town within a neighbouring SNN Authority's administrative area.
- Names should be easy to say and spell so as not to cause confusion.
- Street names that may be considered or construed as rude, obscene, racist or would contravene any aspect of the Council's Equal Opportunities Policies will not be acceptable.
- Living people will not have streets named after them to avoid causing offence either by inclusion or exclusion.
- Requests for the naming of streets after recently deceased persons are invariably declined. However, in exceptional circumstances, where consent has been granted (by the family) for the use of a recently deceased person's name then the naming will be restricted to the surname only. Use of the full name, such as 'John Andrew Smith Road', will be restricted to relate to a person who died at least 50 years previously.
- Should the naming of a street relate to a person who died within the previous 10 years then proof of the family's consent must be provided by the applicant in writing.
- Street names shall not commence with the word "The".
- All punctuation and abbreviation should be avoided.
- Numerical values should be avoided as these could cause confusion with property numbers e.g. 2 Eleven Arches Road & 11 Arches Road
- Private drives will not be named unless it requires a name to make the property numbering unambiguous.
- Where an existing street or road is to be extended, the existing street name will be used. This will include the continuation of the street numbering scheme.
- New street names are required to end with an appropriate suffix:
 - Street, Road, Avenue, Drive, Lane, Place, Gardens, Way - for thoroughfares
 - Close or End - for cul-de-sacs
 - Crescent - for a crescent shaped road
 - Square - for a square

Hill - for a hill

Terrace - for a terrace of houses only when those properties are set on their own access road

Mews – officially a term for converted stables in a courtyard or lane but would be considered acceptable for most small terraced developments within a courtyard or similar.

- All new pedestrian walkways will be named as follows:

Walk, Path or Way

4 Property Numbering and Naming

4.1 Residential properties

Any request to change existing property details will only be considered from the legal owner of the property concerned.

All new properties will receive a number unless in an area wholly without numbers or where it is not possible from a numbering point of view (in-fill development). If an existing numbered house is given a name, the number is to be retained and displayed alongside the name – both must be clearly visible from the highway.

If a developer wishes to name a block of flats or buildings, they may supply name suggestions which will be put through a similar scrutiny process as a house name request. The same principles relating to the use of personal names as outlined above for street naming will be applied – *there is no guarantee that suggested names will be accepted.*

All named property blocks (defined as a single building irrespective of split ownership or number of access doors unless these doors fall on different streets) should end with one of the following:

Court – for flats and other residential buildings

House – residential blocks or offices

Individual dwellings within a block will be named “Flat 1, Flat 2” etc. (the name of the block being a Pao record and the individual dwellings within the block will be a Sao record i.e. a child of the Pao).

Existing named blocks and individual dwellings within an existing block will not be changed unless the whole block is redeveloped.

Properties will be numbered off the road which provides primary access to the main entrance.

Numbering will start with the lowest odd number on the left and lowest even number on the right (ascending from the most important street from which they lead).

No number will be omitted due to any belief or conviction.

Cul-de-sacs may be numbered sequentially, clockwise.

Infill developments within an existing street will be numbered so as to carry on the existing numbering scheme with suffix added i.e. a, b, c etc. if no whole number is available.

4.2 Commercial properties

Areas consisting mainly of commercial premises designated (but not limited to) Class B under '*The Town and Country Planning (Use Classes) Order 1987 (as amended)*' will be called either "Industrial Estate" or "Business Park" as appropriate and all new buildings will be required to have the term "Unit" applied. These "Units" will be numbered in a logical manner so as to uniquely identify them within the named area. Splitting an existing unit can be done with the addition of a letter suffix i.e. a, b, c etc.

The unit numbering will be determined by the SNN Officer.

A Unit number must be clearly shown on the building to which it relates.

The name of the company or organization occupying a premises will not form part of the 'official address' but will be recorded in the "organization" field within the gazetteer.

Individual commercial premises on existing streets will follow the numbering convention for that street – company or organization names will not form any part of the 'official address' but will be recorded in the "organization" field within the gazetteer.

5 Charging

Rugby Borough Council charge for discretionary naming and numbering services. Discretionary services are those services that an authority has the power but not the duty to provide, as provided for under Section 93 of the Local Government Act 2003. Charges cover services such as the administrative function of the service, working with Royal Mail, notifying utilities and other bodies, and for registering non-statutory parts of the address such as property name.

Naming and Numbering charges will be made for the following services:

- Numbering new residential or commercial premises
- Registration of new roads
- Naming or numbering a new single property
- Renaming or renumbering an existing property/building (currently in place)
- Enquiries from Solicitors and other bodies/organisations

Charges will also be made for changing a street name unless there is an overriding public interest for the name change.

5.1.1 APPENDIX A: COMPARISON OF POSTAL AND LLPG ADDRESSES

This appendix summarises the differences between the two types of address.

Address element Postal	Postal Address	BS7666 Address
Flat number/name	Not usually included	Always included
Property number	Always included	Always included
Property name	Only included if no number	Always included if applicable
Street name	Not always included in rural areas	Always included
Locality/Village	Included where Royal Mail have operational need	Included where such a name exists
Town	Included where Royal Mail have operational need	Always included
Post town	Always included	Recorded separately from actual Town
Postcode Always included	Always included where allocated	Always included where allocated
<i>Note that where a village or locality is recorded, it may not always be the same in the two types of addresses.</i>		

5.1.2 APPENDIX B: SUMMARY OF RIGHTS AND RESPONSIBILITIES

This appendix summarises who has the rights and responsibilities for each element of an address.

Address element	Person or body with right to create or amend
Property Name	Property Owner
Property Number	Rugby Borough Council
Street Name	Rugby Borough Council
Post Town and Locality	Royal Mail
Post Code	Royal Mail
LLPG Town or Locality	Rugby Borough Council

Your statutory rights if you disagree with a decision about your address:

House Numbers

The Towns Improvement Clauses Act 1847 provides no statutory rights of consultation, objection or appeal over property numbers.

Street Names

Section 18(4) of the Public Health Act 1925 provides that anyone who wishes to object to a renaming of a street may appeal to the local magistrate's court within 21 days of being given notice of the change.

Post codes, town and Localities

If you disagree with the Postcode, Post Town or Post Locality allocated to your address you should contact Royal Mail in the first instance. If you do not get a satisfactory answer from them, you may put your case to the Postal Review Panel and then, if necessary to the Postal Redress Service.

Consumer Focus, the consumer watchdog gives details of how to contact these bodies on their website.

<http://www.consumerfocus.org.uk/get-advice/post/post-advice/how-to-complain>

5.1.3 APPENDIX C: RELEVANT LEGISLATION UNDER WHICH RBC HAVE A DUTY

Property numbering:

by virtue of S.64 of the Towns Improvement Clauses Act 1847

Street naming:

by virtue of S.64 of the Towns Improvement Clauses Act 1847 which states:

“The Council shall cause to be put up or painted on a conspicuous part of some house, building, or place, at or near each end, corner, or entrance of every such Street, the name by which such Street is to be known”

‘Street’ shall extend to and include any road, square, court, alley and thoroughfare.

This section was incorporated into S.160 of the Public Health Act 1875.

Changing a street name:

by virtue of S.18 of the Public Health Act 1925:

S.18 was adopted by RBC on 10 November 1987 – see minute no. 45-87/88

5.1.4 APPENDIX D: SCHEDULE OF CHARGES

Charges will be increased as per financial practice as applicable.

SERVICE	CHARGE	UNIT OF CHARGE
Add a name to an existing address.	£25	Per address
Change an existing address.	£25	Per address
Register a new address.	£25	Per address
New Addresses on large developments	£100	2-5 plots
New Addresses on large developments	£200	6-10 plots
New Addresses on large developments	£300	11-19 plots
New Addresses on large developments	£400	20+plots
	£15	Per additional plot over 20 plots
Register a new street.	£100	Per Street
Rename existing street.	£200	Per Street
+ a per address charge	£25	Per address

Note: charges are applied for the administration of liaising with all internal departments, notifying emergency services, utilities and all other interested parties including updates to the National Address Gazetteer. Liaising with Royal Mail for the allocation of postcodes.

AGENDA MANAGEMENT SHEET

Report Title: Annual Report of the Corporate Assurance and Improvement Manager

Name of Committee: Cabinet

Date of Meeting: 24 June 2019

Report Director: Head of Corporate Resources and CFO

Portfolio: Corporate Resources

Ward Relevance: None

Prior Consultation: Head of Corporate Resources and Chief Finance Officer
Audit and Ethics Committee - 6 June 2019

Contact Officer: Chris Green – Corporate Assurance and Improvement Manager
Tel: 01788 533451

Public or Private: Public

Report Subject to Call-In: No

Report En-Bloc: Yes

Forward Plan: No

Corporate Priorities: This report relates to the following priority(ies):

(CR) Corporate Resources To provide excellent, value for money services and sustainable growth

(CH) Communities and Homes Achieve financial self-sufficiency by 2020

(EPR) Environment and Public Realm Enable our residents to live healthy, independent lives

(GI) Growth and Investment Optimise income and identify new revenue opportunities (CR)

Prioritise use of resources to meet changing customer needs and demands (CR)

Ensure that the council works efficiently and effectively (CR)

Ensure residents have a home that works for them and is affordable (CH)

Deliver digitally-enabled services that residents can access (CH)

Understand our communities and enable people to take an active part in them (CH)

- Enhance our local, open spaces to make them places where people want to be (EPR)
- Continue to improve the efficiency of our waste and recycling services (EPR)
- Protect the public (EPR)
- Promote sustainable growth and economic prosperity (GI)
- Promote and grow Rugby's visitor economy with our partners (GI)
- Encourage healthy and active lifestyles to improve wellbeing within the borough (GI)

Statutory/Policy Background: Public Sector Internal Audit Standards (PSIAS). Internal audit is a statutory function as detailed in the Audit and Accounts Regulations 2015 (England), and Section 151 of the Local Government Act 1972.

Summary: The report sets out the Corporate Assurance and Improvement Manager's annual opinion of the overall adequacy and effectiveness of the Council's internal control environment, with an appended summary of the audit work undertaken to formulate the opinion. The report also updates Cabinet with the outcomes of other work carried out by the Corporate Assurance and Improvement team during 2018/19, along with future planned work.

Financial Implications: No direct implications

Risk Management Implications: No direct implications. This report forms part of the evidence that supports the Council's Annual Governance Statement and provides assurance over the adequacy and effectiveness of the Council's internal controls to manage its key risks.

Environmental Implications: No direct implications

Legal Implications: No direct implications

Equality and Diversity: No direct implications

Options: None

Recommendation: The report be considered and noted.

Reasons for Recommendation: To enable Cabinet to have an overview of the Council's assurance and improvement programme, which is key to the Council being an efficient and effective organisation.

Cabinet - 24 June 2019

**Annual Report of the Corporate Assurance and Improvement
Manager**

Public Report of the Head of Corporate Resources and CFO

Recommendation:

The report be noted.

1. Introduction

1.1 The Accounts and Audit Regulations and the Public Sector Internal Audit Standards (the Standards) require the Corporate Assurance and Improvement Manager (CAIM) to provide an annual Internal Audit opinion and report that can be used by the organisation to inform its Annual Governance Statement. The Standards also specify that the report must contain:

- an internal audit opinion on the overall adequacy and effectiveness of the Council's governance, risk and control framework (i.e. the control environment);
- a summary of the audit work from which the opinion is derived and any work by other assurance providers upon which reliance is placed; and
- a statement on the extent of conformance with the Standards including progress against the improvement plan resulting from any external assessments.

The report was also considered at Audit and Ethics Committee on 6 June 2019.

2. Report Details

Opinion on the Overall Adequacy and Effectiveness of the Council's Control Environment

2.1 It is the responsibility of the CAIM to provide the annual Internal Audit opinion and to detail the basis for this opinion. Based upon the work undertaken by Internal Audit during 2018/19, the CAIM's overall opinion is that **Substantial Assurance** can be given that there is an adequate and effective governance, risk and control framework in place, designed to meet the organisation's objectives. Whilst some elements of the control environment require attention, agreed actions have been put in place to address those issues and responsible managers have agreed reasonable timetables for their implementation. The progress made by management in implementing the agreed actions has been generally sound.

- 2.2** **Appendix A** to this report provides a copy of the Internal Audit Annual Report which includes the CAIM's opinion on the control framework for 2018/19 and the basis for this opinion.

Effectiveness of Internal Audit

- 2.3** The Annual Report also includes an overview of the performance of the Internal Audit service against its key performance measures and ways in which it has added value to the Council during 2018/19.

Compliance with the Public Sector Internal Audit Standards

- 2.4** An external quality assessment of the internal audit service was completed in 2017/18 and the results were reported to and considered by the Audit & Ethics Committee. The report concluded that there were "no areas of non-compliance with the standards that would affect the overall scope or operation of the internal audit activity". The report also highlighted "some minor actions needed to ensure full compliance with the standards, especially to make the terms of reference more explicit". The formal recommendations arising from the assessment have all been implemented. The Corporate Assurance and Improvement Manager can also confirm that the requirements of the Quality Assurance and Improvement Programme. A further self assessment has been completed by the Corporate Assurance and Improvement Manager, the results of which are incorporated within the annual report. The Internal Audit service, in the opinion of the Corporate Assurance and Improvement Manager, is operating in general conformance to the Standards. The next external quality assessment is due in the 2022/23 financial year but can be commissioned sooner if required.

Statement of Organisational Independence and Objectivity

- 2.5** If independence or objectivity is impaired in fact or appearance, the CAIM is required to disclose this. The CAIM can confirm that the internal audit service is independent and objective, and this is currently demonstrated in a number of ways:
- The CAIM reports directly to the Section 151 Officer and the Audit & Ethics Committee, and has unfettered access to the Executive Director, and Chair of the Audit & Ethics Committee.
 - Any attempts to unduly influence the scope of audit reviews or the contents of reports will be reported by the CAIM to the Executive Director and the Chair of the Audit & Ethics Committee.
 - All officers responsible for internal audit work are required to complete an annual Register of Interests declaration form, which is in turn reviewed by their line manager. In the case of the CAIM, the annual declaration of interests is reviewed by the Head of Corporate Resources and Chief Finance Officer. Auditors are required to report any interests that might compromise the impartiality of their professional judgements – or give rise to a perception that this impartiality has been compromised. Any conflicts of interest are avoided when allocating assignments.
 - The Audit & Ethics Committee approves any consultancy activity included in the Audit Plan.

- 2.6** The role and responsibilities of the CAIM extend beyond internal auditing. There would be an actual or perceived impairment to independence and objectivity were the CAIM to undertake internal audit reviews of areas for which he is operationally responsible for. Specific safeguards have been established in order to avoid any actual or perceived impairment to independence and objectivity; these safeguards have been reported to, considered and approved separately by the Audit & Ethics Committee.

Notable Outcomes and Future Plans

- 2.7** Section 4 of the annual report, on page 7 in Appendix A, sets out ways in which the Internal audit function has demonstrated value beyond its core work. Examples include:
- Work delivered in support of the Counter Fraud, Bribery and Corruption Strategy.
 - Review of controls designed to effectively control the administration of the new Rugby Lotto.
 - A total of 96 agreed actions were implemented by management following completion of internal audit work. These actions strengthen the Council's internal control framework.
- 2.8** The Corporate Assurance and Improvement team maps existing processes and recommends actions to reduce or eliminate areas of waste or inefficiency, whilst improving the customer experience and freeing up capacity. This work is carried out by the Change Officer. Examples include:
- Digitalisation of the community grants application process; and
 - Process redesigns, for example fly tipping, bulky waste, and approving tenant property improvements.
 - Mapping the Council's licensing processes, using the Council's Engage software, highlighting a number of areas where controls could be made more efficient and the customer experience improved, without compromising internal control.
- 2.9** Insurance is a core element of the Council's risk management framework and the function sits within the Corporate Assurance and Improvement team, and the insurance portfolio, claims handling and day to day administration are managed by the Risk Management and Insurance Officer. An internal audit review of the insurance function was completed by an independent external organisation. The report provided a high level of assurance and concluded that "the Council has appropriate insurance arrangements in place which meet regulatory and legislative requirements; governance arrangements are in place and insurance claims are processed accurately and completely".
- 2.10** A full review and update of corporate performance indicators was completed during the final quarter of the year to ensure that measures are relevant to the needs and objectives of the Council, and in line with the Corporate Strategy. A programme of data quality reviews has also been instigated to provide assurance that published data is accurate, timely and complete. This programme of work, which is being delivered by the Performance Management and Improvement Officer, will be expanded in 2019/20 to provide assurance across a range of services that effective performance management arrangements are in place.

- 2.11** All managers and team leaders received mandatory risk management training during 2018/19 as the Council works to embed a consistent and effective approach to operational risk management across the organisation. This was a significant investment, with over 70 members of staff attending the full day course. Following the training the risk management strategy was also subject to independent external review. The feedback was positive and there were also a number of recommendations which were considered and incorporated within an updated strategy, which was approved by Cabinet on 3rd June 2019. An action plan has been developed alongside the risk management strategy; delivery of which will be overseen by the Strategic Risk Management Group. In addition to the action plan, the internal audit plan for 2019/20 includes a programme of departmental reviews which will seek to provide assurance that operational risks are being managed effectively. The results of this work will be reported to the Strategic Risk Management Group and the Audit & Ethics Committee.
- 2.12** The Council faces a number of risks which cut across service areas and for which the response needs to be coordinated at a corporate level to manage the risks effectively. A draft corporate risk register has been developed; this will be approved by and managed through the Strategic Risk Management Group. The corporate risk register will also be submitted to the Audit & Ethics Committee for review.

Name of Meeting: Cabinet

Date of Meeting: 24 June 2019

Subject Matter: Annual Report of the Corporate Assurance and Improvement Manager

Originating Department: Corporate Resources

DO ANY BACKGROUND PAPERS APPLY **YES** **NO**

LIST OF BACKGROUND PAPERS

Doc No	Title of Document and Hyperlink
Appendix A	Annual Report of the Corporate Assurance and Improvement Manager

The background papers relating to reports on planning applications and which are open to public inspection under Section 100D of the Local Government Act 1972, consist of the planning applications, referred to in the reports, and all written responses to consultations made by the Local Planning Authority, in connection with those applications.

Exempt information is contained in the following documents:

Doc No	Relevant Paragraph of Schedule 12A



Appendix 1

ANNUAL REPORT OF INTERNAL AUDIT

2018-19

Date: June 2019

Annual Report of Internal Audit 2018/19

1. BACKGROUND

- 1.1 The Public Sector Internal Audit Standards (the Standards) require the Corporate Assurance and Improvement Manager to provide an annual Internal Audit opinion and report that can be used by the organisation to inform its governance statement.
- 1.2 The Standards specify that the annual report must contain:
- An Internal Audit opinion on the overall adequacy and effectiveness of the Council's governance, risk and control framework (i.e. the control environment);
 - A summary of the audit work from which the opinion is derived and any work by other assurance providers upon which reliance is placed; and
 - A statement of the extent of conformance with the Standards including progress against the improvement plan arising from any external assessments.

2. INTERNAL AUDIT OPINION 2018/19

- 2.1 Based upon the work undertaken by Internal Audit during the year, the Corporate Assurance and Improvement Manager's overall opinion on the Council's system of internal control is that:

Substantial Assurance can be given that there is an adequate and effective governance, risk and control framework in place, designed to meet the organisation's objectives.

Of the 16 graded assignments undertaken for 2018/19, 12 (75%) resulted in an opinion of either High or Substantial Assurance, with 4 (25%) assignments receiving only Limited Assurance.

The progress made by management in implementing the actions arising from audits has been good. 93% of agreed actions arising from audits completed in the last two years were implemented on time and 7% were implemented late, resulting in an overall implementation rate of 100%. There were 3 agreed actions which were overdue as at 31st March 2019; these all related to the audit of corporate health and safety completed in January 2017. A total of 96 agreed actions have been implemented by the Council during 2018/19 as a result of internal audit work.

No systems of controls can provide absolute assurance against material misstatement or loss, nor can Internal Audit give that assurance.

- 2.2 The basis for this opinion is derived from an assessment of the range of individual opinions arising from assignments within the agreed internal audit plan that have been

undertaken throughout the year. This assessment has taken account of the relative materiality of these areas and management's progress in respect of addressing any control weaknesses.

- 2.3 As noted in the conclusion above, there were 3 agreed actions which were overdue as at 31st March 2019. These all related to the internal audit of Corporate Health & Safety completed in January 2017. As previously reported to the Audit & Ethics Committee, resourcing issues have impacted on management's ability to implement the agreed actions. Those resourcing issues have now been addressed and as such management will now be able to proceed with delivering the remainder of the action plan. Furthermore, Internal Audit has completed a follow up review of the original audit and the full report with revised action plan is being submitted separately to the Audit & Ethics Committee for consideration.
- 2.4 There were 4 audits which resulted in only Limited assurance during 2018/19. In forming the annual opinion the Corporate Assurance and Improvement Manager considered management's response to these audits and where applicable the progress being made to address the issues identified, and concluded that the management response and, where applicable progress, was satisfactory. A summary of Audit opinions is shown in Table 1 below:

Table 1 – Summary of Audit Opinions 2018/19

<u>Assurance Area</u>	<u>High</u>	<u>Substantial</u>	<u>Limited</u>	<u>No</u>
Financial	0	2	1	0
IT	0	2	0	0
Counter Fraud	0	1	1	0
Governance	0	1	2	0
Strategic & Operational Risks	2*	4	0	0
Total	2	10	4	0
Summary	13%	62%	25%	0%

* Of the two audits which resulted in High assurance, one (Insurance) was completed by an external contractor (TIAA), whilst the second (Elections) was undertaken by the in house team.

3. REVIEW OF AUDIT COVERAGE

3.1 The Auditor's Opinion for each assignment is based on the fieldwork carried out to evaluate the design of the controls upon which management rely and to establish the extent to which controls are being complied with. The table below explains what the opinions mean:

Table 2 – Assurance Categories

Assurance Level	Design of Control Framework	Operation of Controls
HIGH	There is a robust framework of controls making it likely that corporate/ service objectives will be delivered.	Controls are operated continuously and consistently, with only infrequent minor lapses.
SUBSTANTIAL	The control framework includes generally sound key controls that promote the delivery of corporate/ service objectives.	Controls are applied, although some lapses and/ or inconsistencies were identified.
LIMITED	There is an absence of key controls, with an increased risk that corporate/ service objectives will not be achieved.	There have been significant and extensive breakdowns in the operation of key controls.
NO	There is an absence of basic controls resulting in inability to deliver corporate/ service objectives.	The fundamental controls are not being operated or complied with.

3.2 The Auditor's Opinion of the level of risk exposure is based on an assessment of the level of the likelihood of corporate/ service objectives not being achieved, and an assessment of the impact of any failure to achieve objectives. The assessments are conducted in line with the Council's Strategic and Operational Risk Matrix. In order that risks may be prioritised according to their severity, the Council operates a traffic light system. Risks are scored within one of the following levels:

Risk Rating	Risk Score	Prioritisation of Action
HIGH	8 - 16	Immediate Attention
MEDIUM	4 - 6	Moderate Risk, Mitigation Action Required
LOW	1 - 3	Regular Review

3.3 Summary of Audit Work

Table 3 details the assurance levels resulting from all audits undertaken in 2018/19 and the assessment of the levels of risk exposure:

Table 3 – Details of Audit Opinions Issued in 2018/19

Audit Area	Assurance Opinion	Risk Exposure Opinion
Finance		
Treasury Management	Substantial	Low
Benefits	Substantial	Medium
Tenant Recharges	Limited	Medium
IT		
Backup Arrangements	Substantial	Medium
Patching Arrangements	Substantial	Medium
Counter Fraud		
Fraud Risk Assessments	Substantial	Medium
Grants to Community Groups	Limited	Medium
Governance		
Annual Governance Statement	Substantial	Not Applicable
Health & Safety Follow up	Limited	High
Data Protection Governance	Limited	Medium
Strategic & Operational Risks		
Elections	High	Low
Housing Repairs	Substantial	Medium
Car Parking Enforcement	Substantial	Low
Insurance	High	Low
Independent Living Service	Substantial	Medium
Green Waste Optimisation	Substantial	Low

3.4 Outlined at pages 11 to 27 is a short summary of the findings of each of the audits completed. It should be noted that many of these findings have previously been reported as part of the defined cycle of progress update reports provided to the Audit & Ethics Committee.

3.5 Implementation of Internal Audit Recommendations

Internal Audit follows up on progress against all recommendations arising from completed assignments to ensure they have been appropriately implemented in a timely manner. Updates are provided to the Audit & Ethics Committee during the course of the year. Details of the combined implementation rate for audit recommendations made during 2017/18 and 2018/19 are provided in Table 4 below:

Table 4 – Implementation of Audit Recommendations

Audit	No. of Recs	Implemented on Time	Implemented Late	Not yet due	Overdue	Rejected Medium/ High Risk Actions
Corporate Credit Cards	9	8	0	1	0	0
Play & On Track	12	11	1	0	0	0
RAGM Income	14	14	0	0	0	0
Green Waste	1	1	0	0	0	0
ICT Infrastructure	6	6	0	0	0	0
Benn Hall	18	16	2	0	0	0
Council Tax & NDR Fraud	10	2	2	6	0	0
Fleet Management	10	1	0	9	0	0
Partnership Governance	2	1	0	1	0	0
Risk Management	7	2	0	5	0	0
Housing Repairs Stock Control	9	4	2	3	0	0
Values & Behaviours	12	6	0	6	0	0
PTC Interface	8	6	0	2	0	0
Grants to Community Groups	13	13	0	0	0	0
Fraud Risk Review	14	2	0	12	0	0
Housing Repairs	11	3	0	8	0	0
ICT Backup	4	0	0	4	0	0
Independent Living	11	0	0	11	0	0
Housing Rent Arrears	3	0	0	3	0	0
Treasury Management	6	0	0	6	0	0
Benefits	1	0	0	1	0	0
ICT Patching	6	0	0	6	0	0
Health/ Safety Follow Up	9	0	0	9	0	0
Elections	2	0	0	2	0	0
Data Protection Governance	9	0	0	9	0	0
Tenant Recharges	8	0	0	8	0	0
Car Parking Enforcement	1	0	0	1	0	0
Insurance	1	0	0	1	0	0
Green Waste Optimisation	2	0	0	2	0	0
Due for Completion	103	96 (93%)	7 (7%)	-	0 (0%)	0
Totals	219	96 (44%)	7 (3%)	116 (53%)	0 (0%)	0

4. HOW HAS INTERNAL AUDIT ADDED VALUE?

- 4.1 It is important that Internal Audit demonstrates its value to the organisation. The service provides assurance to management and members via its programme of work and also offers support, advice and insight to assist the Council in new areas of work or to proactively review and improve the control framework.
- 4.2 Beyond delivery of the core assurance assignments, the service added value in a number of additional areas during 2018/19, as set out in Table 5:

Table 5 – Internal Audit Contribution

Area of Activity	Benefit to the Council
<p>Support towards the Council's Counter fraud activity in the following areas:</p> <ul style="list-style-type: none"> • Support towards embedding the Anti-Fraud, Bribery and Corruption Strategy and Fraud Response Plan; • Completion of four corporate investigations/ fact finding reviews, with support from other managers as required; • Provision of assurance work in relation to one areas of fraud risk – grants to community groups; • Review of fraud risks across the Council and developments of an action plan to address gaps in control; • Provision of fraud bribery and corruption awareness training to members, and to four departments during the year. 	<p>Greater strategic and procedural clarity, leading to a more consistent and coherent organisational approach to tackling the risks of fraud, bribery and corruption. Greater awareness amongst staff and a targeted action plans to address any significant gaps in controls, which should in turn reduce the Council's level of risk exposure.</p>
<p>Review of controls designed to effectively control the administration of the new Rugby Lotto. This review took place before the launch of the Lotto.</p>	<p>There is a reduced risk of the control environment surrounding the Lotto being deficient in design and operation.</p>
<p>Licensing processes were mapped out using the Council's Engage software, highlighting a number of areas where processes could be made more efficient without compromising internal control. The amended procedures are currently being built into a new software system which is currently being implemented.</p>	<p>The service will become more efficient and effective, whilst the customer experience will be improved.</p>

Area of Activity	Benefit to the Council
<p>A total of 96 agreed actions have been implemented by management following completion of internal audit work. Furthermore, the internal audit service has, where appropriate, recommended actions to reduce or eliminate wasteful or inefficient processes. Examples include:</p> <ul style="list-style-type: none"> • Digitalisation of the community grants application process; • Development of a set of frequently asked questions on the website to support community grant applicants; • Utilisation of the system workflow within the Oneserve system to move housing repairs jobs from “pre inspection” to “work required”, thus avoiding the creation of additional jobs on the system; • Establishment of a new three year fixed term staff car park permit scheme instead of the current system of annual permits; and • Entering customer information straight onto the Tunstall system using a tablet when signing up customers for the Lifeline service. 	<p>Reduction in exposure to risk and improved organisational efficiency and effectiveness.</p>
<p>A programme of performance data quality assurance reviews was instigated in the 4th quarter of 2018/19. The work was carried out to provide assurance that performance data is accurate, timely and complete. Assurance work was completed for 17 performance indicators across 4 departments – the Benn Hall, Development Strategy, ICT and Neighbourhood Services. This work will be significantly expanded as part of the internal audit plan for 2019/20 and will include work to provide assurance that departments are managing their performance effectively.</p>	<p>Will provide assurance that the performance data which the Council publishes is accurate, timely and complete. Future work will improve the effectiveness of the Council's arrangements for managing performance.</p>

5. HOW WELL IS INTERNAL AUDIT PERFORMING?

- 5.1 Internal Audit maintains a number of agreed performance measures to enable ongoing monitoring by Senior Management and the Audit & Ethics Committee. Outturns against these indicators for the year ended 31st March 2019 are set out in Table 6 below:

Table 6 – Internal Audit Performance Indicators

Theme	Title of Performance Indicator	2018/19	2017/18	2016/17
Delivery	Average end to end time for audits (number of days)* *New measure from 2018/19	92 days	N/A*	N/A*
Adding Value	Customer Satisfaction – Average Rating 3 = Good 2 = Satisfactory 1 = Poor	2.83	Insufficient data	2.78
Timeliness	Timeliness of Reporting – Average time taken to issue draft reports following fieldwork completion	7.6	6.2	7.1
Effectiveness	Implementation of Agreed Actions by Officers – Percentage either fully or partially implemented on time	93%	72%	88%

6. COMPLIANCE WITH PROFESSIONAL STANDARDS

- 6.1 The Public Sector Internal Audit Standards (the Standards) were adopted by the Chartered Institute of Public Finance and Accountancy (CIPFA) from April 2013. The standards are intended to promote further improvement in the professionalism, quality, consistency and effectiveness of Internal Audit across the public sector.
- 6.2 The objectives of the Standards are to:
- Define the nature of internal auditing within the public sector;
 - Establish a framework for providing internal audit services, which add value to the organisation, leading to improved organisational processes and operations; and
 - Establish the basis for evaluation of internal audit performance and to drive improvement planning.
- 6.3 An external quality assessment of the internal audit service was completed in 2017/18 and the results were reported to and considered by the Audit & Ethics Committee. The report concluded that there were "no areas of non-compliance with the standards that would affect the overall scope or operation of the internal audit activity". The report also highlighted "some minor actions needed to ensure full compliance with the standards, especially to makes the terms of reference more explicit". The formal recommendations arising from the assessment have all been implemented. The Corporate Assurance and Improvement Manager can also confirm that the requirements of the Quality Assurance and Improvement Programme have been met for 2018/19. A further self assessment has been completed and the service, in the opinion of the Corporate Assurance and Improvement Manager, is operating in general conformance to the Standards. The next external quality assessment is due in the 2022/23 financial year but can be commissioned sooner if required.

7. SUMMARY OF AUDIT FINDINGS

Audit Area	Assurance Opinion	Risk Exposure Opinion	Summary of Key Findings
Treasury Management	Substantial	Low	<p>The objective of the audit was to provide assurance that effective treasury management strategy and practices are in place, that investments and borrowings are made in line with the strategy and practices in a way which safeguards the Council's interests, that there is effective oversight of the function and that accounting records are accurate and complete.</p> <p>The audit found that a sound system of controls was in place with only occasional weaknesses in the documentation supporting the investment and borrowing decisions, reporting framework and Treasury Management Practices which require updating to reflect the current scheme of delegation. The monthly reconciliation between investment records and the general ledger balance sheet accounts had not been completed during 2018/19; it was agreed that the reconciliation would be reinstated and carried out monthly thereafter.</p> <p>The professional opinion of the council's advisers was sought and confirmed that the Principal Account is utilising his considerable experience to maintain a well diversified investment portfolio which is achieving a reasonable return within the council's risk appetite and in line with the market performance.</p>

Audit Area	Assurance Opinion	Risk Exposure Opinion	Summary of Key Findings
Benefits	Substantial	Medium	<p>The objective of the audit was to provide assurance that benefits are paid for the correct amounts to recipients who are entitled to receive them, and that accounting records are accurate and complete.</p> <p>The audit found that a fundamentally sound system of controls is in place to mitigate the risks identified and that these are being executed effectively.</p> <p>The main error regarding Rent Officer Referrals (cases which are referred to the Rent Officer Service), identified from the external audit report for 2017/18, has been fully rectified and a new process instigated to prevent recurrence.</p> <p>The amalgamation of the Housing Options and Benefits teams has created additional training needs as the officers will be multi skilled across both parts of the new service. The quality checks completed by the CAST Quality Assessor will be crucial in monitoring the initial accuracy of these newly trained officers. Currently however the outcome of the errors identified during the Quality Assurance process are not being followed through to completion, resulting in a risk that officers may not correct the error and the claim is paid erroneously. Management has agreed to instigate a follow up procedure, details of which will be recorded on an assurance spreadsheet.</p>

Audit Area	Assurance Opinion	Risk Exposure Opinion	Summary of Key Findings
Tenant Recharges	Limited	Medium	<p>The objective of this audit was to provide assurance that there are appropriately designed controls in place which are applied consistently to ensure that Tenant Recharges are accurately identified, completed and correctly reflect the expenditure incurred when carrying out repairs. The review also considered the arrangements in place to maximise the collection of recharge income.</p> <p>The audit confirmed that the revised Recharge Policy was circulated to all tenants following its last review in August 2017. This version adopts an approach of broadly stating that all repairs not deemed 'fair wear and tear' will be charged and that all repairs/clearances at the end of tenancies are also rechargeable. Tenants are reminded of their obligations by officers when repairs are reported. They are advised that repairs carried out by themselves must be to the current specification and an estimate of the cost for us to effect the repair wherever possible.</p> <p>The majority of cases for recharge appear to be being identified accurately, however the authorisation of current tenant jobs and the subsequent requests for invoices to be raised was found to have been subject to significant delays, which impedes the effectiveness of the system.</p> <p>Currently no regular reports are produced and circulated detailing recharge collection rates. Of the total amount billed in 2018/19, at the time of reporting on 22% had been collected. The system cannot therefore be regarded as being effective.</p>

Audit Area	Assurance Opinion	Risk Exposure Opinion	Summary of Key Findings
IT Backup Arrangements	Substantial	Medium	<p>The objective of this review was to assess the existence and adequacy of IT data backup arrangements including backup procedures, frequency of backup routines, integrity of backup media, physical security and logical security protection on the backup system. Data backup involves the copying of files and databases to a secondary site to protect against equipment failure or any form of catastrophe. Data backup routines form a key component of any IT Disaster Recovery plan.</p> <p>The review confirmed that documented Data Backup procedures were in place. The Veeam Backup and Replication system had been deployed to manage regular backup routines across all live Council servers. Access to the Veeam application is protected by Active Directory authentication. The Veeam system is configured to report any incomplete or unsuccessful backup routines. Production servers were subject to daily (incremental) and weekly full backup routines. Furthermore, backup media was stored offsite.</p> <p>The review also highlighted that the Veeam application was only configured to retain 30 days backup data; a cloud based solution has been identified which will enable up to 3 months of data to be stored. The data replication system runs on a live server located in a Comms Room at the Town Hall; however, there is currently no fire suppression system deployed to protect the server hardware. Management has agreed to obtain quotes and consider installing a fire suppression system.</p>

Audit Area	Assurance Opinion	Risk Exposure Opinion	Summary of Key Findings
IT Patching Arrangements	Substantial	Medium	<p>The objective of this audit was to review the existence and adequacy of IT Patch Management arrangements including patching policy, monitoring, testing and installation of new security patches, review of patch administration access rights, deployment of antivirus updates and vulnerability scanning. Patch Management involves the identification, testing and installation of new security patches. Tasks include maintaining knowledge of available patches, deciding what patches are appropriate for particular systems, ensuring that patches are installed promptly, testing and documenting procedures. This review was included in the 2018/19 IT Audit plan to gain assurance that all security patches are promptly and consistently applied across the Council PC and Server estate.</p> <p>The review confirmed that the Windows Server Update Services (WSUS) utility had been deployed to identify, test and install new security updates. WSUS manages the installation of Microsoft security patches across both the Council's PC and Server estate. The ability to install software and security patches was restricted to members of the IT Services team. All IT users have been assigned individual and uniquely identifiable user accounts. To protect against malware or ransomware infection, Sophos antivirus software has been deployed across the PC and Server estate.</p> <p>Testing highlighted that anti virus signatures were out of date for a number of devices; the IT team are in the process of deploying a new cloud based version Sophos antivirus software across all PCs and Servers.</p>

Audit Area	Assurance Opinion	Risk Exposure Opinion	Summary of Key Findings
Fraud Risk Review	Substantial	Limited	<p>The results of this exercise were encouraging: The Council's controls were assessed as generally appropriate to the risks identified. There were 14 risks assessed as being Medium, and 1 which assessed as being High. The full report was presented to the Audit & Ethics Committee in October 2018. An action plan was developed and agreed with management, delivery of which is being monitored by the Corporate Assurance and Improvement team. It should be noted that in some instances, there were no further actions proposed despite the risk being assessed as Medium. This is because it was considered that additional controls in these areas would not significantly reduce the likelihood of fraud/ theft/ bribery/ corruption occurring or the impact of that event.</p> <p>It should also be noted that the mitigating controls identified by managers were not audited as part of this review. As such, the results of this review should not be interpreted as providing a guarantee to the Council that fraud will not take place in any given area of operations. Fraud risks are, however, considered during the planning stage of all audit assignments and testing plans are developed accordingly.</p>
Annual Governance Statement	Substantial	Not Applicable	The overall governance framework provides a substantial level of assurance of effectiveness, although a number of further development areas have been highlighted. Delivery of the Action Plan will be monitored during 2019/20.

Audit Area	Assurance Opinion	Risk Exposure Opinion	Summary of Key Findings
Grants to Community Groups	Limited	Medium	<p>This audit was designed to provide assurance that grant money awarded to community groups are not being used for fraudulent purposes and that expected outcomes are achieved. In 2018/19 a total of £63,410 was available across 5 different grants. The Council also has 5 Service Level Agreements (SLAs) with Community Associations covering the period 1st April 2017 to 31st March 2019. Each community association receives £7,500 per annum.</p> <p>It was found that appropriate controls are in place to ensure there is clear segregation of duties when deciding who will be awarded funds. Digitalisation of the application form could be used to streamline the current application approach, this has been implemented in the new approach. The audit found, however, that controls are not being consistently applied in a number of areas, in the manner expected. Weaknesses were identified in the following areas:</p> <ul style="list-style-type: none"> • Policy documents were not always obtained before funds are released • Policy documents were not being reviewed by an appropriate person before funds are released. • With the exception of grants which are overseen by the Sports and Recreation team, follow up visits were not being made as expected to ensure outcomes have been achieved or that funds have not been misused after funding has been released. • Management of SLA's with Community Associations was been overlooked in 2018/19, with the associations not yet receiving any of their funding for 2018/19 (at the time of reporting).

Audit Area	Assurance Opinion	Risk Exposure Opinion	Summary of Key Findings
Grants to Community Groups (continued)	Limited	Medium	<ul style="list-style-type: none"> At the time of reporting there was no current terms of reference in place for the Grants Working Party and there was no reporting framework in place to provide the working party with assurance that funding provided to community groups was achieving its intended outcomes. The lack of a clear framework and reporting to the working party weakened the second line of defence in the internal control arrangements. <p>The full report was considered by the Audit & Ethics Committee in January 2019, and internal audit can confirm that the action plan addressing the above issues has now been implemented.</p>
Health & Safety Follow Up	Limited	High	<p>In 2016/17 an internal audit review of corporate health & safety arrangements was conducted. The report, finalised in January 2017, provided only Limited assurance and recommended a number of actions. The purpose of this audit was to follow up on those actions and provide assurance they have been implemented, and to provide an updated action plan. Since the original audit there have been many changes in the personnel connected to Health and Safety. The Safety and Resilience Manager left the Council in October 2017 and was not replaced until April 2019. There has also been some long term sickness within the team. As such a number of the actions are still outstanding.</p>

Audit Area	Assurance Opinion	Risk Exposure Opinion	Summary of Key Findings
Health & Safety Follow Up (continued)	Limited	High	This audit also reviewed the action taken by senior management to address the safety and resilience resourcing issues highlighted in the previous audit of Corporate Health & Safety. A new Safety & Resilience Manager is now in post and an updated action plan has been agreed.
Data Protection Governance	Limited	Medium	<p>The objective of this audit was to provide assurance that the Council has adequate data protection governance and accountability arrangements in place.</p> <p>The General Data Protection Regulation (GDPR) came in to force in May 2018 and has been designed to modernise laws that protect the personal data of individuals. It sets out six key principles:</p> <ul style="list-style-type: none"> • Lawfulness, fairness and transparency; • Purpose limitation; • Data minimisation; • Accuracy; • Storage limitation; and • Integrity and confidentiality (security). <p>A number of proactive initiatives have been made by the Council to ensure compliance with GDPR legislation. The review confirmed that a Data Protection Officer (DPO) had been appointed with the DPO reporting directly to the Executive Director. A supporting Information Management</p>

Audit Area	Assurance Opinion	Risk Exposure Opinion	Summary of Key Findings
Data Protection Governance (continued)	Limited	Medium	<p>Steering Group has been established and documented Data Protection and IT Security policies published.</p> <p>To raise user awareness, all Council staff must complete mandatory GDPR training modules with completion of training modules being actively monitored by Human Resources. Training has been supplemented by regular staff bulletins and corporate emails on GDPR. In addition, the DPO has published a list of top GDPR tips on the Council's intranet.</p> <p>A database has been compiled of all supplier contracts, with standard GDPR contractual agreements included in all supplier contracts and framework agreements. To address lawful consent for data processing, information flows and processing activities are documented. Privacy notices are posted on the Council's website and built in to all email communication.</p> <p>The review highlighted the following issues, which will be addressed in the agreed action plan:</p> <ul style="list-style-type: none"> • The lack of an Information Governance framework; • No Information Management Steering Group Terms of Reference or Action Plan to monitor and enforce data protection improvements; • No agreed format for Council policies and no process to review new and existing policies; • The absence of a Clear Desk policy;

Audit Area	Assurance Opinion	Risk Exposure Opinion	Summary of Key Findings
Data Protection Governance (continued)	Limited	Medium	<ul style="list-style-type: none"> • The absence of any KPI mechanism to monitor and report compliance with key GDPR requirements; • No process or policy in place to outline the Council's approach to data minimisation and pseudonymisation (the processing of personal data in such a way that the data can no longer be attributed to a specific data subject without the use of additional information); • Council project methodology has yet to be updated to capture GDPR data privacy requirements; and • No Data Privacy Impact Assessment (DPIA) process designed to analyse, identify and minimise the data protection risks of all new projects.
Green Waste Optimisation	Substantial	Low	<p>This audit was designed to provide assurance that appropriate arrangements are in place to ensure the Webaspx route optimisation software is working as expected, that there is secure continuity of the service should the software fail; and to ensure the data held within the system is accurate.</p> <p>The audit did not highlight any examples of significant control weaknesses. However, round sheets were not being periodically exported and saved to the network to be used if the system failed or was unavailable. Management has agreed to address this issue.</p>

Audit Area	Assurance Opinion	Risk Exposure Opinion	Summary of Key Findings
Green Waste Optimisation (continued)	Substantial	Low	The optimisation software has realised benefits including a reduction in rounds meaning a saving of £300,000. Live information is provided from the refuse vehicle to the Contact Centre enabling customer enquires to be dealt with more quickly and accurately. The process of adding properties to the round sheet has also been automated, resulting in less human intervention being required.
Elections	High	Low	<p>The Electoral Services department maintains the electoral register for the Rugby area and administer elections for local, county, parliamentary and police commissioner elections, and referendums for other issues such as the EU referendum and neighbourhood plans. It also administers parish and community elections. The procedure for the maintenance of the register and the administration of elections is set out by the Electoral Commission. Local elections are paid for by Rugby Borough Council. All other elections are paid for by the commissioning body (parish council, county council, the Cabinet Office, etc.) and the cost split if the elections are combined. The timetable for all elections activity is prescribed by law and must be followed. These are translated into extensive, detailed project plans which are actively managed by the elections team using the RPMS (Rugby Performance Management System).</p> <p>This audit was designed to provide assurance that the relevant and significant risks associated with the delivery of elections and electoral registration have been identified, assessed and are being appropriately and effectively managed. Also to identify and recommend any changes to processes which could improve efficiency.</p>

Audit Area	Assurance Opinion	Risk Exposure Opinion	Summary of Key Findings
Elections (continued)	High	Low	<p>The audit found high assurance that the elections department does all it reasonably can to ensure all eligible electors are on the register. There was a 96% response rate to the annual canvass in 2018. Information is shared well within the council. There was also high assurance that appropriate measures are in place to prevent and detect fraudulent electoral register applications and voting. Since 2014, registration is the responsibility of the individual, rather than the head of the household, which is a measure to reduce fraud. The postal voting process was examined in depth and found to be very robust. Voting in person is possibly open to more fraud. There are trials taking place in other electoral areas where voters must bring ID to vote, which will be rolled out to all areas in due course. More and more applications are being made online, where the data is matched automatically with the DWP data, thus reducing the risk of fraud.</p> <p>There are areas where the council could save money if it were to radically change the way it operates elections, i.e. changing to one 'all out' local election every four years, rather than elections in thirds which is how it is currently operated. This would be a political decision which would save in the region of £140k over four years. For local elections, money has been saved in areas such as the hand delivery of poll cards, consideration about which polling stations to use and staffing levels. Where they are within the control of RBC, efficiencies have been made such as telephone canvassing, more digital applications and emailing customers where possible.</p>

Audit Area	Assurance Opinion	Risk Exposure Opinion	Summary of Key Findings
Housing Repairs	Substantial	Medium	<p>The audit was designed to provide assurance that there are appropriate controls in place, and applied consistently, to ensure that the Housing Repairs service is operating efficiently and effectively. The objective of the service is to deliver quality repairs to tenants in a timely manner whilst maintaining value for money. The audit identified a number of strengths and opportunities for improvement summarised as follows:</p> <ul style="list-style-type: none"> • Emergency jobs are attended to within a reasonable time frame however repairs in general do not adhere to the time scales as dictated in the tenant handbook. There are in practice no set timescales for completing non-emergency repairs; this issue is being addressed via a new Service Level Agreement between Property Services and the Repairs team. • Performance management of the service is not effective. In particular Oneserve is not being used to its full potential, and the information that is produced is not being used by management to drive improvements in the service. This means the service is not operating as efficiently and effectively as it could be. A working group has been established to address this issue. • Improvements to productivity could be made by increasing the use of photo technology to support desktop pre & post inspections. The technology is operational but its use is not being maximised. <p>An action plan is in place, delivery of which is being monitored.</p>

Audit Area	Assurance Opinion	Risk Exposure Opinion	Summary of Key Findings
Car Parking Enforcement	Substantial	Low	<p>The audit was commissioned to provide assurance that there are appropriately designed controls in place, and applied consistently, to ensure that enforcement of the council's car park charges is efficient and effective.</p> <p>Since April 2018, the enforcement of the Council's car parks has been carried out by the Community Safety Wardens (CSWs) as part of their responsibilities which also include investigating anti-social behaviour, fly tipping, and other environmental crimes. A total of 272 penalty notices were issued in the period 1st April 2018 to 30 November 2018. The level of fine income received to the end of November 2018 was comparable with the income at the same point in the financial year 2017/18, i.e. £6,662 and £6,464 respectively. The CSWs are allocated their duties on a daily basis at the start of their shift which include checking that carpark machines are working. The Community Warden Supervisor prioritises the time spent enforcing within the councils car parks to ensure that whilst full time coverage is not possible, a visible deterrent is regularly demonstrated.</p> <p>The Council does not currently have any written down policies and guidelines which specifically cover appeals or the exercise of discretion either at penalty issue or appeal, however each case is reviewed individually in line with the guidance in the Traffic Management Act 2004. Following a change to the understood policy regarding enforcement on expired employee permits, it was recommended that a revised staff parking permit be introduced whereby all employees are given a 3 year pass that is automatically renewed at the same time.</p>

Audit Area	Assurance Opinion	Risk Exposure Opinion	Summary of Key Findings
Insurance	High	Low	<p>Insurance premiums are unlike any other item of Council expenditure, in that they are governed by the state of the insurance market which, in turn, is governed by the effects of claims, national events and natural phenomena. The Council is required to purchase insurance in relation to its portfolio requirements which include property, fine art work, business continuity, motor vehicles, professional indemnity, employer's liability and public liability. For the period 1 November 2017 to 31 October 2022 the Council has in place a long term agreement with its insurance broker, Arthur J Gallagher.</p> <p>This audit was carried out in March 2019 as part of the planned internal audit work for 2018/19. The audit considered the controls and processes to ensure that the Council has appropriate insurance arrangements in place which meet regulatory and legislative requirements; governance arrangements are in place and that insurance claims are processed accurately and completely. Whilst the audit did not highlight any examples of significant control weaknesses, testing identified delays in the submission of claims by the Transport Manager to the Risk Management and Insurance Officer, undermining the effectiveness of processing claims in a timely manner.</p>

Audit Area	Assurance Opinion	Risk Exposure Opinion	Summary of Key Findings
Independent Living Service	Substantial	Medium	<p>The audit was designed to provide assurance that residents of the Independent Living Service are receiving the service that they are paying for, and that the quality and effectiveness of the service has been improved and maintained following a restructure.</p> <p>The audit confirmed that extensive consultations were carried out prior to the restructure, and the Council is working to encourage tenants to live more independently, for example by making better use of the community rooms. A small number of residents have expressed unhappiness with the recent changes within the service and frequency of changes in personnel. The feedback is being addressed.</p> <p>There was an issue highlighted prior to the commencement of the audit that some of the Lifeline income was not being collected. This was indeed found to be the case, with some Lifeline customers not set up to receive invoices. The extent of the problem, at the time of reporting, was estimated to be around 30 customers, out of a total of 1,285. The issue was caused because the process of notifying the Revenues team of invoices to raise was manual, and prone to potential error. At the time of reporting this issue was being rectified, with electronic means being developed to notify the Revenues team of invoices which need to be raised.</p>

Limitations and Responsibilities

Limitations inherent to the Internal Auditor's work

Internal Audit is undertaking a programme of work agreed by the council's senior managers and approved by the Audit & Ethics Committee subject to the limitations outlined below.

Opinion

Each audit assignment undertaken addresses the control objectives agreed with the relevant responsible managers. There might be weaknesses in the system of internal control that Internal Audit are not aware of because they did not form part of the programme of work, were excluded from the scope of individual internal audit assignments, or were not brought to the attention of Internal Audit. As a consequence, the Audit & Ethics Committee should be aware that the Audit Opinion for each assignment might have differed if the scope of individual assignments was extended or other relevant matters were brought to Internal Audit's attention.

Internal Control

Internal control systems identified during audit assignments, no matter how well designed and operated, are affected by inherent limitations. These include the possibility of poor judgement in decision making, human error, control processes being deliberately circumvented by employees and others management overriding controls, and unforeseeable circumstances.

Future Periods

The assessment of each audit area is relevant to the time that the audit was completed in. In other words, it is a snapshot of the control environment at that time. This evaluation of effectiveness may not be relevant to future periods due to the risk that:

- The design of controls may become inadequate because of changes in operating environment, law, regulatory requirements or other factors; or
- The degree of compliance with policies and procedures may deteriorate.

Responsibilities of Management and Internal Auditors

It is management's responsibility to develop and maintain sound systems of risk management, internal control and governance, and for the prevention or detection of irregularities and fraud. Internal audit work should not be seen as a substitute for management's responsibilities for the design and operation of these systems.

Internal Audit endeavours to plan its work so that there is a reasonable expectation that significant control weaknesses will be detected. If weaknesses are detected, additional work is undertaken to identify any consequent fraud or irregularities. However, Internal Audit procedures alone, even when carried out with due professional care, do not guarantee that fraud will be detected, and its work should not be relied upon to disclose all fraud or other irregularities that might exist.

AGENDA MANAGEMENT SHEET

Report Title: Treasury Management 2018/19 - Annual Report

Name of Committee: Cabinet

Date of Meeting: 24 June 2019

Report Director: Head of Corporate Resources and CFO

Portfolio: Corporate Resources

Ward Relevance: ALL

Prior Consultation: Treasury Management Strategy 2018/19 - 2020/21 Cabinet February 2018

Contact Officer: Mannie Ketley – Head of Corporate Resources and Chief Financial Officer
Tel: (01788) 533420

Public or Private: Public

Report Subject to Call-In: Yes

Report En-Bloc: Yes

Forward Plan: Yes

Corporate Priorities: This report relates to the following priority(ies):

(CR) Corporate Resources To provide excellent, value for money services and sustainable growth

(CH) Communities and Homes Achieve financial self-sufficiency by 2020

(EPR) Environment and Public Realm Enable our residents to live healthy, independent lives

(GI) Growth and Investment Optimise income and identify new revenue opportunities (CR)

Prioritise use of resources to meet changing customer needs and demands (CR)

Ensure that the council works efficiently and effectively (CR)

Ensure residents have a home that works for them and is affordable (CH)

Deliver digitally-enabled services that residents can access (CH)

Understand our communities and enable people to take an active part in them (CH)

Enhance our local, open spaces to make them places where people want to be (EPR)

- Continue to improve the efficiency of our waste and recycling services (EPR)
- Protect the public (EPR)
- Promote sustainable growth and economic prosperity (GI)
- Promote and grow Rugby's visitor economy with our partners (GI)
- Encourage healthy and active lifestyles to improve wellbeing within the borough (GI)
- This report does not specifically relate to any Council priorities but should be considered by Cabinet to comply with the Code of Practice.

Statutory/Policy Background:	The Council's Treasury Management activities are strictly regulated by the Local Government Act 2003 and the CIPFA Code of Practice on Treasury Management.
Summary:	The report sets out the Treasury Management activities for 2018/19.
Financial Implications:	The report ensures that Cabinet is aware of the final Treasury Management position for 2018/19.
Risk Management Implications:	There are no risk management implications for this report
Environmental Implications:	There are no environmental implications for this report
Legal Implications:	There are no legal implications for this report
Equality and Diversity:	There are no equality and diversity implications for this report
Options:	As this report complies with the Treasury Management Code of Practice, which was approved by Council, no other options have been considered.
Recommendation:	<ol style="list-style-type: none"> 1) The Treasury Management report for 2018/19 be considered; and 2) The actual treasury management indicators (Appendix A) be noted; and 3) The amended counterparties list for 2019/20 (Appendix B) be approved.
Reasons for Recommendation:	To comply with the Code of Practice

Cabinet - 24 June 2019

Treasury Management 2018/19 - Annual Report

Public Report of the Head of Corporate Resources and CFO

Recommendation

- 1) The Treasury Management report for 2018/19 be considered;
- 2) the actual treasury management indicators (Appendix A) be noted; and
- 3) the amended counterparties list for 2019/20 (Appendix B) be approved.

1.1 INTRODUCTION

The annual Treasury Management Report is a requirement of the Council's reporting procedures; and a cornerstone of the CIPFA Code of Practice on Treasury Management in the Public Services. This report covers the treasury activities for the financial year 2018/19.

Part of the Council's treasury activity is to address any borrowing need, either through borrowing from external bodies, or utilising temporary cash resources available within the Council. The wider treasury activities also include managing the Council's cash flows, its existing borrowing activities, and investment of surplus funds. These activities are structured to manage risk foremost, and then to optimise performance.

1.2 ECONOMIC REVIEW

After weak economic growth of only 0.2% in quarter one of 2018, growth picked up to 0.4% in quarter 2 and to a particularly strong 0.7% in quarter 3, before cooling off to 0.2% in the final quarter. Given all the uncertainties over Brexit, this weak growth in the final quarter was as to be expected. However, some recovery in the rate of growth is expected going forward. The annual growth in Q4 came in at 1.4% y/y confirming that the UK was the third fastest growing country in the G7 in quarter 4.

The Monetary Policy Committee raised Bank Rate from 0.5% to 0.75% in August 2018. We are unlikely to see any further action from the MPC until the uncertainties over Brexit clear. If there were a disorderly exit, it is likely that Bank Rate would be cut to support growth. Nevertheless, the MPC has been having increasing concerns over the trend in wage inflation which peaked at a new post financial crisis high of 3.5%, (excluding bonuses), in the three months to December before falling only marginally to 3.4% in the three months to January. British employers ramped up their hiring at the

fastest pace in more than three years in the three months to January as the country's labour market defied the broader weakness in the overall economy as Brexit approached. The number of people in work surged by 222,000, helping to push down the unemployment rate to 3.9 percent, its lowest rate since 1975. Correspondingly, the total level of vacancies has risen to new highs.

As for CPI inflation itself, this has been on a falling trend since peaking at 3.1% in November 2017, reaching a new low of 1.8% in January 2019 before rising marginally to 1.9% in February. The most recent forecast for inflation over both the two and three year time horizons remained marginally above the MPC's target of 2%.

The rise in wage inflation and fall in CPI inflation is good news for consumers as their spending power is improving in this scenario. Given the UK economy is very much services sector driven, an increase in household spending power is likely to feed through into providing some support to the overall rate of economic growth in the coming months.

1.3 THE COUNCIL'S CAPITAL EXPENDITURE AND FINANCING 2018/19

This forms one of the required prudential indicators, and shows total capital expenditure for the year and how this was financed.

	2018/19 Actual £'000	2018/19 Estimate £'000
Total capital expenditure	9,700	4,906
Resourced by:		
Capital receipts	1,231	506
Capital grants and other contributions	1,770	589
Capital reserves	1,346	1,114
Revenue	4,551	835
Unfinanced capital expenditure	802	1,862

Full details of capital expenditure and explanations of variances from budget can be found within the Financial and Performance Monitoring Outturn Report also included on this agenda. The significant rise in capital expenditure between estimate and outturn relates to the initial costs (decant, design, survey) relating to Biart Place and an increase in housing acquisitions.

The Council undertakes capital expenditure on long term assets. These activities may either be:

- Financed immediately through the application of capital or revenue resources (capital receipts, capital grants, revenue contributions etc.), which has no resultant impact on the Council's borrowing need (although this does result in a loss of interest on resources which would otherwise be invested) or;
- If insufficient financing is available, or a decision is taken not to apply resources, the capital expenditure will give rise to a borrowing need (unfinanced capital expenditure, therefore resulting in an increase in interest costs and eventual loan repayment)

1.4 THE COUNCIL'S OVERALL BORROWING NEED

The Council's underlying need to borrow is called the **Capital Financing Requirement** (CFR). This figure is a gauge for the Council's debt position and represents 2018/19 and historic net capital expenditure which has not yet been charged to revenue. The process for charging this capital expenditure to revenue is a statutory requirement and is called the **Minimum Revenue Provision** (MRP)*. The Council has the option to charge more than the statutory MRP each year through Voluntary Revenue Provision (VRP). The Council's CFR for the year is shown below and represents a key prudential indicator. The total CFR can also be reduced by the application of additional capital resources (such as unapplied capital receipts.)

*In effect this is the amount required to be set aside for the eventual loan repayment.

Capital Financing Requirement	31 March 2019 Actual £'000	31 March 2019 Original Indicator £'000
Opening balance 1 st April 2018	84,733	83,056
Plus: unfinanced capital expenditure	802	1,862
Less: MRP/Repayment of Loan	(1,705)	(7,825)
Closing balance 31st March 2019	83,830	77,093

This table demonstrates that the Council's long-term borrowing need has increased from that predicted at the beginning of 2018/19. This is predominantly related to:

- Decision by Council (Dec 2018) to replace the voluntary repayment provision (VRP) from the Housing Revenue Account (HRA) in 2018/19 with a revenue contribution to capital investment balances in advance of forecast works relating to high rise blocks in Rugby.

Current and future estimated MRP and interest costs (updated from the most recent General Fund and HRA Medium Term Financial Plans) are detailed in the table below:

	2019/20 £'000	2020/21 £'000	2021/22 £'000
MRP/VRP (Debt repayments)	1,602	1,864	1,557
Net Cost of Borrowing (Interest repayments)	1,678	2,016	2,479
Revenue Contributions to Capital Outlay	112	285	838
Total Revenue Implications	3,392	4,165	4,874

The table shows a rising charge to revenue of direct capital expenditure based on current schemes and forecast programme costs. These values may change as a consequence of the rescheduling of HRA debt subject to refined estimates of works relating to high rise blocks in Rugby.

As explained in the 2018-22 Medium Term Financial Strategy, the Council agreed to taper its reliance on New Homes Bonus income within the core income budget, in order to achieve financial self-sufficiency.

Any additional allocations over and above the reported figures have been transferred and ringfenced for revenue contributions to capital outlay (RCCO) to reduce the reliance on borrowing to finance the General Fund capital programme.

The implication of the adoption of this policy, is that the Council will finance a greater proportion of its capital programme using revenue resources with an equivalent reduction in the proportion of the programme being financed by borrowing.

This has the effect of allowing the Council to eliminate the need to borrow to finance its core capital programme by 2022/23. Furthermore, the Council would also be able to make Voluntary Revenue Payments (VRP) from 2022/23 onwards, effectively meaning the Council will be making additional payments over and above its scheduled debt repayment. By continuing to make these overpayments the Council would eliminate the underlying debt for the General Fund by 2032, compared to an existing 2052 timeframe.

1.5 TREASURY POSITION AT 31st MARCH 2019

The table below shows a snapshot of the Council's position as at 31st March 2019 (not for the whole of 2018/19) compared with the previous year. This situation will of course change daily as investments are adjusted to meet cash flow requirements. The results for the year as a whole are shown below in 1.7.

	31/03/2019		31/03/2018	
	£'000	Average Rate (%)	£'000	Average Rate (%)
Borrowings:				
PWLB	35,821	2.8	43,421	2.6
Money Market	13,688	3.7	13,688	3.7
Local Authorities	44,000	1.3	42,000	1.0
Total Debt Outstanding	93,509	2.2	99,109	2.1
Investments:				
In house	69,629	1.4	65,860	1.2
Total Investments Outstanding	69,629		65,860	1.2

(PWLB = Public Works Loan Board)

1.6 BORROWING IN THE YEAR:

The movement in outstanding debt was £5.600m (including temporary borrowing) as shown below:

	£'000
Debt outstanding at 1 st April 2018	99,109
Borrowing in year	41,000
Less: Repayments in year (Inc. temporary borrowing)	46,600
Debt Outstanding at 31st March 2019	93,509

1.7 INVESTMENTS IN THE YEAR

1.7.1 Internally Managed Investments

The net movement in the year was an increase of £3.769m as shown below:

	£'000
Opening Balance at 1 st April 2018	65,860
Investments in year	216,059
Less: Repayments in year	212,290
Closing balance at 31st March 2019	69,629

Note that investments made, and subsequent repayments received, result from daily short-term activities.

1.7.2 Investment Performance for 2018/19

The returns achieved through the investment strategy undertaken by the Council are shown below:

	Average Investment	Rate of Return (Net of Fees)	Benchmark Return (3 Month LIBID Rate)	Original Estimate
	£m	%	%	%
Internally managed	83.483	1.14	0.67	0.35

1.8 Counterparty List

Appendix B contains the revised investment counterparty list for 2019/20. The list has been amended to facilitate the use of unrated corporate bonds and other products to a maximum of 5 years duration with a maximum £5m limit per transaction/counterparty. **Investments in these institutions and asset classes will only be undertaken following a review of risk/reward in consultation with the Council's treasury advisors.** Specific consideration will be given to factors including:

collateralisation, alternate asset classes, minimum term obligations, and potential impact of movement in asset valuations on Council balances. Where appropriate, criteria will be established to convene selection panels prior to the engagement of fund managers.

Accounting treatment of investments: The accounting treatment may differ from the underlying cash transactions arising from investment decisions made by the Council. To ensure that the Council is protected from any adverse revenue impact, which may arise from these differences, we will review the accounting implications of new transactions in conjunction with advisors, before they are undertaken.

TREASURY MANAGEMENT INDICATORS 2018/19

1. Security: average credit rating

To measure the security of its portfolio, the council compares the historic risk of default of its investments against a maximum target rate.

As an example, *based on historic data*, a AAA (least risk) rated investment has 0% chance of default within 1 year and a 0.05% chance of default within 3 years. A BBB+ (most risk) rated investment has a 0.24% chance of default within 1 year and a 1.21% chance of default within 3 years.

	Target	Actual
Historic risk of default	0.25% (max)	0.04%

2. Maturity structure of borrowing

This indicator is set to control the Council's exposure to refinancing risk – that all borrowing falls due for repayment at the same time. The maturity structure of fixed rate borrowing was:

	Upper Limit	Lower Limit	Actual
Under 12 months ^{1,2}	50	0%	21
12 months and within 24 months	50	0%	36
24 months and within five years	60	0%	22
Five years and within 10 years	60	0%	14
10 years to 20 years	75	0%	1
20 years to 30 years	75	0%	1
30 years to 40 years	75	0%	1
40 years +	75	0%	4

¹Includes temporary borrowing for cash flow purposes.

²The Council's repayment profile for HRA self-financing debt includes significant sums in forthcoming years meaning that the proportion of borrowing falling due within 1 year will increase in relation to the overall debt portfolio. The Upper Limit on this indicator was re-set to 50% in 2018/19 and future years to accommodate this situation and allow scope for increased use of temporary borrowing from other local authorities at below PWLB rates.

The maturity date of borrowing is the earliest date on which the lender can demand repayment.

3. Principal sums invested for periods longer than 364 days

The purpose of this indicator is to control the Council's exposure to the risk of incurring losses by seeking early repayment of its investments. It is used in conjunction with the liquidity indicator to ensure sufficient cash resources are available without penalty

during the short to medium term. The total principal sums invested to final maturities beyond the year end were:

	2018/19	2019/20	2020/21
Limit on principal invested beyond year end	£20m	£20m	£20m
Actual principal invested beyond year end	£15m	£7m	£2m

Appendix B

Approved counterparties: The Council may invest with any of the counterparty types in the table below; subject to the cash limits (per counterparty) and the time limits shown:

Credit Rating	Banks Unsecured	Banks Secured	Government	Corporate	Registered Providers
AAA	£5m 5 years	£10m 20 years	£10m 50 years	£5m 10 years	£5m 20 years
AA+	£5m 5 years	£10m 10 years	£10m 25 years	£5m 7 years	£5m 10 years
AA	£5m 4 years	£10m 5 years	£10m 15 years	£5m 5 years	£5m 10 years
AA-	£5m 3 years	£10m 4 years	£10m 10 years	£5m 5 years	£5m 10 years
A+	£5m 2 years	£10m 3 years	£10m 5 years	£5m 5 years	£5m 5 years
A	£5m 13 months	£10m 2 years	£10m 5 years	£5m 5 years	£5m 5 years
A-	£5m 6 months	£10m 13 months	£10m 5 years	£5m 5 years	£5m 5 years
None	£3m 6 months	n/a	n/a	£5m 5 years	£5m 3 year
UK Govt	Central government: £unlimited 50 years UK Local Authority: £10m 10 years				
Pooled Funds and real estate investment trusts			£5m per Fund or Trust		

This table must be read in conjunction with the notes below.

Credit Rating: Investment limits are set with reference to the lowest published long-term credit rating from Fitch, Moody's or Standard & Poor's. Where available, the credit rating relevant to the specific investment or class of investment is used, otherwise the counterparty credit rating is used. However, investment decisions are never made solely based on credit ratings, and all other relevant factors including external advice will be taken into account.

Banks Unsecured: Accounts, deposits, certificates of deposit and senior unsecured bonds with banks and building societies, other than multilateral development banks. These investments are subject to the risk of credit loss via a

bail-in should the regulator determine that the bank is failing or likely to fail. See below for arrangements relating to operational bank accounts.

Banks Secured: Covered bonds, reverse repurchase agreements and other collateralised arrangements with banks and building societies. These investments are secured on the bank's assets, which limits the potential losses in the unlikely event of insolvency, and means that they are exempt from bail-in. Where there is no investment specific credit rating, but the collateral upon which the investment is secured has a credit rating, the highest of the collateral credit rating and the counterparty credit rating will be used to determine cash and time limits. The combined secured and unsecured investments in any one bank will not exceed the cash limit for secured investments.

Building Societies: Although the regulation of building societies is no longer any different to that of banks the Council takes additional comfort from building societies' business model. The Council will therefore consider investing with unrated building societies where independent credit analysis shows them to be suitably creditworthy. A minimum asset size of £250m applies and limits of £3m per Society and £12m in total apply for unrated societies

Government: Loans, bonds and bills issued or guaranteed by national governments, regional and local authorities and multilateral development banks. These investments are not subject to bail-in, and there is an insignificant risk of insolvency. Investments with the UK Central Government may be made in unlimited amounts for up to 50 years and with a UK local government body up to £6m for up to 10 years. The Council is confident that as a sector local authorities are secure investments in the context of support from Central Government and the legal surcharging framework that guarantees debts will be paid. However, for any investment over six months the financial resilience of the relevant council will be assessed.

Corporates: Loans, bonds and commercial paper issued by companies other than banks and registered providers. These investments are exposed to the risk of the company going insolvent. Investments in these institutions and asset classes will only be undertaken following a review of risk/reward in consultation with the Council's treasury advisors. Specific consideration will be given to factors including: collateralisation, alternate asset classes, minimum term obligations, and potential impact of movement in asset valuations on Council balances. Where appropriate, criteria will be established to convene selection panels prior to the engagement of fund managers.

Registered Providers: Loans and bonds issued by, guaranteed by or secured on the assets of Registered Providers of Social Housing, formerly known as Housing Associations. These bodies are tightly regulated by the Homes and Communities Agency and, as providers of public services; they retain the likelihood of receiving government support if needed.

Pooled Funds: Shares in diversified investment vehicles consisting of the any of the above investment types, plus equity shares and property. These funds have the advantage of providing wide diversification of investment risks, coupled with the services of a professional fund manager in return for a fee. Short-term Money Market Funds that offer same-day liquidity and very low or no volatility will be used as an alternative to instant access bank accounts, while pooled funds whose value changes with market prices and/or have a notice period will be used for longer investment periods.

Bond, equity and property funds offer enhanced returns over the longer term but are more volatile in the short term. These allow the Council to diversify into asset classes other than cash without the need to own and manage the underlying investments. Because these funds have no defined maturity date, but are available for withdrawal after a notice period, their performance and continued suitability in meeting the Council's investment objectives will be monitored regularly. These types of funds were introduced in 2013/14 and have provided increased yield although their capital value has shown some volatility requiring continued monitoring. This class of pooled funds are subject to their own specific limits and in view of the possible level of investments in the longer term they have been increased to give the Council reasonable investment options.

Real estate investment trusts (REITs): Shares in companies that invest mainly in real estate and pay the majority of their rental income to investors in a similar manner to pooled property funds. As with property funds, REITs offer enhanced returns over the longer term, but are more volatile especially as the share price reflects changing demand for the shares as well as changes in the value of the underlying properties. This is a new category that sits alongside Pooled Funds. The Council will carry out detail appraisal and take advice before any possible investment. As these trusts are subject to volatility and are new instrument to the Council a limit of £1m is set for them.

Name of Meeting: Cabinet
Date of Meeting: 24 June 2019
Subject Matter: Treasury Management Outturn Report 2018/19
Originating Department: Corporate Resources

DO ANY BACKGROUND PAPERS APPLY YES NO

LIST OF BACKGROUND PAPERS

Doc No	Title of Document and Hyperlink

The background papers relating to reports on planning applications and which are open to public inspection under Section 100D of the Local Government Act 1972, consist of the planning applications, referred to in the reports, and all written responses to consultations made by the Local Planning Authority, in connection with those applications.

Exempt information is contained in the following documents:

Doc No	Relevant Paragraph of Schedule 12A

AGENDA MANAGEMENT SHEET

Report Title: Members' Allowances 2018/19

Name of Committee: Cabinet

Date of Meeting: 24 June 2019

Report Director: Head of Corporate Resources and CFO

Portfolio: Corporate Resources

Ward Relevance: N/A

Prior Consultation: N/A

Contact Officer: David Phelan, Senior Finance Officer

Public or Private: Public

Report Subject to Call-In: Yes

Report En-Bloc: Yes

Forward Plan: Yes

Corporate Priorities: This report relates to the following priority(ies):

(CR) Corporate Resources To provide excellent, value for money services and sustainable growth

(CH) Communities and Homes Achieve financial self-sufficiency by 2020

(EPR) Environment and Public Realm Enable our residents to live healthy, independent lives

(GI) Growth and Investment Optimise income and identify new revenue opportunities (CR)

Prioritise use of resources to meet changing customer needs and demands (CR)

Ensure that the council works efficiently and effectively (CR)

Ensure residents have a home that works for them and is affordable (CH)

Deliver digitally-enabled services that residents can access (CH)

Understand our communities and enable people to take an active part in them (CH)

Enhance our local, open spaces to make them places where people want to be (EPR)

Continue to improve the efficiency of our waste and recycling services (EPR)

Protect the public (EPR)

- Promote sustainable growth and economic prosperity (GI)
- Promote and grow Rugby's visitor economy with our partners (GI)
- Encourage healthy and active lifestyles to improve wellbeing within the borough (GI)
- This report does not specifically relate to any Council priorities but

Statutory/Policy Background:

Summary: The Local Authorities (Members' Allowances) (England) Regulations 2003 require each local authority to publish details of allowances paid to each councillor for the previous financial year. The report details allowances claimed for 2018/19 financial year.

Financial Implications: The maximum amounts able to be claimed by councillors for basic allowance, special responsibility allowance and travel and subsistence are stipulated in the Members' Allowance Scheme.

Risk Management Implications: All claims made by councillors are rigorously checked for accuracy and compliance with the Council's Members' Allowance Scheme.

Environmental Implications: N/A

Legal Implications: The Members' Allowance Scheme is required to comply with the Local Authorities (Members' Allowances) (England) Regulations 2003.

Equality and Diversity: N/A

Options: N/A

Recommendation: The allowances claimed by Members for 2018/19 as detailed at Appendix 1 to the report, be noted.

Reasons for Recommendation: To satisfy the legislative requirement to publish the list of allowances claimed.

Cabinet - 24 June 2019

Members' Allowances 2018/19

Public Report of the Head of Corporate Resources and CFO

Recommendation

The allowances claimed by Members for 2018/19, as detailed at Appendix 1 to the report, be noted.

1. Introduction

The Local Authorities (Members' Allowances) (England) Regulations 2003 require each local authority to publish details of allowances paid to each councillor for the previous financial year.

The required information for 2018/19 financial year is shown in Appendix 1. A list of details of all special responsibility allowances for this financial year is attached in Appendix 2.

2. Allowances Paid

The amounts paid to councillors include basic allowance and special responsibility allowance (if applicable).

Councillors can also claim travel and subsistence allowances for meetings and conferences as determined by the Council. However, these amounts may vary as:

- i) Some councillors prefer not to claim these allowances
- ii) They are often dependent on the frequency of journeys a councillor undertakes; and
- iii) They are dependent on how far councillors have to travel from their homes to the Town Hall

Name of Meeting: Cabinet
Date of Meeting: 24 June 2019
Subject Matter: Members' Allowances 2018/19
Originating Department: Corporate Resources

DO ANY BACKGROUND PAPERS APPLY YES NO

LIST OF BACKGROUND PAPERS

Doc No	Title of Document and Hyperlink

The background papers relating to reports on planning applications and which are open to public inspection under Section 100D of the Local Government Act 1972, consist of the planning applications, referred to in the reports, and all written responses to consultations made by the Local Planning Authority, in connection with those applications.

Exempt information is contained in the following documents:

Doc No	Relevant Paragraph of Schedule 12A

Members' Allowances 2018/19

Councillor Surname	Councillor Forename	Ward	Basic Allowance	Special Resp Allowance	Carers' Allowance	Car Parking Fees	Mileage NT / Rugby Casual	Passenger NT / Rugby Casual	Subsistence	Travel-Conf	Travel Normal	Broadband & Landlines	Tablets & Mobile Phones	Total
A'Barrow	Julie	Bilton	£6,688.08			£25.00								£6,713.08
Allen	Nigel	Hillmorton	£611.28									£59.16		£670.44
Avis	Tina	New Bilton	£6,688.08			£25.00						£151.56		£6,864.64
Bearne	Andrew	Wolston & The Lawfords	£6,004.89			£25.00				£11.40				£6,041.29
Brader	Michael	New Bilton	£6,688.08											£6,688.08
Bragg	Sally	Wolston & The Lawfords	£6,688.08			£25.00						£255.24	£132.00	£7,100.32
Brown	Kieren	Newbold & Brownsover	£6,688.08			£25.00								£6,713.08
Butlin	Peter	Admirals & Cawston	£6,688.08			£25.00								£6,713.08
Cade	Christopher	Bilton	£6,688.08	£3,903.00		£25.00	£116.10		£4.80	£82.10		£119.88		£10,938.96
Crane	Emma	Leam Valley	£6,688.08	£5,573.28		£25.00								£12,286.36
Cranham	David	Hillmorton	£6,688.08			£25.00								£6,713.08
Douglas	Timothy	Paddock	£6,688.08			£25.00								£6,713.08
Dudfield	Paul			£3,222.00										£3,222.00
Dumbleton	Carie-Anne	Rokeby & Overslade	£6,688.08											£6,688.08
Edwards	Claire	Newbold & Brownsover	£6,688.08	£3,343.92		£25.00						£406.80		£10,463.80
Ellis	David	Wolston & The Lawfords	£611.28									£15.03		£626.31
Eves	John			£1,373.04										£1,373.04
Garcia Maures	Belinda	Revel & Binley Woods	£6,688.08	£464.66		£25.00								£7,177.74
Gillias	Anthony	Revel & Binley Woods	£6,556.92			£25.00						£406.80		£6,988.72
Hunt	Leigh	Clifton, Newton & Churchover	£6,688.08			£25.00						£323.76		£7,036.84
Keeling	Dale	Admirals & Cawston	£6,688.08			£25.00						£526.00		£7,239.08
Lawrence	Kathryn	Hillmorton	£6,688.08			£25.00								£6,713.08
Lewis	Bill	Rokeby & Overslade	£6,688.08			£25.00								£6,713.08
Lowe	Sebastian	Coton & Boughton	£6,688.08	£4,582.47		£25.00								£11,295.55
Mahoney	Thomas	Benn	£6,688.08	£2,323.30								£406.80		£9,418.18
McQueen	Craig	Eastlands	£6,004.89			£25.00								£6,029.89
Mistry	Ish	New Bilton	£6,688.08			£25.00								£6,713.08
Nash	Marion	Rokeby & Overslade	£6,688.08			£25.00						£80.04		£6,793.12
New	Noreen	Paddock	£6,688.08			£25.00						£467.44		£7,180.52
O'Rourke	Margaret	Benn	£6,688.08			£25.00						£151.56		£6,864.64
Pacey-Day	Christopher	Wolvey & Shilton	£6,492.00			£25.00								£6,517.00
Parker	Lisa	Bilton	£6,688.08	£5,573.28	£487.42	£25.00						£421.93	£132.00	£13,327.71
Picker	Ian	Hillmorton	£6,004.89			£25.00								£6,029.89
Poole	Derek	Wolston & The Lawfords	£6,688.08	£541.44		£25.00						£75.77	£696.14	£8,026.43
Robbins	Carolyn	Coton & Boughton	£6,688.08	£5,573.28		£25.00						£255.24	£132.00	£12,673.60
Roberts	Deepah	Dunsmore	£6,688.08								£35.85			£6,723.93
Roberts	Howard	Dunsmore	£6,688.08			£25.00	£37.80	£1.75				£129.00		£6,881.63
Roodhouse	Susan	Eastlands	£6,688.08											£6,688.08
Roodhouse	Jerry	Paddock	£6,688.08	£2,787.96		£25.00				£66.50		£322.68		£9,890.22
Sandison	Neil	Eastlands	£6,688.08	£3,343.92								£406.80		£10,438.80
Shera	James	Benn	£6,688.08									£556.94		£7,245.02
Simpson-Vince	Jill	Coton & Boughton	£6,688.08	£3,903.00	£245.39	£25.00								£10,861.47
Srivastava	Ramesh	Newbold & Brownsover	£6,688.08			£25.00						£324.00		£7,037.08
Stokes	Michael	Admirals & Cawston	£6,227.04	£17,152.80		£25.00						£406.80	£44.00	£23,855.64
Timms	Heather	Revel & Binley Woods	£6,688.08	£809.02		£25.00								£7,522.10
Watson-Merret	Carolyn	Dunsmore	£6,688.08			£25.00						£541.12		£7,254.20
Williams	Mark	Admirals & Cawston	£611.28									£95.10		£706.38
Total			£279,895.35	£64,470.37	£732.81	£875.00	£153.90	£1.75	£4.80	£160.00	£35.85	£6,905.45	£1,136.14	£354,371.42

Special Responsibilities**1 April 2018 – 31 March 2019**

The scheme also entitles those Members undertaking special responsibilities to be paid a special responsibilities allowance, subject to any part-year provisions.

Cllr M T Stokes	Leader of the Council, Leader of the Conservative Group, Chairman of Cabinet
Cllr Mrs E Crane	Communities and Homes Portfolio Holder
Cllr Mrs L A Parker	Environment and Public Realm Portfolio Holder
Cllr Ms C A Robbins	Corporate Resources Portfolio Holder
Cllr S Lowe	Growth and Investment Portfolio Holder
Cllr Mrs H M Timms	Growth and Investment Portfolio Holder (in post until 4 June 2018)
Cllr Ms C Edwards	Leader of the Labour Group, Chair of Brooke Overview and Scrutiny Committee
Cllr J M Roodhouse	Leader of the Liberal Democrat Group
Cllr D Poole	Chairman of Appeals Committee
Cllr C M Cade	Chairman of Licensing and Safety Committee
Cllr Mrs J B Simpson-Vince	Chairman of Planning Committee
Cllr N J Sandison	Chair of Whittle Overview and Scrutiny Committee
Cllr T Mahoney	Mayor 2018/19
Cllr Mrs B Garcia	Mayor 2017/18
Mr P Dudfield	Chairman of Audit and Ethics Committee
Mr J Eves	Vice-Chairman of Audit and Ethics Committee

Councillors are not entitled to claim more than one special responsibility allowance. If a member holds more than one post in receipt of a special responsibility allowance, the higher allowance is assumed.