



6 September 2024

CABINET – 16 SEPTEMBER 2024

A meeting of Cabinet will be held at 6.00pm on Monday 16 September 2024 in the Council Chamber at the Town Hall, Rugby.

Members of the public may also view the meeting via the livestream available on the Council's website.

Mannie Ketley
Chief Executive

A G E N D A PART 1 – PUBLIC BUSINESS

1. Minutes.

To confirm the minutes of the meeting held on 1 July 2024.

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: Councillors 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 Councillor 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 Councillor does not need to declare this interest unless the Councillor chooses to speak on a matter relating to their membership. If the Councillor does not wish to speak on the matter, the Councillor may still vote on the matter without making a declaration.

4. Question Time.

Notice of questions from the public should be delivered in writing or by e-mail to the Chief Executive at least three clear working days prior to the meeting (no later than Tuesday 10 September 2024).

Growth and Investment, Digital and Communications Portfolio

5. UK Government Funded Spend (UKSPF) 2024/25.
6. Town Centre Regeneration Progress Update.
7. Confirmation of Article 4 Direction – Houses in Multiple Occupation.
8. Development Management Service Review Update.

Partnerships and Wellbeing Portfolio

9. Rugby Art Gallery and Museums Forward Plan and Operational Policies 2024-2028.
10. Rugby Borough's Olympic and Paralympic Athletes.

Finance, Performance, Legal and Governance Portfolio

11. Finance and Performance Monitoring – Quarter 1 2024/25.
12. Initial Review of General Fund Budget 2025/26.
13. Treasury Management 2023/24 – Annual Report.
14. Appointment of Working Groups 2024/25.
15. Regulatory of Investigatory Powers Act 2000 (RIPA) Policy.

Communities, Homes, Regulation and Safety Portfolio

16. The Regulatory Framework for Social Housing.
17. Support for council tenants in paying their rent.
18. The impact of the Voluntary and Community Sector organisations funded by the Council in 2023/24.

Operations and Traded Services Portfolio

Nothing to report to this meeting

Organisational change 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

Nothing to report to this meeting.

PART 2 – EXEMPT INFORMATION

There is no business involving exempt information to be considered.

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

The Reports of Officers are attached.

Membership of Cabinet:

Councillors Moran (Chair), Brown, C Edwards, Livesey, Mistry, O'Rourke and Robinson.

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 and Support Services Manager (01788 533524 or e-mail claire.waleczek@rugby.gov.uk). Any specific queries concerning reports should be directed to the listed contact officer.

AGENDA MANAGEMENT SHEET

Report Title:	UK Shared Prosperity Fund (UKSPF) Year 3 Spend
Name of Committee:	Cabinet
Date of Meeting:	16 September 2024
Report Director:	Chief Officer- Growth and Investment
Portfolio:	Growth and Investment, Digital and Communications
Ward Relevance:	All Wards
Prior Consultation:	Internal consultation with Leadership Team, Finance, Corporate Performance and Risk and Equalities, Local Partnership Group.
Contact Officer:	Helen Nightingale – Major Projects and Regeneration Manager
Public or Private:	Public
Report Subject to Call-In:	No
Report En-Bloc:	No
Forward Plan:	Yes
Corporate Priorities:	This report relates to the following priorities: <input checked="" type="checkbox"/> Rugby is an environmentally sustainable place, where we work together to reduce and mitigate the effects of climate change. (C) <input checked="" type="checkbox"/> Rugby has a diverse and resilient economy that benefits and enables opportunities for all residents. (E) <input type="checkbox"/> Residents live healthy, independent lives, with the most vulnerable protected. (HC) <input checked="" type="checkbox"/> Rugby Borough Council is a responsible, effective and efficient organisation. (O) Corporate Strategy 2021-2024 <input type="checkbox"/> This report does not specifically relate to any Council priorities but
(C) Climate (E) Economy (HC) Health and Communities (O) Organisation	
Summary:	The purpose of this report is to make recommendations for the allocation of the remaining proportion of UK Shared Prosperity

Fund, and requires to be spent by 31st March 2025.

Financial Implications:

The additional capital spend of £0.055m for the Business and Community Hub and £0.750m for the Rugby College Electric Vehicle centre, as outlined in the report, will be added to the capital programme for 2024/25, to be fully funded from UKSPF grant. The revenue virement of £0.058m to administration and management will allow the grants to be delivered and monitored by 31/03/2025.

Risk Management/Health and Safety Implications:

The projects identified in the report will need to be delivered by the end of March 2025. By not completing the projects in time would result in the Council having to return unspent funds to Government.

Environmental Implications:

A Climate Change and Environment Impact Assessment has been completed and is attached as Appendix 1. There is positive impact on energy usage, sustainable transport/travel, sustainable procurement and community leadership.

Legal Implications:

None as a direct result of this report.

Equality and Diversity:

An Equality Impact Assessment has been completed and is attached as Appendix 2 and it will have a positive impact on people with disabilities, younger people and gender.

Options:

Option 1

Agree to the spend and recommendations as set out in the report

Option 2

Not agree the spend and recommendations as set out in the report

Recommendation:

IT BE RECOMMENDED TO CABINET THAT –

1. A supplementary capital budget of £0.055m for the Business and Community Hub be approved and added to the general fund capital programme for 2024/25, to be fully funded from UKSPF grant; and
2. A general fund revenue virement of £0.058m from town centre public realm improvements to cover additional

management and administration costs for 2024/25, to be fully funded from UKSPF grant.

IT BE RECOMMENDED TO COUNCIL THAT-

3. Delegated authority be given to the Chief Officer for Finance and Performance in consultation with the Chief Officer for Growth and Investment to make any other minor changes to spend to ensure all money is spent by the end of the financial year 2024/2025;
4. A supplementary capital budget of £0.750m for the Rugby College Electric Vehicle Centre be approved and added to the general fund capital programme for 2024/25, to be fully funded from UKSPF grant; and
5. Delegated authority for the Chief Officer for Growth and Investment to enter into any necessary legal or funding agreements in relation to the Rugby College Electric Vehicle Centre

**Reasons for
Recommendation:**

To enable the Borough Council to use the funding provided by Government to deliver schemes which also deliver the aims of the Council's Corporate Strategy.

Cabinet - 16 September 2024

UK Shared Prosperity Fund (UKSPF) Year 3 Spend

Public Report of the Chief Officer – Growth and Investment

Recommendation

IT BE RECOMMENDED TO CABINET THAT-

1. A supplementary capital budget of £0.055m for the Business and Community Hub be approved and added to the general fund capital programme for 2024/25, to be fully funded from UKSPF grant; and
2. A general fund revenue virement of £0.058m from town centre public realm improvements to cover additional management and administration costs for 2024/25, to be fully funded from UKSPF grant.

IT BE RECOMMENDED TO COUNCIL THAT –

3. Delegated authority be given to the Chief Officer for Finance and Performance in consultation with the Chief Officer for Growth and Investment to make any other minor changes to spend to ensure all money is spent by the end of the financial year 2024/2025;
4. A supplementary capital budget of £0.750m for the Rugby College Electric Vehicle Centre be approved and added to the general fund capital programme for 2024/25, to be fully funded from UKSPF grant; and
5. Delegated authority for the Chief Officer for Growth and Investment to enter into any necessary legal or funding agreements in relation to the Rugby College Electric Vehicle Centre.

1. EXECUTIVE SUMMARY

- 1.1 The UK Shared Prosperity Fund (UKSPF) was introduced across a three-year period of 2022-2025. This report sets out projects the Council will undertake to 31 March 2025 using the remaining unallocated capital funds of £0.886m. The Council has already agreed £2.167m of the three-year fund, which totals £3.053m.
- 1.2 One capital project detailed in this report is contributing £0.750m to Rugby College, part of Warwickshire College Group, to create the Rugby Electric Vehicle (EV) Centre. The EV Centre will give a focus to the transition to a lower carbon economy for Rugby and enable local residents and businesses to access a range of training programmes, upskilling, building capacity and

enabling the whole community to achieve the aspirations of Rugby Net Zero and Rugby Borough Council's Climate Change Strategy.

- 1.3 The Council was required to submit an Investment Plan and Expenditure Profile for the three year period between 2022 and 2025 to Government in August 2022. It was agreed by Council 19 July 2022 the split of the yearly funds across the three investment priorities, Communities and Place, Supporting Local Business and People and Skills. It is recommended that the remaining £0.040m of the capital funds, allocated against investment priority 'Supporting Local Business' in the Investment Plan, plus £0.015m of unspent capital from a reporting inaccuracy to Ministry of Housing, Communities and Local Government (MHCLG) in Year 1 return be transferred to the Business and Community Hub scheme, increasing the budget to £0.255m. The final costings have taken into account further works to improve the entrance experience and enlargement of interview rooms to ensure they are accessible to all.
- 1.4 In addition to this, based on previous government guidance, the 4% administration and management fee has previously been calculated based on the revenue allocation only rather than the whole allocation both revenue and capital. Based on the most up to date advice from Government the 4% administration and management fee can be applied to the whole allocation so this transfer meets the terms of the fund. It is recommended that the £0.058m be used to cover the administration of the fund in year 3 and to provide additional resource to review and administer grants for businesses, sports and community groups.
- 1.5 £0.096m of capital remains unallocated. A further report will be brought for approval in October once details are finalised. Any of the UKSPF that is not spent by 31 March 2025 will need to be returned to Government.

2. BACKGROUND

- 2.1 In April 2022 the previous government announced a new fund to support its levelling up agenda between 2022 and 2025. The UK Shared Prosperity Fund (UKSPF) is a three-year fund to replace the monies which previously came from the European Union such as the European Social Fund (ESF) and European Regional Development Fund (ERDF).
- 2.2 UKSPF is centred around three investment priorities Community and Place, Supporting Local Business and People and Skills.
- 2.3 The Council's Government Funding allocation for each year between 2022 and 2025 is as follows:

Year 1 22/23	£0.371m
Year 2 23/24	£0.741m
Year 3 24/25	£1.941m
- 2.4 The Council has agreed to spend £2.167m of the total £3.053m across the three years of the fund. This report recommends further projects to allocate £0.790m of the remaining £0.886m capital funds as well as reallocate £0.058m from

underspend on previously allocated town centre public realm improvements to support the delivery, monitoring and management of grants available to Rugby communities, residents and businesses.

3 YEAR 3 PROJECTS FUNDED BY GOVERNMENT THROUGH UKSPF

3.1 The funding allocated for Year 3 is £1.941m, £1.055m of which has been allocated as per previous Council reports leaving the remaining £0.886m of capital funds to be allocated.

3.2 The below projects outline the recommended spend of £0.790m of the remaining £0.886m.

Electric Vehicle Centre – Rugby College

3.3 Warwickshire College Group (WCG) is responding to the West Midlands and Warwickshire Local Skills Improvement Plan (LSIP) and other local and national priorities, including Rugby Borough Council's Climate Change Strategy and UK Shared Prosperity Fund Implementation Plan, by establishing a green skills focus, alongside their existing construction, engineering and motor vehicle provision, at Rugby College.

3.4 To achieve this WCG has identified two projects:

- A Sustainable Construction Centre at Rugby College, funded through the Local Skills Improvement Fund in September 2024; and
- The Rugby Electric Vehicle Centre in September 2025.

3.5 WCG is confident that establishing a green and sustainable skills focus at Rugby College will have far reaching benefits for students, the local community and the broader automotive industry by:

Meeting industry demand – there is a growing demand for skilled technicians who can service and maintain EVs. Offering training programmes can help meet this demand and provide students with valuable skills sought after by employers.

Economic growth – A focus on green and sustainable technologies including EV could contribute to attracting investment and fostering innovation within the Borough.

Creating job opportunities – Warwickshire is home to many automotive companies' supply chains and by having skilled technicians in the region could attract additional investment and businesses to the area, creating further job opportunities.

Environmental impact – EV are a component of combating climate change and by training technicians in EV technology, Rugby College would contribute to the adoption and maintenance of eco-friendly transportation options.

Community engagement – By offering programmes that align with current industry trends, this demonstrates the college's response to societal needs and its commitments to providing relevant education and training. The College also hope to raise awareness amongst the local community of green and sustainable technologies through education.

Partnerships and collaboration – Partnering with EV manufacturers, automotive companies and other stakeholders that would enhance the College’s curriculum and resources.

- 3.6 WCG is seeking £0.845m to carry out a reorganisation of underutilised facilities with the objective of creating physical space within the existing college for a larger vehicle workshop including a dedicated Electric Vehicle (EV) Centre. However, it is proposed that the Council contributes £0.750m to the project, which is also being partly funded by LSIP and other means.
- 3.7 The new EV centre will, alongside the Sustainable Construction Centre, give vital focus to the transition to a lower carbon economy for Rugby. The local community, residents and businesses will be able to access a range of training programmes and upskilling, building capacity and enabling the whole community to achieve the aspirations of Rugby Net Zero and Rugby Borough Council’s Climate Change Strategy. Currently there is no such facility in Rugby to upskill local people with nearest facilities being either in Warwick, Coventry or Wolverhampton.
- 3.8 This project will also support the achievement of the objectives of the UK Shared Prosperity Fund (UKSPF) within the “People and Skills” priority, in particular supporting interventions:
- E37: Tailored support to help people in employment, who are not supported by mainstream provision to address barriers to accessing education and training courses.
 - E40: Retraining support for those in high carbon sectors
- 3.9 Table 2 below forecasts the number of people who would be supported through the below interventions which is between 300-400 people in the first five years of opening.

Table 2: UKSPF intervention output forecast

Intervention	Y1	Y2	Y3	Y4	Y5	Total
<i>E37: Tailored support to help people in employment, who are not supported by mainstream provision to address barriers to accessing education and training courses.</i>						
Justification: Barrier to accessing training in Rugby District is the lack of available training facilities in the local area. The lack of available training courses means that potential learners are also unable to access Government funding/support for their training creating another barrier. This project will provide a high quality training facility, close to Rugby town centre, easily accessible by car (free parking available), via local bus routes and located close to Rugby train station. By opening a new facility in Rugby District, WCG will be able to offer additional courses funded through AEB, Skills Bootcamps, Free Courses for Jobs and other appropriate programmes (subject to eligibility) as well as offering short courses on a commercial basis.						
Number of people supported to participate in education	60	75	90	90	120	435
Number of people gaining qualifications, licences and skills	50	60	75	75	100	360
<i>E40: Retraining support for those in high carbon sectors</i>						
Justification: This project will create a facility focused on green skills and in particular supporting the transition to low carbon skills from high carbon skill areas. Currently, the motor vehicle and construction industries are still high carbon sectors. However, the transition to net zero is progressing quickly with industries increasingly changing through electrification. This project will give Rugby College the capacity to provide vital retraining for employees within traditional businesses to embrace electrification. For example, retaining technicians at local garages to maintain and repair EVs or tradespeople to install EV charging points or solar panels.						
Number of people retraining	40	50	75	75	100	340

Business and Community Hub

- 3.10 Council approved £0.254m (£0.200m capital and £0.054m revenue) of UKSPF in March 2024 for the creation of a Business and Community Hub. The £0.200m capital was for the physical reconfiguration of the Council's reception area to accommodate the Business and Community Hub, which will offer support for entrepreneurs and start-ups through early stages of development and growth by offering a combination of services including account management, advice, training, coaching, mentorship and access to workspace.
- 3.11 Following Council approval, plans have been advanced to accommodate the Business and Community Hub, which is at risk of compromising services offered in our current reception area. Therefore, taking into account the needs of the Council's customers, plans now include improvements to the reception entrance doorway, changes to interview rooms making them accessible to all and enabling the utilisation of underused space to provide more room for customer/staff interactions, without which would have compromised the ability to deliver both an adequate customer service and the Business and Community Hub.
- 3.12 The revisions to the plans have resulted in an increase in the overall cost of the project and it is therefore recommended that the existing unallocated capital funds of £0.040m under the second UKSPF priority (Supporting Businesses), and £0.015m of unspent capital from a reporting inaccuracy to MHCLG in a Year 1 return is used to support the additional budgetary pressures of the previously approved Business and Community Hub scheme in line with intervention priority E24:

Funding for new and improvements to existing training hubs, business support offers, 'incubators' and 'accelerators' for local enterprise (including social enterprise) which can support entrepreneurs and start-ups through the early stages of development and growth by offering a combination of services including account management, advice, resources, training, coaching, mentorship and access to workspace.

- 3.13 The project was originally planned to be completed by September 2024, however due to the detailed design work and the need to make further changes, it is anticipated the works will be completed by the end of October with the Business and Community Hub being operational by end of November 2024.
- 3.14 The contract with the operator of the business hub is currently being finalised which will include key deliverables over the two year trial period. An update will be provided to Council, following the completion of the first year, which will set out progress on these deliverables.

4 DELIVERY, MONITORING AND MANAGEMENT OF EXISTING GRANTS

- 4.1 During the evolution of the UKSPF grant there has also been differing views given by MHCLG as to how the 4% admin fee should be accounted for. Advice given in year 1 was that the administration fee could only be calculated on the basis of the revenue allocation however this advice has now changed so it applies against the whole fund both revenue and capital. This new advice provides the opportunity for the re-allocation of funds.

- 4.2 The Council previously approved £0.114m to fund improvements to the town centre such as, street furniture upgrades, improved car park signage and works towards the traffic regulation order for High Street and Sheep Street in October 2023.
- 4.3 In December 2023 the Council commissioned a Public Realm Masterplan to review the entire public realm across Rugby Town centre with the objective of it producing improvement schemes and zones, a material and street furniture pallet, improved wayfinding and reconfiguration of some areas of public realm. The emerging work demonstrates that undertaking the initially approved schemes in October 2023 would be premature in advance of a holistic masterplan, knitting the public realm together.
- 4.4 As there are no short-term public realm projects in the pipeline that can utilise the remaining £0.058m of the originally allocated £0.114m revenue budget in time for 31 March 2025, due to the public realm masterplan being developed, it is proposed to be use £0.058m to deliver, monitor and engage in the various UKSPF grants currently available for the community, sports clubs and businesses of Rugby. Additional resources have been put in place to enable these grant to be delivered the cost of which would be covered by the administration fee of the fund.
- 4.5 Table 1 below shows an overview UKSPF budgets for 2024/25. Of the Council's total UKSPF allocation of £3.053m, £0.790m had been spent at 31/03/2024 as detailed in the July 2024 report to Council. The remaining budget for 2024/25 of £2.263m is summarised below.

Table 1: Proposed UK Shared Prosperity Fund (UKSPF) 2024/25 Budget

UKSPF Scheme Year	Total Budget 2024/25 £000	Allocated Budget 2024/25 £000	Unallocated Budget 2024/25 £000
1	8	8	
2	314	314	
3	1,941	1,845	96
Total	2,263	2,167	96

- 4.6 The allocated budget amount of £2.167m shown in the table above includes the schemes already approved by Cabinet and Council previously plus the capital schemes of £0.750m and £0.055m (£0.040m unallocated capital and £0.015m capital remaining from year 1 as detailed within 3.12) which are subject to approval in this report.
- 4.7 This leaves £0.096m of capital unallocated. A further report will be brought for approval of this in October once details are finalised.

5 Financial Implications

- 5.1 In order to ensure that the UKSPF revenue and capital grants are fully utilised by the deadline of 31/03/2025, the following approvals are requested within this report. All spend is to be funded from UKSPF grants.
- 5.2 A supplementary capital budget of £0.750m is requested within the recommendations of this report as a contribution to Rugby College for them to develop an EV centre. This is a new scheme to add to the capital programme for 2024/25. Further details are within sections 3.3-3.9.
- 5.3 A supplementary capital budget of £0.055m is requested within the recommendations of this report as an additional budget to the existing capital scheme for 2024/25 for the Business and Community hub, located within the reception area of the Town Hall. Further details are within sections 3.10-3.13.
- 5.4 Reallocation of £0.058m revenue grant is requested for 2024/25 from town centre public realm improvements, for which proposals are not yet ready to proceed, to cover additional administration and management support of the scheme, as detailed within sections 4.1-4.4.

6 Options Available

- 6.1 Taking the above into account, two options are proposed for consideration by Council, namely:

Option 1

Agree to the spend and recommendations as set out in the report

Option 2

Not agree the spend and recommendations as set out in the report

7 Conclusion and Recommendations

- 7.1 All projects outlined in this report are in accordance with the aspirations of the UKSPF investment priorities and are being carried out by officers to ensure the UK shared prosperity fund is spent in Rugby to create a better place to live, do business and visit.
- 7.2 Any variances are consulted on with the Local Partnership Groups before receiving approval from the Chief Officer for Growth and Investment and the Chief Officer for Finance and Performance.
- 7.3 The Council is yet to allocate the final capital funds of a value of £0.096m. The proposed spend of this remaining amount will be brought back to Council later this year.

Rugby Borough Council

Climate Change and Environmental Impact Assessment

Rugby Borough UK Shared Prosperity Fund Year 3 Spend

CONTEXT

In 2019 the UK Parliament set a commitment in law to reach net zero carbon emissions by 2050. Achieving this target will require considerable effort with public bodies, private sector organisations, the third sector and individuals working together to take action. Rugby Borough Council declared a climate emergency in 2019, in doing so committed to:

- To move the Council's operations towards Carbon Neutrality by 2030.
- To establish action to tackle climate change as a key driver of all decision-making.
- To provide community leadership in reducing the impact of Climate Change.
- To take action to mitigate the impact of climate change on a Borough wide basis and beyond, through adaptation.

The Council's Corporate Strategy (2021-24) [link](#) sets ambitious outcomes in relation to Climate Change. These ambitions must now be progressed through the decisions which the Council makes.

It is therefore important that Rugby Borough Council gives due regard to climate change when making decisions. In the context of the Council's business, Climate Change includes carbon emissions, biodiversity, habitat loss and environmental destruction. When putting forward recommendations for decision, officers must assess how these recommendations are likely to influence our climate change commitments by completing the following Climate Change and Environmental Impact Assessment.

A copy of this Climate Change and Environmental Impact Assessment, including relevant data and information should be forwarded to the Deputy Executive Director.

If you require help, advice and support to complete the forms, please contact Dan Green, Deputy Executive Director.

SECTION 1: OVERVIEW

Portfolio and Service Area	Growth and Investment
Policy/Service/Change being assessed	UK Shared Prosperity Fund (UKSPF) Year 3 Spend
Is this a new or existing Policy/Service/Change?	This is a Government funding source. Council approval has been given for the general areas of spend across the next 3 years as of 19th July 2022.
If existing policy/service please state date of last assessment	None.
Ward Specific Impacts	Borough-wide.
Summary of assessment Briefly summarise the policy/service/change and potential impacts.	The UKSPF is centred around three investment priorities Community and Place, Supporting Local Business and People and Skills. The projects outlined have given consideration to the Council's Climate Change Strategy and Corporate Strategy whilst also benefitting the Borough's residents. This report details the spend and projects delivered to date.
Completed By	Helen Nightingale Major Projects and Economic Development Manager
Authorised By	Nicola Smith – Chief Officer for Growth and Investment
Date of Assessment	16 th August 2024

SECTION 2: IMPACT ASSESSMENT

Climate Change and Environmental Impacts	No Impact	Positive	Negative	Description of impact	Any actions or mitigation to reduce negative impacts	Action owner	Timescales
Energy usage	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	The outcomes of this report will contribute to the creation of an Electric Vehicle (EV) Centre at Rugby College, aiding in the transition of businesses and residents to a lower carbon economy for Rugby by enabling access to training programmes for upskilling and retraining to achieve Net Zero aspirations.	N/A	N/A	Medium Term – 1-5 years
Fleet usage	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
Sustainable Transport/Travel (customers and staff)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Having the ability to retrain people in Electric Vehicles within the borough, this provides vital local infrastructure for greener and more sustainable travel in the future.			Medium Term – 1-5 years
Sustainable procurement	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Procurement of services in relation to the business hub and the public realm masterplan will be and have been done so with climate change strategy in mind.	N/A	N/A	Short-term 12 Months
Community leadership	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	The creation of a business and community hub will also give the local community a central place to access opportunities for their businesses.	N/A	N/A	Short-Term 12 Months
Biodiversity and habitats	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				Long term

Adaptation/Mitigation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
Impact on other providers/partners	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				

SECTION 3: REVIEW

Where a negative impact is identified, the proposal and/or implementation can be adapted or changed; meaning there is a need for regular review. This review may also be needed to reflect additional data and evidence for a fuller assessment (proportionate to the decision in question). Please state the agreed review timescale for the identified impacts of the policy implementation or service change.

Review date	Not required for this document – additional documents will have their own assessment.
Key points to be considered through review	N/A
Person responsible for review	N/A
Authorised by	Nicola Smith - Chief Officer for Growth and Investment.

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:
Aftab Razzaq
Chief Officer for Legal and Governance
aftab.razzaq@rugby.gov.uk
01788 533521

Equality Impact Assessment

Service Area	Growth and Investment
Policy/Service being assessed	UK Shared Prosperity Fund (UKSPF) Year 3 Spend
Is this a new or existing policy/service? If existing policy/service please state date of last assessment	No. Council approved the general areas of spend across the three years at Council.
EqlA Review Team – List of members	Helen Nightingale
Date of this assessment	16 August 2024
Signature of responsible officer (to be signed after the EqlA has been completed)	<i>Helen Nightingale</i>

A copy of this Equality Impact Assessment report, including relevant data and information to be forwarded to the Chief Officer for Legal and Governance.

Details of Strategy/ Service/ Policy to be analysed

<u>Stage 1 – Scoping and Defining</u>	
(1) Describe the main aims, objectives and purpose of the Strategy/Service/Policy (or decision)?	<p>The purpose of this report is to agree spend of unallocated funds from the UK Shared Prosperity Fund.</p> <p>The Projects are:</p> <ul style="list-style-type: none"> • Contributions towards Rugby College to construct an Electric Vehicle (EV) Centre • Allocate additional funds towards the creation of a Business and Community Hub in the Council's Reception Area • Reallocate funds from a previous project to the management and administration of our previously approved grant schemes.

(2) How does it fit with Rugby Borough Council's Corporate priorities and your service area priorities?

The projects listed meet objectives within three of the four Corporate Strategy Outcomes, Climate, Economy, and Organisation. These objectives include:

Climate

- Reduce resident's and business' impact on the environment and help them adapt to the consequences of climate change;
- Work together to further improve the Borough's connectivity and encourage greener travel; and
- Promote and encourage green and sustainable businesses within the borough.

Economy

- Promote Rugby as a place to do business;
- Encourage and support sustainable economic growth, consistent with our social and environmental priorities;
- Help business thrive and provide jobs for our residents; and
- Make sure residents have the skills they need to meet local demand.

Organisation

- Maintain robust systems of governance that ensure fairness, accountability and transparency, and
- Treat taxpayers' money with respect and ensure that our high-quality services demonstrate value for money

<p>(3) What are the expected outcomes you are hoping to achieve?</p>	<p>Expected outcomes from the projects identified include:</p> <ul style="list-style-type: none"> • Increased number of people supported to participate in education • Increased number of people gaining qualifications, licences and skills • Increased number of people retraining • Increased number of businesses receiving financial and non financial support • Number of businesses receiving grants • Increased number of entrepreneurs provided assistance to be business ready • Increased number of organisations engaged in new knowledge transfer activity • Creation of jobs and number of jobs safeguarded
<p>(4) Does or will the policy or decision affect:</p> <ul style="list-style-type: none"> • Customers • Employees • Wider community or groups 	<p>The decision will impact upon customers and the wider community.</p>
<p><u>Stage 2 - Information Gathering</u></p>	<p>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, e.g. service uptake/usage, customer satisfaction surveys, staffing data, performance data, research information (national, regional and local data sources).</p>
<p>(1) What does the information tell you about those groups identified?</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>The town centre business community, sports clubs, WCAVA and WCC have all been engaged as part of community, business and sports grant process through the Local Partnership Group as well as drop in events. Feedback on the grants process was received and taken in to account when assessing grant applications and support was given to help those complete grant application forms. This indicated more support was needed which the request for additional funds for administration will aid in.</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><u>Stage 3 – Analysis of impact</u></p>			
<p>(1) <u>Protected Characteristics</u> 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>DISABILITY Positive – opportunity to access support addressing barriers to employment. Positive – Increased accessibility for those who currently visit the Council’s reception area. Positive – increased resource to deliver grant scheme projects will have a direct impact on the ability to assist communities with their projects which we have previously seen include access for people with SEN, and those that are less able than others.</p>	<p>GENDER Positive – increased resource to deliver grant scheme projects will have a direct impact on the ability to assist communities with their projects which we have previously seen include access for girls in to under represented sports such as football.</p>



	MARRIAGE/CIVIL PARTNERSHIP	AGE Positive – increased resource to deliver grant scheme projects will have a direct impact on the ability to assist communities with their projects which we have previously seen include access for younger children and families not previously engaged in sport.	GENDER REASSIGNMENT
	RELIGION/BELIEF	PREGNANCY MATERNITY	SEXUAL ORIENTATION
<p>(2) <u>Cross cutting themes</u></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 improvement to the Council's reception area to accommodate the Business and Community Hub will facilitate better spaces for those customers considered more vulnerable.</p>		
<p>(3) If there is an adverse impact, can this be justified?</p>	<p>N/A</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.)	N/A
(5) How does the strategy/service/policy contribute to the promotion of equality? If not, what can be done?	Programmes and projects previously granted are helping to promote equality through the increased accessibility for girls in to underrepresented sports such as football and enabling younger children to also access sports that have no family links to the sport such as running and swimming. The sports grant programmes that have also been approved support SEN cheerleading teams, para swimming and accessibility to trampolining for the less abled. Having the additional support to deliver these high impactful projects is vital for their successful administration.
(6) How does the strategy/service/policy promote good relations between groups? If not, what can be done?	The relationships between groups will be recognised throughout the administration of the UKSPF projects in accordance with the Council's Equality, Diversity and Inclusion Policy Statement.
(7) Are there any obvious barriers to accessing the service? If yes how can they be overcome?	No.

<u>Stage 4 – Action Planning, Review and Monitoring</u>	
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<p>If No Further Action is required then go to – Review and 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>	EqlA Action Plan																													
<p>(2) Review and Monitoring State how and when you will monitor policy and Action Plan</p>	<table border="1"> <thead> <tr> <th data-bbox="860 347 1120 427">Action</th> <th data-bbox="1120 347 1366 427">Lead Officer</th> <th data-bbox="1366 347 1615 427">Date for completion</th> <th data-bbox="1615 347 1863 427">Resource requirements</th> <th data-bbox="1863 347 2112 427">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> </tbody> </table>	Action	Lead Officer	Date for completion	Resource requirements	Comments																								
Action	Lead Officer	Date for completion	Resource requirements	Comments																										
<p>After the year 3 UKSPF fund is spent, the success of years 1, 2 and 3 spend will be evaluated to see if it achieved what it intended throughout 2022-2025.</p>																														

Please annotate your policy with the following statement:

‘An Equality Impact Assessment on this policy was undertaken on 2nd July 2024 and will be reviewed after 31st March 2025.

AGENDA MANAGEMENT SHEET

Report Title:	Town Centre Regeneration Progress Update
Name of Committee:	Cabinet
Date of Meeting:	16 September 2024
Report Director:	Chief Officer Growth and Investment
Portfolio:	Growth and Investment, Digital and Communications
Ward Relevance:	All
Prior Consultation:	Human Resources, Finance and Performance, Town Centre Regeneration Working Group.
Contact Officer:	Ella Casey, Principal Planning Officer (Town Centre Regeneration), ella.casey@rugby.gov.uk
Public or Private:	Public
Report Subject to Call-In:	No
Report En-Bloc:	No
Forward Plan:	Yes
Corporate Priorities:	This report relates to the following priorities: <input checked="" type="checkbox"/> Rugby is an environmentally sustainable place, where we work together to reduce and mitigate the effects of climate change. (C) <input checked="" type="checkbox"/> Rugby has a diverse and resilient economy that benefits and enables opportunities for all residents. (E) <input checked="" type="checkbox"/> Residents live healthy, independent lives, with the most vulnerable protected. (HC) <input checked="" type="checkbox"/> Rugby Borough Council is a responsible, effective and efficient organisation. (O) Corporate Strategy 2021-2024
Financial Implications:	The financial implications are set out in section 4 of this report, however the workstreams identified in Appendix 1 which bear a cost to the Council will be funded using the Town Centre Strategy Reserve and UK Shared Prosperity Fund monies. The committed spend as of 31 March 2024 of the Town

Centre Reserve is reported within section 3 of this report.

Risk Management/Health and Safety Implications:

A dedicated strategic risk register is in place for each strand of the Corporate Strategy. Use of reserves is a key action towards delivering on the corporate strategy priorities.

Environmental Implications:

Environmental implications are set out in Appendix 2. The delivery of the Town Centre Regeneration Strategy workstreams however would positively contribute to the Council's climate change aspirations by encouraging and facilitating more sustainable modes of travel, supporting active travel and encouraging biodiversity enhancements in the town centre.

Legal Implications:

None arising directly from this report.

Equality and Diversity:

Equality and Diversity implications are set out in Appendix 3. Community stakeholder mapping has been carried out for each individual workstream. The lead officer of each workstream is tasked with ensuring the relevant engagement is undertaken. However, the delivery of the Town Centre Regeneration Strategy workstreams will seek to enable accessibility for all in the town centre's physical environment, create opportunities for equality as well as keeping people's health and well-being at the forefront of any decision making.

Recommendation:

IT BE RECOMMENDED TO COUNCIL THAT the Town Centre Regeneration progress report be noted.

Reasons for Recommendation:

To ensure Council is kept up to date on progress with the delivery of Town Centre Regeneration to instigate positive change and to realise the development and investment opportunities in the town centre.

Cabinet - 16 September 2024

Town Centre Regeneration Progress Update

Public Report of the Chief Officer Report – Growth and Investment

Recommendation

IT BE RECOMMENDED TO COUNCIL THAT the Town Centre Regeneration progress report be noted.

1. EXECUTIVE SUMMARY

- 1.1 The purpose of this report is to note the current progress on town centre regeneration. This report is part of the bi-annual reporting cycle to update on progress of the various workstreams and the progress made by the Council.
- 1.2 A governance structure is in place to ensure streamlined decision making to facilitate progress on delivery as well as producing bi-annual progress updates to Cabinet and Council. As part of the governance process a cross-party councillor working group (Town Centre Regeneration Working Group) is also in place to which Councillors were appointed to following the elections. The Councillors sitting on the working group are (Councillors Roodhouse (Chair), Moran, Picker, Poole, Thomas and Robinson).
- 1.3 Officers and the Town Centre Regeneration Working Group (TCRWG) developed 19 workstreams following the publication of the Rugby Regeneration Strategy (2022), with a focus on more short and medium term actions fulfilling their objectives. This report sets out how these workstreams have evolved in 2023/24 and the progress which has been made by the Council.
- 1.4 In May 2024 the Council saw a change in administration. The new administration have reviewed the work programme and the workstreams already in train. The majority of work currently undertaken by Officers is background work to allow significant decisions to be made and to inform a Delivery Plan for Town Centre Regeneration. There are financial resources needed to deliver some of these workstreams, notably public realm, creative and marketing and car parking in the short term, however previous Council reports have agreed to use both UK Shared Prosperity Funds (UKSPF) and the Town Centre Strategy Reserve to fund these workstreams. This report gives an update of the spend of the Town Centre Reserve as of 1 April 2024.
- 1.5 A dedicated Principal Planning Officer for Town Centre Regeneration has been successfully appointed and has been in post since January 2024 to drive the delivery of the Town Centre Regeneration.

2 INTRODUCTION

- 2.1 The purpose of this report is to provide an update on the progress of town centre regeneration. Appendix 1 provides an updated list of workstreams as of April 2024 with section 2 of this report accounting for changes in the workstreams since the October 2023 report and associated progress. Appendix 2 then provides an update on the work carried out in relation to each of the 18 workstreams as of July 2024.

3 TOWN CENTRE REGENERATION PROGRESS UPDATE

- 3.1 A governance structure has been in place for the last year to enable streamlined decision making, with a cross party working group, known as the Town Centre Regeneration Working Group (hereafter referred to as working group in this report).
- 3.2 Officers, including representatives from Warwickshire County Council's Place and Infrastructure Team and the Working Group previously identified 19 workstreams (October 2023 update), each with a set of objectives for the short and medium term to set the wheels in motion for realising greater positive change in Rugby Town Centre. These workstreams and some of the associated objectives have evolved over the past year with some ongoing and some being completed. As of April 2024, 18 workstreams are in place. The following workstream has been removed for the reasons given:
- Development Site Delivery plan – This workstream is no longer being progressed as a standalone workstream. It has been subsumed into the Assets workstream so that a holistic approach can be taken to asset regeneration in the town centre.
- 3.3 The two assets workstreams set out within the October 2023 report were in their infancy at that time and hence the associated objectives have evolved since then with the addition of the short-term objectives. The most up to date objectives associated with this workstream are set out in Appendix 1.
- 3.4 The implementation and delivery of town centre regeneration must be looked at holistically and the current 18 workstreams cover a broad spectrum of subjects from development sites, marketing, business and stakeholder engagement and public realm to education, health and sustainable travel. Many of the workstreams are the required background work to allow key decisions to be made and projects to be delivered and are interlinked with one another. All current workstreams and objectives are detailed in Appendix 1.
- 3.5 The change of administration in May 2024, in addition to the background workstreams currently being undertaken by the Council, wishes to focus on the following for 2024/25:
- A clear delivery plan for the town centre
 - Engagement with key property owners
 - Public Realm improvements/County Council engagement
 - Improvements to St Andrews Church and Gardens

- Enhancement of the Rugby Outdoor Market
- Building specific projects (identifying a handful of locations for investment and upgrade)
- Enhanced programme of town centre events (positive collaboration with Rugby First and internal RBC events team)

4 TOWN CENTRE RESERVE

4.1 A £5 million Town Centre Reserve was approved at Council on 22nd February 2023 to support the regeneration of the town. However, where alternative funding pots have been available and in cases where spend is time limited these funds have been used instead of the reserve. For example, the assets workstream has been funded by One Public Estate Funding and the Public Realm Masterplan has been funded by the UK Shared Prosperity Fund. These workstreams/projects are therefore not captured below. Additional alternative funding will be required for different projects in the coming years due to the significant funding required for some workstreams e.g. delivery of public realm schemes.

4.2 As of 31 March 2024, the following from the reserve has been spent/committed:

Item	Total Approved Budget £000	Actual Spend at 31.03.24 £000	Variance £000	Notes
Voluntary and Community Sector Estate Rationalisation. Health Wellbeing Hub	1,000	0	(1,000)	
Staffing (over 3 year period)	486	173	(313)	Continue into 2024/25 forecast
Events - Diwali	12	13	1	
Vacant Shops Audit	9	4	(5)	Continue into 2024/25 forecast as report commissioned in 23/24 but work to be carried out in 24/25
Creative & Marketing	64	0	(64)	Continue into 2024/25 forecast as report commissioned in 23/24 but work to be

				carried out in 24/25
Total		190		

5 FINANCIAL IMPLICATIONS

- 5.1 The workstreams that required financial support to progress such as the creation of a Public Realm Masterplan will be funded through existing budgets such as the UK Shared Prosperity Fund or Town Centre Strategy Reserve both of which have had previous Council approval for spend on Town Centre Regeneration projects. The spend to date of the Town Centre Reserve is shown above.

6 CONCLUSION

- 6.1 It is recommended that the progress update be noted. This update provides the most up to date information in relation to town centre regeneration and demonstrates that the Council is actively progressing delivery of the strategy to bring benefits to its businesses, residents and stakeholders and meet all of the Council's growth, economic and levelling up aspirations.

Name of Meeting: Cabinet
Date of Meeting: 16 September 2024
Subject Matter: Town Centre Regeneration Progress Update

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

Appendix 1

Appendix 1 – Town Centre Regeneration Workstreams

Appendix 1

Workstream	Objectives
<p>Business and Community Hub– A physical hub for business and community support with private and public sector partners.</p>	<ul style="list-style-type: none"> • Provide a space for start-ups and early-stage businesses with support and resource. • Provide a collaborative ecosystem that fosters innovation, drives economic growth and creates a sustainable and prosperous business environment for all stakeholders involved.
<p>Business Engagement</p>	<ul style="list-style-type: none"> • To ensure that local businesses are involved and supported in the delivery of the Town Centre Regeneration Strategy. • To encourage new businesses to locate in the town centre. • To build sustainable relationships with stakeholders who have a connection to the town centre.
<p>Car Parking Strategy</p>	<ul style="list-style-type: none"> • To ensure that the best use of the Council's Assets are realised to deliver physical regeneration in the town centre. • Car parking provision meets the needs of the town centre and opportunities for electric charging are maximised.
<p>Community Safety</p>	<ul style="list-style-type: none"> • To identify options to further enhance town centre community safety.
<p>Community Stakeholder Engagement</p>	<ul style="list-style-type: none"> • To identify community stakeholders to be involved in the progression of the Town Centre regeneration.
<p>Communication Strategy</p>	<ul style="list-style-type: none"> • To update residents, businesses and partners of the progress of the Town Centre Regeneration Strategy workstreams.
<p>Councillor/Internal Engagement (Governance)</p>	<ul style="list-style-type: none"> • Ensure there is cross party support for the delivery of the Action Plan and Town Centre Regeneration Strategy. • Ensure that the delivery of the Town Centre Regeneration Strategy is undertaken using a project management approach with the ability to make decisions. • Ensure engagement with wider Member group.
<p>Creative & Marketing – to positively influence people's associations and feelings about the Council and the town centre regeneration.</p>	<ul style="list-style-type: none"> • Promote Rugby town centre as a place to visit, live, do business and invest. • Positively market Rugby as an investment opportunity. • Positively influence people's perception of and association with Rugby and its town centre. • Provide confidence to the public and potential investors that Rugby Borough Council can deliver on its aspirations and is a successful partner to collaborate with. • Support Rugby town centre retailers in promoting their businesses.
<p>Education</p>	<p>To integrate higher, further and vocational education facilities within the town centre.</p>

Appendix 1

<p>Health Facilities</p>	<ul style="list-style-type: none"> • To provide opportunities for expansion and co-location of health services within the town centre.
<p>Meanwhile Uses – Short term interventions to create opportunities for enhancements and trials of new uses and concepts to promote activity in the town centre.</p>	<ul style="list-style-type: none"> • Boost the visitor economy and increase footfall and dwell time in the town centre. • Reduce shop vacancy by introducing temporary alternative uses (music, art, pop-up shop, etc.) • Improve the look of buildings across the town centre. • Have a successful and thriving outdoor market provision. • Support the growth of a Rugby indoor market and other start up facilities. • Enhance diversity and inclusion within the town centre.
<p>Planning Document/Status – Documents required in order to facilitate development and realise the regeneration potential within the town centre.</p>	<ul style="list-style-type: none"> • To ensure that the Local Plan supports the delivery of the Town Centre Regeneration Strategy and ensure that any Supplementary Planning Documents are developed which will guide development and improve the look of the town centre and its connectivity and useability. • Ensure planning policies support and assist delivery of regeneration. • Ensure the Council has a satisfactory planning framework in the interim before the new Local Plan is adopted to de-risk development and remove barriers.
<p>Public Realm – Creation of a high quality and better connected public realm across the town centre.</p>	<ul style="list-style-type: none"> • Create accessible and high quality places to build civic pride, to attract visitors, workers and residents and to increase dwell time and improve health and wellbeing. • Create a public realm that reflects the heritage of Rugby. • Provide opportunities for active travel. • Ensure that all improvements are adaptable to climate changes. • Integrate water management, biodiversity, air quality priorities, renewable energy creation as part of healthy streets and spaces. • Enhancing and connecting green spaces across the town centre. • Provide clear priorities for improvements and direction for future developments within Rugby town centre.
<p>Station Gateway</p>	<ul style="list-style-type: none"> • Deliver significant change in creating a high quality arrival and interchange experience. • To ensure that the railway station has a sense of arrival as a gateway to the town centre. • To ensure better connectivity to the town centre by improving transport, cycleways and footways. • To ensure the development potential in and around the railway station is realised. • Improve air quality and address traffic congestion.
<p>Sustainable Transport & Modal Shift – Shift transportation</p>	<ul style="list-style-type: none"> • To ensure that sustainable transport is a first choice for those living and visiting the town centre in line with the climate emergency, air quality and wider Council aspirations. • Promote opportunities for Active Travel.

Appendix 1

<p>relying on the private car to greener, more sustainable and economic options.</p>	<ul style="list-style-type: none"> • To ensure potential routes are destination led. • Ensure that all workstreams within the Action Plan enable modal shift and sustainable transport.
<p>Town Centre Asset Options</p>	<p>Long Term Objective:</p> <ul style="list-style-type: none"> • To ensure that the best use of the Council's Assets is realised to deliver physical regeneration in the town centre. <p>Short Term Objective:</p> <ul style="list-style-type: none"> • To agree an asset project delivery plan.
<p>Town Centre Civic and Cultural Assets</p>	<p>Long Term Objectives:</p> <ul style="list-style-type: none"> • To ensure that the best use of the Council's Assets is realised to deliver physical regeneration in the town centre. • To ensure that the Council's cultural and civic offer acts as a catalyst for visitor activity. <p>Short Term Objective:</p> <ul style="list-style-type: none"> • To agree an asset project delivery plan.
<p>Voluntary & Community Sector and DWP</p>	<ul style="list-style-type: none"> • To ensure facilities within the town centre meet the needs of our residents. • To create opportunities for co-location of services where possible.

Appendix 2: Town Centre Regeneration Workstream Update

An update on the status of each of the 18 workstreams within the TCR Action Plan and Appendix 1 is as follows:

Workstream	Update (July 2024)
Business and Community Hub	Council approval was gained in March 2024 for £254,080 of UKSPF funding for a Business and Community Hub. This workstream is being progressed by officers to provide phase 1 & 2 (digital & initial engagement and pilot physical space) by September 2024. Whilst the Town Centre Reserve is not being used for this project it links directly to the Council resolution (22.02.23) to 'work with Town Centre businesses to identify immediate options for progression and support required.' Work on the reception refurbishment has begun with an anticipated September completion.
Business Engagement	A business breakfast was held 21 st March 2023 and business engagement has been ongoing since. The Council has been working to expand its Economic Development function within the Growth and Investment portfolio and as of April 2024, now has both a Economic Development Lead and Economic Development Officer in place who are leading on the engagement with businesses and looking to strengthen relationships and provide support. Town Centre business grants have been distributed as part of Year 2 UK Shared Prosperity Funding and will be rolled out again in 2024, but on a borough wide basis. Year 3 grants were advertised through an engagement event held at The Benn Hall on 25 th July 2024.
Car Parking Strategy	This project is currently out to tender with a view to appoint a consultant to undertake this specialised workstream. The strategy will be completed by March 2025.
Community Safety	Various interventions and initiatives are ongoing within the borough and specifically the town centre e.g. serious violence intervention initiatives, safer business action days, safer place initiatives. CCTV has been improved throughout the town centre.
Community Stakeholder Engagement	Community stakeholder mapping is currently being identified for all of the workstreams to ensure that the correct stakeholders are consulted.
Communication Strategy	The town centre regeneration webpages have been created and are updated as and when further information/updates become available. A communications

Appendix 2

	plan relating specifically to the milestones identified within the workstreams is also in place.
Creative & Marketing	Hemingway Design have been commissioned to undertake this project and are progressing this work. Baseline analysis is currently being undertaken with stakeholder engagement to follow late summer.
Education	Discussions are ongoing with Warwickshire Colleges as part of their estate planning and expansion programmes.
Health Facilities	Discussions are underway with various NHS health providers about their presence within the town centre.
Meanwhile Uses	A Vacant Shop Audit is underway to identify vacant units and put together an action plan to target vacancies in the town centre. An events programme is being developed. All organised events are promoted on The Rugby Town website and across all of the Council's social media channels.
Member/Internal Engagement (governance)	A governance structure is in place to enable streamlined decision making which comprises a project board, programme board and working group. The working group is formed of cross-party councillors (Town Centre Regeneration Working Group).
Planning Document/Status	Rugby Borough Council Local Plan Review is being progressed to facilitate a planning framework for the town centre regeneration. A Shop Front Supplementary Planning Document was adopted in July 2024.
Public Realm	A Public Realm Masterplan has been commissioned and Planit.I.E have been appointed to carry out this work. This will provide overall principles for the public realm within the Town Centre. It will also identify priority projects for further detailed design work. Public engagement is scheduled for late summer with stakeholder engagement taking place in September. Improvements have been undertaken around the Town Centre using UK Shared Prosperity funding i.e. new gates and footpath in Caldecott Park to improve the connectivity of the park to Regents Place and the north of the town centre, improved public realm and planting in St Andrews Gardens and work in and around St Andrews Church.
Station Gateway	The connectivity to Rugby Railway Station and its gateway/arrival is being reviewed through the Public Realm Masterplan. The Masterplan will also look at wayfinding across the town centre to ensure routes (including to the railway station) are clearly defined.

Appendix 2

	Options for the wider regeneration of this character area (as set out in Rugby Regeneration Strategy) are being investigated by WCC and RBC officers.
Sustainable Transport & Modal Shift	This workstream feeds into the majority of the workstreams and is central to the regeneration of the town centre. The public realm masterplan brief is to review connectivity and sustainable transport options. Rugby Borough Council is currently updating the traffic modelling for the town centre alongside Warwickshire County Council so that officers can understand traffic movements, where capacity issues are and development/regeneration implications.
Town Centre Asset Options	The Council resolution (22 February 2023) included progressing options appraisals for the Council's Albert Street premises and all other Council owned sites in the town centre. Albert Street has been decommissioned in the last year and options are currently being investigated. The Council is considering its options for the wider redevelopment of the town centre and has been liaising with various developers about sites within the Town Centre. CBRE have been instructed to review development proposals and provide strategic advice on the first phase of physical regeneration.
Town Centre Civic and Cultural Assets	This workstream includes but is not limited to the Town Hall, Benn Hall and the Rugby Art Gallery and Museum. The Council is undertaking a base line assessment around their current capacity requirements and needs for the future.
Voluntary & community Sector & DWP	This workstream is based on the Council resolution (22 February 2023) to commit up to £1million to enable voluntary and community sector estate rationalisation and facilitate co-location with other partners to provide a Health and Wellbeing Hub in the town centre. This workstream is therefore tied with the Health Facilities workstream as well as the Asset workstreams which are both in their infancy but being progressed.

Rugby Borough Council

Climate Change and Environmental Impact Assessment

CONTEXT

In 2019 the UK Parliament set a commitment in law to reach net zero carbon emissions by 2050. Achieving this target will require considerable effort with public bodies, private sector organisations, the third sector and individuals working together to take action. Rugby Borough Council declared a climate emergency in 2019, in doing so committed to:

- To move the Council's operations towards Carbon Neutrality by 2030.
- To establish action to tackle climate change as a key driver of all decision-making.
- To provide community leadership in reducing the impact of Climate Change.
- To take action to mitigate the impact of climate change on a Borough wide basis and beyond, through adaptation.

The Council's Corporate Strategy (2021-2024) [link](#) sets ambitious outcomes in relation to Climate Change. These ambitions must now be progressed through the decisions which the Council makes.

It is therefore important that Rugby Borough Council gives due regard to climate change when making decisions. In the context of the Council's business, Climate Change includes carbon emissions, biodiversity, habitat loss and environmental destruction. When putting forward recommendations for decision, officers must assess how these recommendations are likely to influence our climate change commitments by completing the following Climate Change and Environmental Impact Assessment.

A copy of this Climate Change and Environmental Impact Assessment, including relevant data and information should be forwarded to the Deputy Chief Executive.

If you require help, advice and support to complete the form, please contact Dan Green, Deputy Chief Executive.

SECTION 1: OVERVIEW

Portfolio and Service Area	Growth and Investment
Policy/Service/Change being assessed	Major Projects and Economic Development
Is this a new or existing Policy/Service/Change?	An existing strategy (Town Centre Regeneration Strategy 2022) that is now being delivered.
If existing policy/service please state date of last assessment	17 November 2022
Ward Specific Impacts	Borough-wide
Summary of assessment Briefly summarise the policy/service/change and potential impacts	The Rugby Town Centre Regeneration Strategy focuses on Rugby Town Centre, including the Town Hall and the key movement corridors of Corporation Street and North Street. The strategy seeks to link key sites and spaces within the town. It provides a clear framework for regeneration and development by setting parameters for development, steering investment priorities and providing the basis for landowners and investors to progress their plans. As the strategy is currently at the start of its delivery journey it is envisaged that there will be no negative impacts in relation to the assessment in stage 2 of the document. Positive impacts are identified in relation to sustainable transport/travel and biodiversity and habitats. These positive impacts are envisaged to be delivered in the next 2 years.
Completed By	Ella Casey (Principal Planning Officer – town Centre Regeneration)
Authorised By	Nicola Smith (Chief Officer for Growth & Investment)
Date of Assessment	19 April 2024

SECTION 2: IMPACT ASSESSMENT

Climate Change and Environmental Impacts	No Impact	Positive	Negative	Description of impact	Any actions or mitigation to reduce negative impacts	Action owner	Timescales
Energy usage	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
Fleet usage	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
Sustainable Transport/Travel (customers and staff)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	One of the workstreams specifically looks to improve key routes and improve pedestrian and cyclist routes within the town centre. It also seeks to Improve bus connectivity, accessibility and reliability, creating a modal shift in transport. This workstream has various independencies with other identified workstreams i.e. public realm masterplan. The public realm masterplan will be the first to deliver change to the environment of the town centre and promote sustainable transport.		Growth and Investment	Ongoing Public Realm Masterplan has September 2024 completion date and delivering schemes will therefore follow this.
Sustainable procurement	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	The Council will work proactively with partners and businesses to implement actions to adopt to sustainable procurement policies and practices.		Growth and Investment	On-going

Appendix 3

Climate Change and Environmental Impacts	No Impact	Positive	Negative	Description of impact	Any actions or mitigation to reduce negative impacts	Action owner	Timescales
Community leadership	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	The Council will proactively work with the community, partners and businesses to implement actions to adopt to net zero/decarbonisation processes and practices		Growth and Investment	On-going
Biodiversity and habitats	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	The public realm interventions look to introduce tree planting, connect green spaces, and additional community spaces into the town centre		Growth and investment	On-going
Adaptation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
Impact on other providers/partners	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				

SECTION 3: REVIEW

Where a negative impact is identified, the proposal and/or implementation can be adapted or changed; meaning there is a need for regular review. This review may also be needed to reflect additional data and evidence for a fuller assessment (proportionate to the decision in question). Please state the agreed review timescale for the identified impacts of the policy implementation or service change.

Review date	19th October 2024
Key points to be considered through review	The Town Centre Regeneration workstreams will be reviewed bi-annually and as will all of the climate change and environmental impacts in this assessment.
Person responsible for review	Ella Casey (Principal Planning Officer – Town Centre Regeneration)
Authorised by	Nicola Smith (Chief Officer for Growth & Investment)

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:
Aftab Razzaq
Chief Officer for Legal and Governance
aftab.razzaq@rugby.gov.uk
01788 533521

Equality Impact Assessment

Service Area	Growth & Investment – Major Projects and Economic Development
Policy/Service being assessed	Rugby Town Centre Regeneration Progress Update and Resourcing
Is this a new or existing policy/service? If existing policy/service please state date of last assessment	The Town Centre Regeneration Strategy is an existing strategy assessed 17 th November 2023. This report is about delivering the strategy.
EqlA Review Team – List of members	Ella Casey – Principal Planning Officer (Town Centre Regeneration)
Date of this assessment	19 th April 2024
Signature of responsible officer (to be signed after the EqlA has been completed)	Ella Casey

A copy of this Equality Impact Assessment report, including relevant data and information to be forwarded to the Chief Officer for Legal and Governance.

Details of Strategy/ Service/ Policy to be analysed

<u>Stage 1 – Scoping and Defining</u>	
(1) Describe the main aims, objectives and purpose of the Strategy/Service/Policy (or decision)?	This document is a corporate vision for the town centre which sets out a strategy for the regeneration of the town centre. This report identifies 17 workstreams to deliver the strategy and updates on their progress.
(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"> • Working together to further improve the Borough's connectivity and encourage greener travel. • Promoting the Borough of Rugby as a place to do business. • Encouraging and supporting sustainable economic growth, consistent with our social and environmental priorities. • Helping businesses thrive and provide jobs for our residents. • Developing and promoting our town centre as a place to live, socialise and work. • Regenerating Neighbourhoods that need support and build communities that sustain change. • Nurturing and supporting independent shops.
(3) What are the expected outcomes you are hoping to achieve?	The Town Centre is no longer fit for purpose and therefore to support local residents, businesses and communities a shift in how the town centre feels, looks and operates is needed to generate a want to visit, dwell, live and do business in Rugby town centre.
(4) Does or will the policy or decision affect: <ul style="list-style-type: none"> • Customers • Employees • Wider community or groups 	Yes. It is believed that the workstreams identified, when delivered will affect customers and wider community groups. Employees will be affected as they will help enact these workstreams.
<u>Stage 2 - Information Gathering</u>	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, e.g. service uptake/usage, customer satisfaction surveys, staffing data, performance data, research information (national, regional and local data sources).

Appendix 4

<p>(1) What does the information tell you about those groups identified?</p>	<p>How these workstreams will impact on customers, community groups and employees will be monitored through stakeholder engagement, which has been mapped for each identified workstream. Each workstream should therefore consider stakeholder and community engagement.</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>Stakeholder and community mapping was a workstream which is now complete as set out within the report. Each workstream has identified stakeholders which will be engaged with through the evolution of the town centre regeneration. Currently no workstream is at the point of being consulted on.</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>It is intended that engagement with communities will commence on various workstreams from June 2024 onwards.</p>		
<p><u>Stage 3 – Analysis of impact</u></p>	<p>No engagement on progress of the delivery of the town centre regeneration has occurred and therefore it would be premature to truthfully identify impact on the identified protected characteristics.</p>		
<p>(1) <u>Protected Characteristics</u> 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>DISABILITY</p>	<p>GENDER</p>
	<p>MARRIAGE/CIVIL PARTNERSHIP</p>	<p>AGE</p>	<p>GENDER REASSIGNMENT</p>
	<p>RELIGION/BELIEF</p>	<p>PREGNANCY MATERNITY</p>	<p>SEXUAL ORIENTATION</p>

Appendix 4

<p>(2) <u>Cross cutting themes</u> (a) Are your proposals likely to impact on social inequalities e.g. child poverty, geographically disadvantaged communities? If yes, please explain how? (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>No engagement on progress of the delivery of the town centre regeneration has occurred and therefore it would be premature to truthfully identify impact on the identified protected characteristics.</p> <p>However regeneration by its general nature is to instigate positive change and reduce inequality gaps by providing opportunity, which is supported by Government's Levelling Up agenda.</p>
<p>(3) If there is an adverse impact, can this be justified?</p>	<p>N/A at this stage</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>N/A at this stage</p>
<p>(5) How does the strategy/service/policy contribute to the promotion of equality? If not, what can be done?</p>	<p>The Council is now starting to deliver on its adopted Town Centre Regeneration Strategy and as we are at the start of this journey, this is the best time to start engaging with community groups, businesses and residents to see how regeneration can promote equality.</p> <p>Human Resources advice has been sought and RBC policies and procedures will be followed to ensure sensitivity and fairness is applied throughout the recruitment process.</p>
<p>(6) How does the strategy/service/policy promote good relations between groups? If not, what can be done?</p>	<p>Engagement has been undertaken with various groups as part of the creation of the Town Centre Regeneration Strategy itself and the responses have been considered and intertwined into the strategy. However as we start to deliver the strategy, engagement with groups to foster good relations can be explored.</p>
<p>(7) Are there any obvious barriers to accessing the service? If yes how can they be overcome?</p>	<p>N/A</p>

Appendix 4

<p><u>Stage 4 – Action Planning, Review and Monitoring</u></p>																														
<p>If No Further Action is required then go to – Review and 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>EqlA Action Plan</p> <table border="1" data-bbox="891 536 2130 762"> <thead> <tr> <th data-bbox="891 536 1135 612">Action</th> <th data-bbox="1135 536 1379 612">Lead Officer</th> <th data-bbox="1379 536 1624 612">Date for completion</th> <th data-bbox="1624 536 1868 612">Resource requirements</th> <th data-bbox="1868 536 2130 612">Comments</th> </tr> </thead> <tbody> <tr> <td data-bbox="891 612 1135 651"></td> <td data-bbox="1135 612 1379 651"></td> <td data-bbox="1379 612 1624 651"></td> <td data-bbox="1624 612 1868 651"></td> <td data-bbox="1868 612 2130 651"></td> </tr> <tr> <td data-bbox="891 651 1135 689"></td> <td data-bbox="1135 651 1379 689"></td> <td data-bbox="1379 651 1624 689"></td> <td data-bbox="1624 651 1868 689"></td> <td data-bbox="1868 651 2130 689"></td> </tr> <tr> <td data-bbox="891 689 1135 727"></td> <td data-bbox="1135 689 1379 727"></td> <td data-bbox="1379 689 1624 727"></td> <td data-bbox="1624 689 1868 727"></td> <td data-bbox="1868 689 2130 727"></td> </tr> <tr> <td data-bbox="891 727 1135 762"></td> <td data-bbox="1135 727 1379 762"></td> <td data-bbox="1379 727 1624 762"></td> <td data-bbox="1624 727 1868 762"></td> <td data-bbox="1868 727 2130 762"></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>The workstreams will be reported to Cabinet and Council Bi-annually and therefore the next review will be December 2024.</p>																													

Please annotate your policy with the following statement:

‘An Equality Impact Assessment on this policy was undertaken on 19th April 2024 and will be reviewed in December 2024.’

AGENDA MANAGEMENT SHEET

Report Title: Confirmation of Article 4 Direction – Houses in Multiple Occupation

Name of Committee: Cabinet

Date of Meeting: 16 September 2024

Report Director: Chief Officer – Growth and Investment

Portfolio: Growth and Investment, Digital and Communications

Ward Relevance: Benn, Coton and Boughton, Eastlands, New Bilton, Newbold and Brownsover

Prior Consultation: N/A

Contact Officer: Hayley Smith
Principal Planning Officer
hayley.smith@rugby.gov.uk

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):
 Rugby is an environmentally sustainable place, where we work together to reduce and mitigate the effects of climate change. (C)
 Rugby has a diverse and resilient economy that benefits and enables opportunities for all residents. (E)
 Residents live healthy, independent lives, with the most vulnerable protected. (HC)
 Rugby Borough Council is a responsible, effective and efficient organisation. (O)
[Corporate Strategy 2021-2024](#)
 This report does not specifically relate to any Council priorities but

Summary: This report seeks the approval to confirm the Article 4 Direction made on 21 February 2024, and for it to come into effect on 23 February 2025. This

Article 4 Direction was made following a report to Cabinet on 05 February 2024.

Notifications were published in accordance with Schedule 3 of the Town and Country Planning (General Permitted Development) (England) Order 2015, and representations invited on the Direction. These are reported below.

The purpose of the Article 4 Direction is to require changes from use class C3 (dwelling house) to C4 (Houses in Multiple Occupation (HMO) (for 3 to 6 residents) in the defined area to obtain planning permission, where such changes currently benefit from deemed planning permission under permitted development. This would enable the local planning authority to more effectively manage such developments in areas where there is relatively high demand for HMOs.

- Financial Implications:** There are no direct financial implications coming from this report.
- Risk Management/Health and Safety Implications:** There are no health and safety implications.
- Environmental Implications:** The objective of confirming the Article 4 Direction is to protect the character and amenity of areas with known demand for HMOs. This would be to the benefit of the local environment.
- Legal Implications:** If the Council decides to confirm the Article 4 Direction, a copy is required to be submitted to the Secretary of State.
- Equality and Diversity:** An EQIA was prepared and accompanied the report to Cabinet of 5 February 2024. It has been updated and attached at appendix 4.
- Options:**
- 1) Agree to confirm the Article 4 Direction, to come into effect on 23 February 2025.
 - 2) Do not confirm the Article 4 Direction.
- Recommendation:** IT BE RECOMMENDED TO COUNCIL THAT:
- a) The Article 4 Direction be confirmed to come into effect on 23 February 2025.
 - b) The notice of confirmation of the Article 4 Direction be given in accordance with the legal requirements and a copy of the direction as confirmed be sent to the Secretary of State.

**Reasons for
Recommendation:**

In the interest of maintaining and enhancing the character and amenity of the defined area, through consideration of proposals for all new HMOs in the planning application process.

Cabinet – 16 September 2024

Confirmation of Article 4 Direction – Houses in Multiple Occupation

Public Report of the Chief Officer for Growth and Investment

Recommendation

IT BE RECOMMENDED TO COUNCIL THAT:

- a) The Article 4 Direction be confirmed to come into effect on 23 February 2025.
- b) The notice of confirmation of the Article 4 Direction be given in accordance with the legal requirements and a copy of the direction as confirmed be sent to the Secretary of State.

1. Executive Summary

- 1.1 This report recommends that an Article 4 Direction made on 21 February 2024 be confirmed so that it comes into effect on 23 February 2025. The effect of the Article 4 Direction being confirmed, would be to require all proposed changes of use from a dwelling to a small HMO to require planning permission, where this type of development currently benefits from deemed consent under General Permitted Development.
- 1.2 The recommendation to make the Article 4 Direction was agreed by Cabinet on 5 February 2024. In accordance with the requirements of Schedule 3 of the Town and Country Planning (General Permitted Development) (England) Order 2015, a notice was published of the new Article 4 Direction, and representations invited for a period of 21 days. The notice was published on the same date as the Article 4 Direction was made (21 February 2024).
- 1.3 Eight individual representations were made to the Article 4 Direction. In addition, a petition in support of the Article 4 Direction was received as an attachment to one of the representations. The petition includes 651 signatures.

2. Introduction

- 2.1 In February 2024, Cabinet agreed to make an Article 4 Direction across 5 wards within the town of Rugby. In accordance with the Cabinet decision, and procedures set out in [Schedule 3 of the Town and Country Planning \(General Permitted Development\) \(England\) Order 2015](#), the Article 4 Direction was made on 21 February 2024, and the Council's common seal attached by an authorised person.

2.2 Notices of the Article 4 Direction were published on the same date (21 February 2024), and representations were invited for a period of 21 days.

2.3 In accordance with procedures set out in the above Schedule, and as indicated in the Cabinet report on 5 February 2024, the representations received in response to the Article 4 Direction will be outlined in this report and should inform the decision on whether to confirm the direction.

3. Background

3.1 The made Article 4 Direction is attached in Appendix 1 and includes a map of the area to which it will apply if confirmed. This area is inclusive of the following five wards:

- Benn
- Coton and Boughton
- Eastlands
- New Bilton
- Newbold and Brownsover

3.2 The rationale for the geographical area of the Article 4 Direction and the underpinning evidence were set out to Cabinet in a report on [5 February 2024](#).

3.3 The effect of the Article 4 Direction, if confirmed, would be to override national permitted development allowances, so that a planning application must be made and approved for any development to create a HMO in the defined area. The introduction of an Article 4 Direction does not mean that planning applications for the particular type(s) of development would be refused. It simply establishes a need to apply for planning permission.

4. Notice of the Article 4 Direction

4.1 The procedures for the making and notification of an Article 4 Direction are set out in [Schedule 3 of the Town and Country Planning \(General Permitted Development\) \(England\) Order 2015](#).

4.2 An Article 4 Direction was made on 7 February 2024 and notices to this effect published as set out below. Due to a typographical error on that Direction, a replacement notice was published on 21 February 2024, and the statutory notification process was completed again.

4.3 In line with the requirements of the Order above, publicising the notice included:

- Erecting site notices within the defined area (the regulations require a minimum of 2 notices in the area) – a total of 11 notices were erected in the defined area (see Appendix 2 for locations)
- Local press notice – Rugby Observer (published on 23 February 2024)
- Copies of the Article 4 Direction and the notice were made available for inspection at both the Town Hall and Rugby Library.

In addition:

- Social media channels were also utilised to publicise the Article 4 Direction
- Individuals and organisations on the Development Strategy consultation database were notified by email.

A copy of the Article 4 Direction was also forwarded to the Secretary of State as required by the order.

5. Representations

- 5.1 Sub-paragraph 9 of [Schedule 3 of the Town and Country Planning \(General Permitted Development\) \(England\) Order 2015](#), sets out that in deciding whether to confirm the direction, the local planning authority must take into account the representations received in the notice period. A detailed summary of the representations received is included in Appendix 3, and these are summarised below.
- 5.2 All representations received in response to the notification of the Direction issued on 7 February 2024 with the typographical error are also included below for completeness.
- 5.3 Eight individual responses were received, with one including a petition (see below). No objections were received. Of the responses received:
- 4 express support explicitly
 - 3 comment on HMOs
 - 1 queries how future planning applications would be assessed and how policy would apply, but does not express a view on the direction itself
 - No objections were received.
- 5.4 One of the representations received included an attached petition, supplied in support of the Article 4 Direction. This includes 651 signatures collected via change.com over the period of a year. The covering email with the petition attachment outlined general concerns regarding HMOs which are included in the summary below (and in Appendix 3).
- 5.5 In supporting or commenting on the Article 4 Direction three respondents directly expressed dissatisfaction with current controls on the development of HMOs, with one suggesting it is “too little, too late”. The representative submitting the petition described the Article 4 Direction as “an absolute necessity” alongside a “complete overhaul” of planning policies in respect of HMOs.
- 5.6 The reasons given for supporting (or being motivated to comment on) the Article 4 Direction are to help reduce observed negative impacts concentrations of HMOs (and in some representations specific examples of HMOs) can bring about. Based on the representations, these can be summarised as:
- Standard of accommodation offered by HMOs (2 respondents)
 - Safety of accommodation (1 respondent)

- Traffic and parking issues (6 respondents)
- Negative impacts on social cohesion/community relations (4 respondents)
- Antisocial behaviour and crime (2 respondents)
- Resultant loss of family housing (2 respondents)
- Overdevelopment/intensification (4 respondents)
- Lack of respect for building character and features/care for the fabric (1 respondent)
- Waste, bin storage and fly tipping (2 respondents)

5.7 Overall, representations received were supportive of the Article 4 Direction.

6. Financial Considerations

6.1 Where an Article 4 Direction comes into effect not less than 12 months from the date of the publication of the notice in the prescribed manner as recommended in this instance, the Council will not be liable for any compensation to applicants who subsequently have an application for a HMO in the defined area refused, or who have more onerous planning conditions placed upon an approval (section 108(3D) Town and Country Planning Act 1990).

6.2 The prescribed manner for publishing notice of the Article 4 Direction is set out in paragraphs 1(1) to (5) of Schedule 3 to the Permitted Development Order (Regulation 4 of The Town and Country Planning (Compensation) (England) Regulations 2015). The last date on which any notice relating to the order was published or served was 23 February 2024, when the notice was published in the Rugby Observer. Therefore, it is proposed that the order come into force 12 months after that date, on 23 February 2025. As a result, financial risks to the Council are mitigated.

6.3 Planning applications resulting from the confirmation of the Article 4 Direction would be submitted in the same way as all other planning applications and would attract the relevant fee. The number of additional planning applications that would result from the Article 4 Direction cannot be easily quantified, as there is no existing data to underpin this.

7. Conclusion

7.1 Representations received to the Article 4 Direction demonstrate general support for greater oversight of HMO development within the defined area, and no objections have been received. Representations received reiterate concerns relating to concentrations of HMOs, which formed part of the reported rationale for introducing an Article 4 Direction.

7.2 No clear reason not to confirm the Article 4 Direction has come to light through the process.

8. Next steps

8.1 If the decision is taken to confirm the Article 4 Direction, the next step would be to carry out a further notification process of the date the direction will come

into effect. This notification process is set out in Schedule 3 of the Town and Country Planning (General Permitted Development) (England) Order 2015.

Name of Meeting: Cabinet

Date of Meeting: 16 September 2024

Subject Matter: Article 4 Direction- Houses in Multiple Occupation

Originating Department: Development Strategy

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

**RUGBY BOROUGH COUNCIL
TOWN & COUNTRY PLANNING (GENERAL PERMITTED DEVELOPMENT) (ENGLAND) ORDER 2015 (AS
AMENDED)**

HOUSES IN MULTIPLE OCCUPATION (HMO)

DIRECTION MADE UNDER ARTICLE 4(1) TO WHICH SCHEDULE 3(1) APPLIES

WHEREAS Rugby Borough Council (“the Council”) being appropriate local planning authority within the meaning of Article 4(5) of the Town and Country Planning (General Permitted Development) (England) Order 2015 (as amended) (“the Order”), is satisfied that it is expedient that developments of the description(s) set out in the Second Schedule below should not be carried out on land identified in the First Schedule and shown edged in red on the map in the Third Schedule below (“the Land”) unless planning permission is granted on an application made under Part III of the Town and Country Planning Act 1990 (as amended).

For the avoidance of doubt, the Council is satisfied that the Direction is necessary to protect the amenity of the Land and in the interests of good planning.

NOW THEREFORE the said Council in pursuance of the power conferred on it by Article 4(1) of the Order hereby directs that permission granted by Article 3 of the Order shall not apply to development on the Land (as more particularly defined in the First Schedule and shown in the Third Schedule) of the description(s) set out in the Second Schedule below.

FIRST SCHEDULE

The following wards ARE SUBJECT to this Direction:

- Benn
- Coton and Boughton
- Eastlands
- New Bilton
- Newbold and Brownsover

SECOND SCHEDULE

Part 3 of Schedule 2 to the Town and Country Planning (General Permitted Development) (England) Order 2015 (as amended) Class L (b).

Development consisting of a change of use of a building falling within Class C3 (dwellinghouses) of the Schedule of the Town and Country Planning (Use Classes) Order 1987 (as amended) to a use falling within Class C4 (houses in multiple occupation) of that Schedule, being development comprised within Class L(b) of Part 3 of Schedule 2 to the Town and Country Planning (General Permitted Development) Order 2015.

THIRD SCHEDULE



Article 4 Direction Area - Houses in Multiple Occupation (HMO)



man

16/24

To be completed when making the Article 4 Direction

Made under the Common Seal of
Rugby Borough Council
on the 21st day of February 2024

The Common Seal of Rugby Borough Council was hereunto affixed to this Direction in the presence of

.....
.....

Authorised Signatory



To be completed when confirming the Article 4 Direction

The Direction was confirmed under the Common Seal of
Rugby Borough Council
this day of2025

The Common Seal of the Council was affixed to this Direction in the presence of





.....

Authorised Signatory

Appendix 2

Notice locations

Location	Ward	Location image
Murray Road, Rugby. Lamp post between 163 Murray Road and Salt Delish and Extra chip shop	Benn	
Railway Terrace, Rugby. Lamp post in front of no. 5 (Barber)	Benn	
Railway Terrace, Rugby. Lamp post nearest entrance to play space associated with new build flats	Benn	

<p>Boughton Road, Rugby. Lamp post near Londis and sub Post Office</p>	<p>Brownsover and Newbold</p>	
<p>Bow Fell, Brownsover, Rugby. Lamp post near entrance to community centre and medical centre</p>	<p>Brownsover and Newbold</p>	
<p>Main Street, Rugby. Lamp post near Coop store.</p>	<p>Brownsover and Newbold</p>	
<p>Campion Road, Rugby. Lamp post adjacent to bus stop</p>	<p>Coton and Boughton</p>	

<p>Coton Park Drive, near entrance to Merlin Close</p>	<p>Coton and Boughton</p>	
<p>Clifton Road, Rugby. Lamp post in front of local shops</p>	<p>East lands</p>	
<p>Addison Road, Rugby. Lamp post adjacent to park.</p>	<p>New Bilton</p>	
<p>Lawford Road, Rugby. Lamp post in front of Coop store</p>	<p>New Bilton</p>	

Appendix 3 – Summary of representations

	Individual/organisation	S/C/O	Summary of comments*	RBC response
1	Individual	Support	Tightening of the regulations is necessary to prevent slum conditions developing within these areas. Vehicle overcrowding would be another problem.	Noted. This forms part of the rationale for proposing and Article 4 Direction.
2	Individual	Support	<p>I would like to place my support for Article 4 Direction.</p> <p>Rugby is being swamped with HMO properties popping up unchecked everywhere. Which is causing not only traffic issues but people are being evicted on made up reasons so a property owner can convert a perfectly good rental home into an HMO to make more money. Many HMO's do not accept pets or children for obvious reasons but when a family is evicted its difficult to find a new home if you have pets and kids without adding the lack of family homes being available.</p> <p>Were in a housing crisis and HMO's are only adding to this. Council have no properties, Emergency accommodation is becoming scarce and is not suitable long term, Private rents prices are out of hand because HMO's are making family sized properties in higher demand. If you're lucky enough to secure a rental property for a family the chances are it will be turned into an HMO within a year.</p> <p>I doubt the average wage of a single person with kids would cover Rugby's current average rental charges and until something is done about HMO properties its only going to get worse. HMO's do have a place in the current rental market but they need tougher regulation. Whether that can be achieved through Rugby Council or Government is needs sorting.</p>	<p>Noted.</p> <p>Noted. This is part of the rationale for the Article 4 Direction.</p>
3	Individual	Support	I support the Council's proposal to introduce an Article 4 direction for HMOs in the 5 wards identified. It was a shock to see the council's own	Noted

*comments have been included as fully as possible, but have been summarized to exclude any personal information or specific property examples included in the representation. *Text in italics indicates comments that have been summarized for this reason.*

	Individual/organisation	S/C/O	Summary of comments*	RBC response
			<p>records of the concentration of licensed HMOs in Benn Ward, which raised the question of how many more unlicensed HMOs under current permitted development rules there might be across the town centre, with a lack of supervision or planning control. <i>On my road</i> in Eastlands Ward, one house is currently being converted into an HMO with complete disrespect for its period character and original features. I visit friends in Tamworth whose street has become taken over by HMOs and the concentration has an observable negative impact on neighbourly relations, social confidence, care for building fabric and traffic. Admittedly, an HMO is preferable to a property being unoccupied for a long time.</p>	
			<p>Parking pressures and traffic management are particular flashpoints in central Rugby. There is little or no off-street parking available. The housing stock was largely built before car ownership was commonplace. It is already the case that designated on-street parking areas are constantly full, with the consequence that some roads are often reduced to single-file traffic, with long queues to and from the town centre, Lawrence Sheriff School and Whitehall Medical Practice. An increase in HMOs in this context without planning controls can only increase pressure on parking and traffic management.</p>	<p>Noted. This is part of the rationale for the Article 4 Direction.</p>
			<p>I would also support the Article 4 direction from the standpoint of the council having an oversight of accommodation standards and fire safety - ensuring sufficient facilities and communal space as well as considering the realities of whether the narrow stairways, halls and landings in most converted HMOs are really safe and workable in the context of the potential number of occupants in an HMO.</p>	<p>Noted. The requirement for a planning application for a new HMO would allow the local planning authority to consider the proposal in the context of existing planning policy. Updated policies will be included in the emerging local plan.</p>

*comments have been included as fully as possible, but have been summarized to exclude any personal information or specific property examples included in the representation. *Text in italics indicates comments that have been summarized for this reason.*

	Individual/organisation	S/C/O	Summary of comments*	RBC response
			I rather think that the reason why there is such demand to create HMOs in Rugby is the lack of proper flat-building in the centre, with wrap-around facilities; and hope that can be addressed in future policies. Temple Court on Hillmorton Rd for example is a fine example of a well-designed and laid-out attractive flat complex. Similar developments might be possible in areas such as the old Rectory site.	Noted. Housing mix will be considered through the emerging local plan.
4	Individual	Comment	Please do not allow more HMOs <i>I live in New Bilton</i> . Its full of houses let to numerous people in them including next door and opposite. I can't park the car near my house in the road and the back lane is full of cars and trailers and often I can't drive up it to park in my back yard. I wish you could bring in parking permits.	Noted. The Article 4 Direction, if confirmed will allow greater oversight and control of the development of new HMOs.
			These houses are big enough for families but cut up into rooms just increases the use of all the facilities. Most houses are full of men also changing the demographic of the area. From here they don't walk to work but have cars.	Noted. Impacts on family housing supply, social cohesion and traffic and transport all form part of the rationale for the direction.
			I have no objection to anyone living here but please no more HMOs.	Noted. The Article 4 Direction, if confirmed will allow greater oversight and control of the development of new HMOs.
5	Alt Street Property	Comment	None of the documentation outlines what concentration within a certain limit will be permissible. For example, allowing 10% of houses to be HMOs within a 50m radius, or must have X no. of parking spaces. Does this mean that all future HMO applications will be rejected if a planning application were to be submitted?	An Article 4 Direction only has the effect of requiring a planning application to be submitted. Any application will be

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	Individual/organisation	S/C/O	Summary of comments*	RBC response
				assessed against adopted planning policies. It is intended that the emerging Rugby local plan will include new policies in respect of HMOs. <i>An email reply was sent directly to this respondent to answer these queries.</i>
6	Individual	Comment	I wish to make a representation about HMOs in New Bilton. While I appreciate that the RBC is finally beginning to take action on this matter now, I am afraid it is too little too late. The houses that were suitable for conversion to HMOs, have been converted to them. Now what is happening is that permissions are being granted for houses that are unsuitable for conversion, crammed into every possible place in New Bilton, with complete disregard for amenities, parking, green space or any other consideration. The anger and irritation lack of parking causes are linked directly to the unmanaged proliferation of HMOs in our area. It has also led to the fracturing and dismemberment of community wellbeing. The people in HMOs are in transitory situations and come and go frequently and do not have investment in the area. Why should they? They are here to work and only that matters. It also has increased the amount of disgusting fly tipping and antisocial behaviour. I noted that New Bilton's latest crime statistics for December 2024 show a steep rise to 70 sexually violent crimes and incidents. We are too closely crammed together like battery chickens. Obviously, there are going to be resulting issues. Do we matter so little because we are Super Output Areas and/areas of deprivation in the Borough? It oftens feels like it.	Noted. The issues raised are part of the rationale for the introduction of an Article 4 Direction.

*comments have been included as fully as possible, but have been summarized to exclude any personal information or specific property examples included in the representation. *Text in italics indicates comments that have been summarized for this reason.*

	Individual/organisation	S/C/O	Summary of comments*	RBC response
			<i>Refers to a specific conversion example, which is not yet fully occupied. Concern that if this property becomes fully occupied, it will further exacerbate existing issues, and have a direct impact on the respondent who has a designated parking space which is often taken by others.</i>	Noted.
			These circumstances must surely apply to others who live near to dwellings converted to HMOs. It is magnified several times over. It is not a healthy environment in which to expect a community to live, thrive and belong. First time buyers either buy to rent converted HMOs or if they have families do not stay long as it is not a pleasant situation in which to bring up young families.	Noted. This forms part of the rationale for the direction.
7	Individual	Comment	Multiple dwellings - I moved into a new Barratt home in July last year - I was under the impression that THIER was control of one did with the house - but we found extensive alteration were being made to the detached houses ie being refined inside with extensive alterations to turn the detached house into one for two families extensive alterations basically turn the house into semi detached in one example the house has been turned into students accommodation. Extra families and extra waste which the space is not designed for.	The introduction of the direction is intended to give greater oversight and control over development of HMOs in the defined area
			As it is the planning procedure you have in Rugby is inefficient your procedure - are procedure are not carried - no transparency - rate payers letters are ignored because you say you do not have the staff - quite frankly you need to get your act together or put the planning into the private sector put the planning costs up for developers	The introduction of the direction is intended to give greater oversight and control over development of HMOs in the defined area
8	Rugby Residents	Support	I am writing for and on behalf of many of your Rugby Residents, in support of the proposed introduction of an Article 4 Direction.	Noted
			Myself and other residents have, over the last year, pounded the streets, talking to residents in the Benn Ward about their experiences with HMOS in the area.	Support noted. Issues raised form part of the rationale for the direction.

*comments have been included as fully as possible, but have been summarized to exclude any personal information or specific property examples included in the representation. *Text in italics indicates comments that have been summarized for this reason.*

	Individual/organisation	S/C/O	Summary of comments*	RBC response
			<p>Over and over again we heard stories of HMOs, both licensed and unlicensed, causing all sorts of issues to other residents - including noise issues, parking problems, antisocial behaviour, over-development, loss of family homes, loss of community.</p> <p>We all feel very strongly that the Article 4 Direction is needed to stop this kind of development, to ensure every HMO is considered before approval and that the Planning Committee take a much broader view of the impact that the huge amount of HMOS in such a small area has.</p>	
			<p><i>A specific example of multiple properties in a single street being purchased and converted is cited.</i></p>	Noted.
			<p>In support of this we have, over the last year, gathered 651 signatures in a petition hosted on change.org and which you can view here: Sign the Petition</p> <p>The 651 signatures (attached to the representation as an excel document) - we hope that you will take this as a strong indication that the Article 4 Direction is an absolute necessity, as is a complete overhaul of the current planning policy on HMOs in the area (or lack of one).</p>	Petition noted. Local policies on HMOs will be drafted and considered as part of the local plan review.

*comments have been included as fully as possible, but have been summarized to exclude any personal information or specific property examples included in the representation. *Text in italics indicates comments that have been summarized for this reason.*

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.

Equality Impact Assessment

Service Area	Development Strategy
Policy/Service being assessed	Article 4 Direction – Houses in Multiple Occupation (HMO)
Is this is a new or existing policy/service? If existing policy/service please state date of last assessment	The proposed Article 4 Direction would require the submission of a planning application for change of use from C3 (dwelling house) to C4 (small HMO), where this currently constitutes permitted development.
EqlA Review team – List of members	Hayley Smith – Principal Planning Officer
Date of this assessment	December 2023 (updated July 2024)
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 Chief Officer – Legal and Governance.

If you require help, advice and support to complete the forms, please contact Aftab Razzaq, Chief Officer – Legal and Governance via email: aftab.razzaq@rugby.gov.uk

Details of Strategy/ Service/ Policy to be analysed

<u>Stage 1 – Scoping and Defining</u>	
(1) Describe the main aims, objectives and purpose of the Strategy/Service/Policy (or decision)?	The objective of the Article 4 Direction (in combination with new policy in an updated local plan), is to enable greater oversight and management of the supply of HMOs in areas of Rugby town. The wards in question already incorporate HMOs, and community feedback has raised some concerns regarding the impact of clusters of HMOs on local character and amenity. Requiring a planning application for development that currently constitutes 'permitted development' would enable the local planning authority to better protect the amenity and character of these localities.
(2) How does it fit with Rugby Borough Council's Corporate priorities and your service area priorities?	The Article 4 Direction seeks to contribute to the Health and Communities, and Organisation priorities of the Council. It aims to maintain character and amenity of the proposed area, and balanced communities.
(3) What are the expected outcomes you are hoping to achieve?	The outcome of the Article 4 Direction would be oversight and management of the type of development described, where currently there is none.
(4) Does or will the policy or decision affect: <ul style="list-style-type: none"> • Customers • Employees • Wider community or groups 	<p>The demand for HMOs in the locality demonstrates that they are meeting a housing need. There may be a risk that over-restriction could result in such a need not being met. However, the need for a planning application does not mean that applications would be refused.</p> <p>The Article 4 Direction would affect property owners in the proposed area, by requiring them to submit a planning application for a change of use from C3 (dwelling house) to C4 (small HMO).</p>

<u>Stage 2 - Information Gathering</u>	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, e.g service uptake/usage, customer satisfaction surveys, staffing data, performance data, research information (national, regional and local data sources).
(1) What does the information tell you about those groups identified?	The population affected by the Article 4 Direction is largely limited to the defined geographical area. The data tells us that there is demand for HMO accommodation within this geographical area, which anecdotally is understood to stem from proximity to facilities and services in Rugby town centre, and areas of employment to the north of the town. However, some residents in the area are concerned at the impacts of multiple HMOs in their locality, which can have negative impacts on the appearance of the area, and its amenity. For example, concerns regarding adequate bin storage, adequate parking, and the maintenance of HMO properties are cited. The requirement to obtain planning permission will enable greater oversight and management of these types of development to seek to balance the needs of the community as a whole.
(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?	This report seeks approval to confirm the Article 4 Direction made in February 2024, and have it come into effect on 21 February 2025. When the Article 4 Direction was made on 21 February 2024, notices were published in accordance with the procedures set out in Schedule 3 of the Town and Country Planning (General Permitted Development) (England) Order 2015 (as amended), and representations invited. Eight representations were received, of which comments were generally supportive. One representation included an attached petition containing 651 signatures; which was provided in support of the direction. No objections were received. The Cabinet report summarises the representations in further detail.
(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.	As above, notice of the Article 4 Direction was given in accordance with Schedule 3 of the Town and Country Planning (General Permitted Development) (England) Order 2015 (as amended) when the direction was made in February 2024. If the decision is taken to confirm the Article 4 Direction following consideration of the report, a similar notification process will be repeated in line with Schedule 3 above, to publicise this, and when the Article 4 Direction will come into effect.
<u>Stage 3 – Analysis of impact</u>	

<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?</p> <p>If yes, identify the groups and how they are affected.</p>	<p>RACE No impact</p>	<p>DISABILITY No impact</p>	<p>GENDER No impact</p>
	<p>MARRIAGE/CIVIL PARTNERSHIP No impact</p>	<p>AGE No impact</p>	<p>GENDER REASSIGNMENT No impact</p>
	<p>RELIGION/BELIEF No impact</p>	<p>PREGNANCY MATERNITY No impact</p>	<p>SEXUAL ORIENTATION No impact</p>
<p>(2) Cross cutting themes (a) Are your proposals likely to impact on social inequalities e.g. child poverty, geographically disadvantaged communities? If yes, please explain how? (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>HMOs provide a more affordable type of accommodation, and the demand in the defined area strongly suggests that they are meeting a local need. There is a risk that over-restriction of this type of accommodation could lead to that need not being met. However, the requirement of a planning application does not mean that those applications should/will be refused. Instead, it is intended to positively manage the development of HMOs and ensure that local character and amenity is protected and enhanced for the benefit of the community as a whole.</p> <p>No.</p>		
<p>(3) If there is an adverse impact, can this be justified?</p>	<p>If through the requirement of a planning application for a small HMO (3-6 people), a decision is taken to refuse planning permission, this would be on the basis of planning balance, in order to protect the character and amenity of the locality for the benefit of the community as a whole. This would be considered on a case-by-case basis.</p> <p>The Article 4 Direction will not apply retrospectively. Therefore the existing supply of HMOs would be unaffected.</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.)	As above, this is a matter of balance through the planning application process, but the purpose of the Direction is not to prevent supply overall. The ongoing update to the local plan will seek to introduce policy against which applications for new HMOs can be assessed. This will provide a clear policy framework to applicants and officers, and support the objectives of the Article 4 Direction.
(5) How does the strategy/service/policy contribute to the promotion of equality? If not what can be done?	The Article 4 Direction aims to protect and enhance the character and amenity of wards where there is concern that unmanaged concentrations of HMOs are or might (if the trend continues) negatively impact these. Through the ability to consider and manage changes of use and new developments which are currently outside the remit of the local planning authority, the Council will have greater oversight for the benefit of the community as a whole.
(6) How does the strategy/service/policy promote good relations between groups? If not what can be done?	HMOs meet a housing demand, though the occupiers tend to rent over shorter periods and can therefore be more transient. Impacts that can be observed where there are high concentrations of HMOs are a less balanced community (between settled residents, and short-term occupiers), reduced supply of family housing, maintenance and appearance of HMO properties, inadequate parking availability and inadequate bin storage. These issues (and others) have been raised by respondents to the Article 4 Direction. In confirming and implementing the Article 4 Direction, the objective is to achieve better management of these issues and maintain the levels of character and amenity enjoyed by residents.
(7) Are there any obvious barriers to accessing the service? If yes how can they be overcome?	N/A

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>Policy to support the assessment of applications required as a result of the proposed Article 4 Direction will be developed through the ongoing update of the local plan.</p> <p>EqIA Action Plan</p> <table border="1" data-bbox="887 384 2116 616"> <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> </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 EqIA will be reviewed again if annual monitoring of development suggests it is necessary.</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).’

AGENDA MANAGEMENT SHEET

Report Title: Development Management Service Review Update

Name of Committee: Cabinet

Date of Meeting: 16 September 2024

Report Director: Chief Officer - Growth and Investment

Portfolio: Growth and Investment

Ward Relevance: All

Prior Consultation: None

Contact Officer: Nicola Smith
Chief Officer Growth and Investment
nicola.smith@rugby.gov.uk

Public or Private: Public

Report Subject to Call-In: No

Report En-Bloc: No

Forward Plan: Yes

Corporate Priorities: This report relates to the following priority(ies):
 Rugby is an environmentally sustainable place, where we work together to reduce and mitigate the effects of climate change. (C)
 Rugby has a diverse and resilient economy that benefits and enables opportunities for all residents. (E)
 Residents live healthy, independent lives, with the most vulnerable protected. (HC)
 Rugby Borough Council is a responsible, effective and efficient organisation. (O)
[Corporate Strategy 2021-2024](#)
 This report does not specifically relate to any Council priorities but

Summary: The purpose of this report is to provide Members with an update of the findings of the review of the Development Management Service.

Financial Implications: None as a direct result of this report.

Risk Management/Health and Safety Implications:	None as a direct result of this report.
Environmental Implications:	None as a direct result of this report.
Legal Implications:	None as a direct result of this report.
Equality and Diversity:	The Council's equality and diversity policies for both staff and customers have been embedded within the processes and procedures recommended by the review.
Recommendation:	IT BE RECOMMENDED TO COUNCIL that the report be noted.
Reasons for Recommendation:	The report summarises the findings of the independent review into the Development Management Service and provides members with an update on the action plan.

Cabinet - 16 September 2024

Development Management Service Review Update

Public Report of the Chief Officer - Growth and Investment

Recommendation

IT BE RECOMMENDED TO COUNCIL THAT the report be noted.

1. Executive Summary

1.1 The Development Management team (DM) is responsible for determining planning applications. As a frontline service, there are often competing priorities and increasing engagement from the public. The DM team was last reviewed in 2009 since that time there have been significant changes to the planning system, significant digital changes in the way processes can be undertaken and changing corporate priorities. As one of the fastest growing towns in the country, the DM team needs to be managing and facilitating this growth not impeding this growth by not having the systems and processes in place to ensure that resources are maximised in the most efficient way.

1.2 Hyas Associates Ltd was appointed to carry out the Development Management Review in the spring of 2023. The main findings of the review are as follows:

- Exceeding Government targets for speed of determination of applications
- Exceeding Government targets for quality of decision making
- Increasing use of 'Extensions of Time Agreements' second highest number of Extensions of Time issued in cohort group in 2021/22
- The pre-app service is aligned with best practice from across the country and the fees charged are average to high
- The scheme of delegation is similar to other Local Planning Authorities across the country
- Lowest number of applications per officer in cohort group but only Council with no technical support team
- Higher than cohort group average income per application
- Higher than cohort group average costs per application
- Planning Committee generally works well
- Ability to communicate with individual officers seen as good by customers but some changes have not been communicated regularly enough

- 1.3 The review recommended 64 changes. It was also recommended that the Council considers the recommendations and prepare an action plan to take forward those that it wishes to implement.
- 1.4 An action plan was prepared in the summer of 2023 and has been implemented during the remainder of the financial year. Of the 64 recommendations 49 have already been completed.
- 1.5 The key areas for change which have delivered the most significant change have been:
 - i) Redeploying Land Charges staff to create a Planning Technical Officers Team that now validates all planning applications and deals with general enquiries and other administrative staff.
 - ii) The introduction of written procedures and policies to all staff which can be quickly accessed.
- 1.6 The changes have meant an increase in speed in the validation of applications and freeing up officer time to focus on the determination of applications which has reduced the officer cost per application and has also led to a significant reduction in the reliance on Extension to Time Agreements which is a new government target. In 2021/22 63.6% of all application determined had agreed Extension to Time Agreements. This dropped to 45% in 2023/24 and in Q1 of 24/25 it dropped again to 38%. This is expected to fall further as the above processes are embedded.

2. Background

- 2.1 In 2022, the Growth and Investment Portfolio was realigned to ensure that it could deliver on the Council's Corporate Strategy and also its statutory functions as the Local Planning Authority. This realignment included the creation of a Major Projects and Economic Development team to lead on our large complex projects such as Houlton, Southwest Rugby and Ansty Park, to create an economic development function to support our local businesses and economy and resources to deliver the Regeneration Strategy. The realignment also ensured that planning enforcement was provided with the resources to provide a dedicated enforcement function rather than officers doing both planning and enforcement work.
- 2.2 The realignment also resulted in existing staff being moved into different teams within Growth and Investment Portfolio and given different priorities. In 2022 and 2023 the Council also approved additional funding to create new establishment posts to ensure that the team had the necessary skills and resources to fulfil its corporate strategy and statutory functions. These posts included:
 - a Senior Planning Officer post to deal with Southwest Rugby
 - an additional Enforcement Officer
 - 2 Economic Development Officers
 - a Community Infrastructure Levy and Monitoring Officer
 - a Principal Planning Officer Town Centres

- 2.3 Delivering effective and efficient services however are not just about providing more staff it is also about ensuring that processes are designed to deliver efficient services and to ensure best value for the taxpayer.
- 2.4 The DM team, is responsible for determining planning applications. As a frontline service, there are often competing priorities and increasing engagement from the public. The DM team was last reviewed in 2009 since that time there have been significant changes to the planning system, significant digital changes in the way processes can be undertaken and changing corporate priorities. As one of the fastest growing towns in the country, the DM team need to be managing and facilitating this growth not impeding this growth by not having the systems and processes in place to ensure that resources are maximised in the most efficient way.
- 2.5 The main identified drivers for the review were:
- Reduction in central support grant from the Government
 - Implementation of the Councils Corporate Strategy 2021-24
 - Council focus on delivering more efficient and effective services
 - Costs associated with appeals
 - Costs associated with temporary staff
 - Difficulties of recruitment and retention of Chartered Town Planners nationally
 - A relatively small but increasing backlog of planning applications
 - The aim to achieve a 'good' level of customer service
 - A team structure and processes that are performance based
- 2.6 In December 2022 Cabinet approved the use of funds from the Transformation Reserve to fund an independent review of the Council's Development Management function.

3. The Review

- 3.1 Hyas Associates Ltd was appointed to carry out the Development Management Review in the spring of 2023. Hyas work with local authorities across the country on planning related matters including working with the Planning Advisory Service.
- 3.2 The brief for the project was to constructively evaluate the current approach to the delivery of services; clarify what outcomes the Council wanted to achieve for the service; determine 'what good looks like'; define the processes, tools, resources and skills required to achieve the agreed aims. The review sought to develop processes and procedures that embed good working practices within the team. The approach involved the following key tasks:
- Undertaking a benchmarking exercise looking at nationally recorded statistics, staffing numbers and budgets, to identify good practice and appropriate comparators.
 - Undertaking a desktop review of current approaches within RBC, including a review of procedure manuals/documentation where they exist.

- Spending some time with the team, following planning applications as they move through the system, considering how pre-apps are undertaken and how enquiries are dealt with.
- Review the Planning Committee processes from report drafting, engagement with Committee Chair and the meeting itself.
- Undertake one to one discussions with the following stakeholders both internal and external.

3.3 A copy of the review is attached at Appendix 1. The main findings of the review were as follows:

- RBC website provides a good amount of information about pre-apps
- The pre-app service is aligned with best practice from across the country
- Fees are charged for pre-apps are average to high
- The scheme of delegation is similar to other Local Planning Authorities across the country
- Increasing use of 'Extensions of Time Agreements'
- Second highest number of Extensions of Time issued in cohort group in 2021/22
- Lowest number of applications per officer in cohort group
- Higher than cohort group average income per application
- Higher than cohort group average costs per application
- Exceeding Government targets for speed of determination of applications
- Exceeding Government targets for quality of decision making
- Collective understanding that Rugby is a 'pro-growth' authority
- Some understanding about the corporate changes in culture and future emphasis on understanding performance and how its measured
- Fear of change/resistance to change from some officers
- Desire from senior management to capture more benefits of growth
- Planning Committee generally works well and there are opportunities to build on current good practice by undertaking more training, improving information exchange and engagement.
- Internal stakeholders worked well with the planning team. Relationships tended to be transactional rather than collaborative. Lack of efficient processes due to different systems.
- Ability to communicate with individual officers seen as good by customers
- Changes to service delivery have not been communicated to regular customers
- Officers focus on getting approvals rather than timescales and believe this leads to more applications approved and better quality applications
- Officers didn't take applications out of the box if they considered they had a full caseload already. Some officers left 'difficult' applications in the box
- Officers considered they do too much for agents/applicants
- Mixed approaches to personal development
- Good management knowledge and support
- Lack of written guidance on processes or procedures

- Lack of knowledge within the team about how the Agile system works and how to manage it
 - Lack of understanding of Planning Performance Agreements
 - Lack of heritage/conservation specialist
- 3.4 The review recommended 64 changes. It was also recommended that the Council considers the recommendations above and prepare an action plan to take forward those that it wishes to implement. It was important that the action plan sets key milestones for implementation and identified who was responsible for implementing the actions. The key priorities were:
1. Reducing the time spent on individual applications.
 2. Ensuring that all officers are clear about the statutory and regulatory requirements for processing planning applications.
 3. Utilising savings from vacant posts to establish a technical support role(s) that can undertake duties currently done by planning officers to give them more time to spend on planning issues on applications.
 4. Focus efforts to resource the enforcement team and consider opportunities to engage planning officers more frequently in enforcement work.
- 3.5 In relation to the four key areas of focus recommended by Hyas the following steps have been undertaken and all work is completed.

Reducing the time spent on individual applications

- 3.6 It was recognised that the concentration on discussion and negotiation on applications rather than statutory time limits meant that the time spent on processing individual applications has increased. The application fee however is only paid once, so allowing multiple opportunities to amend a scheme increases the cost to the service. Furthermore, the additional time taken to process applications is being masked by the use of Extension to Time Agreements as these are taken out of the quarterly returns to government. Extension to Time Agreements should only be used in exceptional circumstances however as the report identified they have become the norm with a higher usage than other authorities within the cohort. The previous Government sought to crack down on the use of Extension to Time Agreements and there is now a requirement to report on them as part of the quarterly statistics. In 2021/22 63.6% of all applications determined were covered by extension to time agreements.
- 3.7 The action taken has been to remind officers that Extension to Time Agreements should only be used in exceptional circumstances. Furthermore, to encourage the use of the Council's pre-application advice service to ensure that discussions on schemes can be held prior to the application being received which results in less amendments being required and ultimately a quicker decision-making process. Officers have also been advised that they do not have to spend exorbitant time negotiating amendments. Applicants should always be offered the opportunity to amend a scheme if it would make it acceptable or to lead to improvements but the number of times amendments are requested should be limited.

- 3.8 The quarterly returns for 2023/24 have already demonstrated that for 2023/24 the average number of days taken to determine applications is reducing. The annual return for 2023/24 saw the Extension to Time % reduce to 45% and the Q1 figures shows this has dropped again to 38%.
- 3.9 In July the government published data of the authorities who had the most Extension to Time agreements. The 50 worst authorities were named in Planning Resource they relied on Extension to Time Agreements for 56%-81.9% of all applications. The steps undertaken has meant that the Council has now a much improved record of the use of Extension to Time Agreements.

Ensuring that all officers are clear about the statutory and regulatory requirements for processing planning applications

- 3.10 The absence of process notes and procedure manuals meant that a lot of officer time was spent searching for the information or consulting with colleagues. Over the last year new process manuals on validation and other procedures along with new standard templates have ensured that officers are not only clear about the requirements for processing applications but also that this can be done in a more efficient manner which assists with the time taken to process individual applications. This has also contributed to the reduce reliance on Extension to Time Agreements and resulted in faster processing times.

Utilising savings from vacant posts to establish a technical support role(s) that can undertake duties currently done by planning officers to give them more time to spend on planning issues on applications

- 3.11 A significant issue raised by officers was the time taken to validate planning applications as result of the Vanguard method being employed which means that one officer, no matter how senior, manages all parts of the process rather than the task being undertaken by the most appropriate person. The review pointed to the lack of a technical team to assist with the validation process and other tasks which is common at other local authorities as being a significant issue.
- 3.12 A planning technical team has been created using two existing officers who assisted with land charges and also through the creation of a new post using a vacant planning officer post on the establishment. All three Planning Technical Officers are now in post and have been receiving training. The full responsibility for validation and other tasks commenced on 1 April 2024. The structure of the team will then be reviewed during 2024/25 to establish the impact of this change and the cost savings to the service.

Focus efforts to resource the enforcement team and consider opportunities to engage planning officers more frequently in enforcement work

- 3.13 The realignment of the Growth and Investment Portfolio and the establishment of a dedicated Enforcement team of three officers has created additional resources and a focus for enforcement. The team were not fully staffed however until Summer 2023. The adoption of Planning Enforcement Local

Plan means that Councillors and residents are provided with more information about the work of the team along with performance measures which are also KPIs and PIs. The Enforcement Team are now looking at ways in which they can involve planning officers in the work that they do to create a greater understanding across the Growth and Investment Portfolio.

- 3.14 Outside of the key priorities an action plan was also prepared and is attached at Appendix 2. Of the 64 recommendations 49 have already been completed. 10 are underway, of these seven are awaiting other internal changes or external bodies to allow them to be completed. Only five recommendations have not been started four of these relate to the establishment of an Agents Forum which will be established in 2024 and the other relates to the establishment of a Charter which will also be reviewed in 2024 following the establishment of the Council wide Customer Charter.
- 3.15 The outcome of the review and the implementation of the changes can be seen in the improvements in performance measures. It should however be recognised that many of the changes were not implemented until well into 2023/24 which means that greater improvements should be achieved in 2024/25. There have also been significant vacancies within the team which has impacted on performance and the Council remains reliant on agency staff to cover these vacancies.

4. Conclusion

- 4.1 The independent review undertaken has resulted in a number of recommendations which has formed part of an action plan to ensure that the Development Management service can respond to changing pressures at a national and local level, improve performance and provide a more efficient service. These recommendations have been adopted and the majority of the action plan has already been introduced. The efficiencies and improved performance can be recognised in the quarterly performance returns.

Name of Meeting: Cabinet

Date of Meeting: 16 September 2024

Subject Matter: Development Management Service Review Update

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



Development Management Service Review

Rugby Borough Council

May 2023

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Executive Summary

This report details our review of the Development Management Service at Rugby Borough Council. The focus of the work was on the delivery of the service and consideration of what good looks like and to identify the processes, tools, resources, and skills required to achieve the agreed aims.

The review commenced with identifying a comparator group and then benchmarking performance statistics, staffing numbers and budgets. This helped to inform interviews with Councillors, Senior Management, key internal stakeholders, customers and finally the DM team itself. The main findings are summarised as follows:

- RBC website provides a good amount of information about pre-apps
- The pre-app service is aligned with best practice from across the country
- Fees are charged are average
- The scheme of delegation is similar to other LPAs across the Country
- Reducing number of applications per year
- Increasing use of Extensions of Time
- 2nd highest number of Extensions of Time issued in cohort group in 2021/22
- Lowest number of applications per officer in cohort group
- Higher than cohort group average income per application
- Higher than cohort group average costs per application
- Exceeding Government targets for speed of determination of applications
- Exceeding Government targets for quality of decision making
- Collective understanding that Rugby is a 'pro-growth' authority
- Some understanding about the corporate changes in culture and future emphasis on understanding performance and how its measured
- Fear of change / resistance to change from some officers
- Desire from senior management to capture more benefits of growth
- Planning Committee generally works well and there are opportunities to build on current good practice by undertaking more training, improving information exchange and engagement.
- Internal stakeholders worked well with the planning team. Relationships tended to be transactional rather than collaborative. Lack of efficient processes due to different systems.
- Ability to communicate with individual officers seen as good by customers
- Changes to service delivery have not been communicated to regular customers
- Officers focus on getting approvals rather than timescales and believe this leads to more applications approved and better quality applications
- Some officers admitted to approving applications that probably shouldn't have been because they had already asked for changes and writing up refusals and the threat of appeals was considered to be a lot of work.
- Officers didn't take applications out of the box if they considered they had a full caseload already. Some officers left 'difficult' applications in the box.
- Officers considered they do too much for agents / applicants.
- Mixed approaches to personal development
- Good management knowledge and support
- Lack of written guidance on processes or procedures.
- Lack of knowledge within the team about how the Agile system works and how to manage it
- Lack of understanding of PPAs
- Lack of heritage / conservation specialist

These were reported back to the DM team for feedback. Richard and Nicola had previously reviewed the findings and asked us to facilitate a session with the team to consider the issue of time taken to determine applications. It was felt this was important given proposed changes in performance management recording by the Government and feedback from customers. The team were asked to think about barriers to quicker decision making and what were the possible solutions.

The second part of the workshop focused on identifying what a good service looked like and the principles that underpinned it, based on SWOT analysis and the findings of the review.

The research undertaken identified a number of areas for improvement and further consideration as well as building on positive approaches. We have captured our insights and made associated recommendations on the purpose of the service, the culture, processes, performance, personal and careers development, and recruitment and retention:

1. Establish a regular agent / applicant forum.
2. Use the forum to communicate any changes in approach, new legislation or policies such as validation requirements and climate change SPD.
3. Invite Portfolio Holder and Planning Committee Chair to attend twice a year.
4. Use the forum to communicate expectations.
5. Consider preparing and adopting a Charter that sets out the Councils expectations from applications and the commitments it will make. This could include how many opportunities the Council will give to make amendments for example or information about the of PPAs e.g.
6. Put in place regular Officer / Member sessions to reinforce the messages around the “purpose of planning” and approach to key issues such as HMO and G&T. this could be part of the suggested monthly Committee briefing sessions.
7. Instigate joint sessions of DM and Policy to ensure alignment on key issues and corporate focus for emerging plan and decision making.
8. Ensure the principles established by the team are built into annual service planning and individual one-to-ones.
9. Work with team to explain why it is important to measure performance.
10. Ensure roll out of the rugby blueprint and check to ensure staff understand what it means. Can they deliver against it and how will they know?
11. Consider yearly sessions with the team as part of annual business planning to reflect back the approach required.
12. Ensure customer feedback is part of this process.
13. Empower principal officers to ensure consistency of approach and regulatory requirements followed.
14. Ensure officers understand that they are not alone and can ask for help.
15. Involve junior officers are more complex projects or appeals as part of a bigger team.
16. Consider more days in the office, particularly as teams.
17. Provide guidance and training for Members on enforcement.
18. Celebrate “successes” with members and public.
19. Strengthen relationships between enforcement and DM teams. Encourage DM officers to get more involved in enforcement activity.
20. Consider giving planning officers a small case load of enforcement work.
21. Consider the best approach for Rugby to strengthen the role of Members at pre-app stage. Options include:
 - a. issues papers at Committee when apps received;
 - b. briefing sessions to advise Members of pipeline of apps and progress;

- c. presentations from applicants either in public or in private.
- 22. Consider including some plans and drawings in the committee reports or sharing the presentation in advance.
- 23. Provide committee briefing sessions monthly to advise Members about what is upcoming and include details on proposals. This will help to highlight key issues for officers and give Members greater ownership and feeling of involvement. This could be an open invitation to all Members.
- 24. Consider whether it is necessary to amend the Scheme of Delegation to make it clearer that Members are able to request call-in of applications that are re-consulted on, or if reminding officers and Members about the ability for chief officer to refer applications to committee is sufficient.
- 25. Review SLA with WCC ecology. Review what applications they are being consulted on, what data they are providing for the Council to use, how comments are provided and how quickly they are provided.
- 26. Work with WCC to refine how they engage in the process and opportunities to work more efficiently and effectively.
- 27. Explore with WCC including a pre-app fee for WCC services which can then be passed on.
- 28. Explore with WCC opportunities for signing up to a PPA.
- 29. Undertake further work to understand any patterns such as particular consultees asking for further information, experience or confidence of officers.
- 30. Consider establishing a 'technical officer' who takes responsibility for managing and updating the IT system.
- 31. Consider training other officers to have an understanding of the "back office system" and how to run reports etc.
- 32. Consider corporate opportunities for a system that incorporates other disciplines such as building control and environmental health.
- 33. Undertake training on the drafting and use of PPAs for the team.
- 34. Promote the use of PPAs to applicants at agent forums.
- 35. Provide information on the website about PPAs e.g. Cornwall website: What we offer – Cornwall Council and their Charter: Planning Performance Agreement Charter (cornwall.gov.uk)
- 36. Document ways of working into a procedure or process guides / manuals. Involve the team to identify what would be most helpful and what they should contain.
- 37. Continually review, refine and improve processes and update the manuals / guides. Use the ideas from the workshop as a basis for reviewing approaches.
- 38. Investigate opportunities for specialist heritage advice such as shared with other councils, part time roles, consultancy appointments etc.
- 39. Ensure Rugby BC performance measures reflect those proposed by the Government.
- 40. Ensure staff understand why change is needed and empower them to make the changes.
- 41. Encourage the use of the pre-app service – promote its benefits (including shortening application times)
- 42. Ensure the pre-app service is meaningful and delivers benefits to the customer.
- 43. Ensure all officers understand the validation requirements and provide regular training and update sessions.
- 44. Ensure applications that do not have the required information are not validated. Suggest to applicants to use the pre-app service.
- 45. Seek to have a maximum number of days that applications sit in box.

46. Principals should take responsibility for ensuring the box is emptied regularly and should allocate applications which exceed the target for time spent in the box.
47. Principal officers regularly review progress on applications and provide proactive support to officers.
48. Case officers review progress of the application at week 4 to make a decision if the application can be amended to make it good enough to approve.
49. Circulate a list of applications which are 6 weeks old on a weekly basis to remind officers that they are close to their time targets. Officers to consider if all necessary amendments have been made or are likely to be made within target. If not, consider appropriate action such as EOT, refusal, asking to withdraw etc.
50. Consider appointing a technical support officer to help officers with technical tasks and ICT. This could help reduce the burden on some officers to manage the Agile system.
51. Principals should regularly monitor individual performance and data, checking on the type of applications and workload being taken from the box.
52. Undertake further work to understand income and costs, particularly the split between major and minor apps and how staff are allocated to these tasks. Identify opportunities to reduce the cost per application.
53. Introduce mentor or buddy system for junior planners reflecting the corporate values around nurturing staff.
54. Programme of organised CPD including sessions done as a team.
55. Encourage line managers to have more formal regular sessions with team members focusing on professional development where needs are identified, recorded and progress against checked and recorded.
56. Celebrate successes of teams and individuals.
57. Team leaders to review regularly case load and case work to ensure officers have a good mix of applications appropriate to their experience and skill set and personal development objectives.
58. Discuss opportunities with HR to consider financial incentives that can be applied such as golden hello's, golden handcuffs, market supplements etc.
59. Discuss with HR new approaches to recruitment including head hunters and selling the Rugby BC brand.
60. Involve internal stakeholders in the change process.
61. Encourage officers to establish good working relationships with external consultees.
62. Ensure the 3 teams are closely aligned and work closely with each other. Involve planning officers in key ED / Regen workstreams.
63. Ensure the Local Plan reflects the aspirations around LED.
64. Prepare a LED strategy.

We recommend that the Council considers the recommendations above and prepare an action plan to take forward those that it wishes to implement. It is important that the action plan sets key milestones for implementation and identifies who is responsible for implementing the actions. Based on risk to authority we recommend that the focus should be on:

1. Reducing the time spent on individual applications;
2. Ensuring that all officers are clear about the statutory and regulatory requirements for processing planning applications;
3. Utilising savings from vacant posts to establish a technical support role(s) that can undertake duties currently done by planning officers to give them more time to spend on planning issues on applications;

4. Focus efforts to resource the enforcement team and consider opportunities to engage planning officers more frequently in enforcement work.

Introduction and Background

Hyas Associates were commissioned by Rugby Borough Council (RBC) to provide expert, independent support to aid the review of Development Management processes, performance, and outcomes. Our support involved: constructively evaluating RBC's Planning Service, with a focus on the delivery of the Development Management service; what outcomes it wants to achieve for the service; determine 'what good looks like'; define the processes, tools, resources, and skills required to achieve the agreed aims.

Basis of Review

Our approach

Desktop review and benchmarking

The first phase of our approach consisted of a desktop review and benchmarking. We undertook a benchmarking exercise which consisted of performance statistics, staffing numbers and budgets, to identify 'good' practice. The statistical data obtained was compared against Rugby Borough Council's comparator group provided to our team by the Council. The comparator group includes the following authorities:

- Ashford
- Basingstoke and Deane
- Blaby
- Braintree
- Broxbourne
- Cherwell
- East Staffordshire
- Harborough
- Huntingdonshire
- Hinckley and Bosworth
- Nuneaton and Bedworth
- Stafford
- Stratford Upon Avon
- Test Valley
- Tonbridge and Mailing
- Warwick
- West Suffolk
- Wychavon

Our team used two sources of data to obtain the data for the benchmarking exercise, comprising of data from the last 5 financial years (2016/17-2021/22). The first was the [GOV planning statistics tables \(PS1\) \(PS2\)](#) and the second was information from [LG inform](#).

The desktop review and benchmarking phase was used to build a foundation for the review. This was supplemented by spending some time with the team, observing behaviours and working practices, including following planning applications as they move through the system.

Interviews and Workshops

We spoke to a number of stakeholders who are involved in the planning process, from planning officers at the Council providing the service to applicants and agents who receive the service. We have summarised descriptions of those interviewed below. The interviews generally lasted between 30mins and an hour, with the exception of a group discussion held with planners and senior planners which lasted approximately 2 hours.

Senior Leadership Team

As part of our review Hyas had ongoing dialogue with the Chief Officer for Growth and Investment, this included feeding back on any significant findings and discussions and to agree the areas of focus as our work progressed. We spoke to the Chief Executive and Deputy Chief Executive to confirm

their understanding of the development management service and to identify areas of improvement or focus from a managerial perspective.

The Development Management Team

We spoke to officers ranging from graduate level to principal officers, as well as the service managers. We approached the discussion with officers methodically by speaking to the junior members of planning and enforcement officers separately to the principal planning officers and the major projects team.

Internal Stakeholders

Hyas spoke to a number of internal stakeholders who have some form of involvement or input in the planning process, which varied from planning committee to planning applications. We spoke to representatives from Environmental Health, Green Spaces, Legal and Democratic.

Agents/Developers

We spoke to local agents/developers, typically undertaking householder applications and development through to small housing schemes (around 10 units), who were regular customers of RBC. We also spoke to agents and developers of larger schemes who were less regular customers. We did this to provide a range of perspectives.

Councillors

Our team had discussions with Councillors representing all of the political parties at Rugby. Some Councillors were involved in planning committee and others were the lead for their party on planning and development.

Workshop

Our team visited the RBC offices and held a workshop with junior planning and enforcement officers. We used an interactive software tool called Menti to capture thoughts/comments and to identify collaboratively areas of improvement and processes/elements that work well.

We returned to the Council on April 20th and held a second workshop with the whole DM Service. This involved feeding back and testing our findings with the team. We also facilitated a session with the DM team to identify areas of change.

Survey

The Council provided our team with a list of regular customers. We prepared and launched a short survey to gather customer/developer views about the service the identified regular customers receive from RBC, when preparing and submitting a planning application.

All aforementioned research and insight enabled our team to identify areas of focus and change including recommendations to the Council.

Key Findings from the Review

Desktop review

Pre-applications

Rugby Borough Council's pre-application web pages provide good detail outlining:

- The benefits of seeking pre-application advice
- Links to further information: permitted development rights (planning portal); Certificate of Lawfulness; and Warwick Building Control's contact information
- Rugby Borough Councils pre-application T&C's
- Development category criteria
- Submission requirements and guidance
- What happens when Rugby receive the pre-application enquiry (method of response and response time)
- Potential content of response (detail and level of service dependent on scale/type of development)
- Fees, service, payment and exceptions

Pre-application requests are submitted through the website and the fees can be paid via an online system.

The service offered by Rugby for pre-apps includes residential and commercial development. RBC offers pre-application advice on single option proposals only. Their website advises the level of detail of the response will depend on the level of detail submitted, accompanied with submission requests and advisory information. The formal response given to the client is dependent on the nature and complexity of the development. The response could include:

- relevant planning history and key issues to be addressed, including identifying potential impacts and site context
- an assessment of whether the site complies with relevant local and national planning policies
- design advice (comments on built form, scale, massing, views, street scene, historic context, etc)
- impacts on amenity (which properties may be affected)
- whether assessments such as noise, air quality, drainage/flooding, contaminated land, landscape or tree surveys need to be conducted
- general transport policy advice on car and cycle parking standards, and electric charging points
- identification of relevant constraints affecting the site, such as conservation areas or proximity to listed buildings

For a major development, customers can also expect:

- a meeting with the case officer (likely to be via Microsoft Teams). Further meetings usually require an additional request for advice and an additional charge
- information on supporting documents required for submission with a subsequent planning application
- advice on pre-application community engagement

- information on potential infrastructure requirements, including potential impacts which may require mitigation through a Section 106 Agreement, such as infrastructure listed in the Infrastructure Delivery Plan

Hyas alongside the University of Gloucestershire were commissioned by the Planning Advisory Service PAS to deliver a DHLUC funded project in refreshing its pre-application and PPA suite. The outputs included guidance for best practice. In reviewing RBC’s pre-application webpages, their content/level of detail provided aligns with the soon to be updated PAS pre-application guidance.

The pre-application service and fees across LPAs in England varies. The charges in the fees table below displays the local authorities base fees/service which most commonly include a written response but also in some cases included a meeting in addition to the written response. There is a lack of consistency between LPAs as to fee categories so we have attempted to standardise the categories. The data in the pre-application fee table shows that Rugby Borough Council’s fees sit close to the average charge, calculated by using the comparator group. However, Rugby’s fees are on the higher end of the range.

LPA	1-4 dwellings	5-9 dwellings/500-999m2	10-49 dwellings/1,000-4,999m2	50-99 dwellings/5,000-9,999sq.m	Large resi/ 100-150 dwellings 10,000-20,000sqm
Rugby	£ 395	£1,050	£2,400	£3,700	£5,500
Ashford	£400	£700	£1,500	£4,000	250+ dwellings £5,000
Bassingstoke and Deane	25% of the related application fee				
Blaby	Service currently suspended – no details available				
Braintree	£150	£150	£690	£1,010	n/a
Broxbourne	£328	£575	£2,070	£5,980	£8,625
Cherwell	£459 for the first dwelling then £90 per each additional dwelling		£1,200 first two dwellings then £36 for each additional dwelling		
East Staffordshire	£188	£375	£938	£1,250	£1,250
Harborough	£300	£780-£1200	£2,700	£6,000	£6,000
Hinckley and Bosworth	£391.40	£1,030	£2,360	£3,670	£5,460
Huntingdonshire	£420-£2,700	2,700	£3,600-£9,540	£11,520-£19,440	£22,500-£30,060
Nuneaton and Bedworth	£500-£1200	£1,200	£3,000	£5,400	£5,400
Stafford	Service currently suspended – no details available				
Stratford	£350-£600	£600-£850	£2,000	£3,000	£3,000
Test Valley	£144-£259	£259-£432	£763- 10% of full planning fee plus VAT		
Tonbridge and Malling	£506	£758	£2,340	£2,340	£2,400

Warwick	£480- £840	£840-£1,200	£2,400	£2,400	200+ £4,800
West Suffolk	£302	£302	£929	£929	£2,278
Wychavon	£346.20	£693.00	£1,370.50	£2,749.40	£2,749.40

Table 1 RBC Comparators : Pre-Application Fee's

Scheme of Delegation

Rugby Borough Council's constitution sets out how Rugby conducts its business and processes. In terms of RBC constitution, in relation to the scheme of delegation and determining which applications go to planning committee RBC's delegated powers and determining threshold is not dissimilar from the authorities in the comparator group, which can be seen in appendix 1. Generally, the Chief Officer of Growth and Investment (comparator group equivalent: Corporate Management Team) has the power to authorise most functions/decisions and they can refer applications to Planning Committee (full or outline applications only). However, there are exceptions which most commonly consist of the following:

- The development is classified as a 'major development'.
- Planning applications have been 'called-in' under the Called-In procedure.

To be noted on average half of the comparator group adopt a similar approach to RBC in relation to the 'call-in' procedure, albeit they are labelled or categorised differently. Those authorities who allow the call-in procedure tend to follow similar practices to RBC as they require a written request, within the 21 day consultation period for that application. We did not find any examples which specifically referred to instances where applications were reconsulted upon and the 'call in' period restarting.

When we look at the percentage of decisions made that were delegated to officers, Rugby is higher than the average % (94.77%) in its cohort at 95.29% and 6th out of 19 LPAs.

Summary

- RBC website provides good amount of information about pre-apps
- The pre-app service is aligned with best practice from across the country
- Fees are charged are average
- The scheme of delegation is similar to other LPAs across the Country

Benchmarking and Statistical Data

Government Targets and Performance

The performance of Local Planning Authorities is measured by the Government in terms of quality and quantity of decision making. The latter involves measuring time taken to make decisions on the major, minor and other classes of application. The measure is the % of applications in these classes determined within 13 weeks for a major (16 weeks where there is an EIA) and 8 weeks for non major applications, over a rolling 2 year period. It is important to note that this measure excludes applications where an extension of time has been agreed.

The targets set by Government and the current performance (24 months to end of September 2022) is as follows:

Application Type	National Indicator	RBC Actual Performance
Major Applications	60%	94.1%
Non Major	70%	85.2%

Table 2 Planning Application Performance Speed. 24 months to end of September 2022 (Table_P151.ods (live.com) and Table_P153.ods (live.com))

In addition the Government measures the quality of decision making. The Government measure for this is the % of applications that are approved at appeal over a rolling 2 year period. The targets set by Government and the current performance (24 months to end of September 2022) is as follows:

Application Type	National Indicator	RBC Actual Performance
Major Applications	10%	2.6%
Minor Applications	10%	0.8%

Table 3 Planning Application Performance Quality. 24 months to end of September 2022

(Table_P152_October_2019_to_September_2021.ods (live.com) and

Planning_Live_Table_P154_July_2019_to_June_2021.ods)

In terms of these measures, Rugby is performing well. However, it is worth noting that the Government launched a consultation in February 2023 which included proposals on amending how performance is measured ([Technical consultation: Stronger performance of local planning authorities supported through an increase in planning fees - GOV.UK \(www.gov.uk\)](https://www.gov.uk/consult/technical-consultation-stronger-performance-of-local-planning-authorities-supported-through-an-increase-in-planning-fees)).

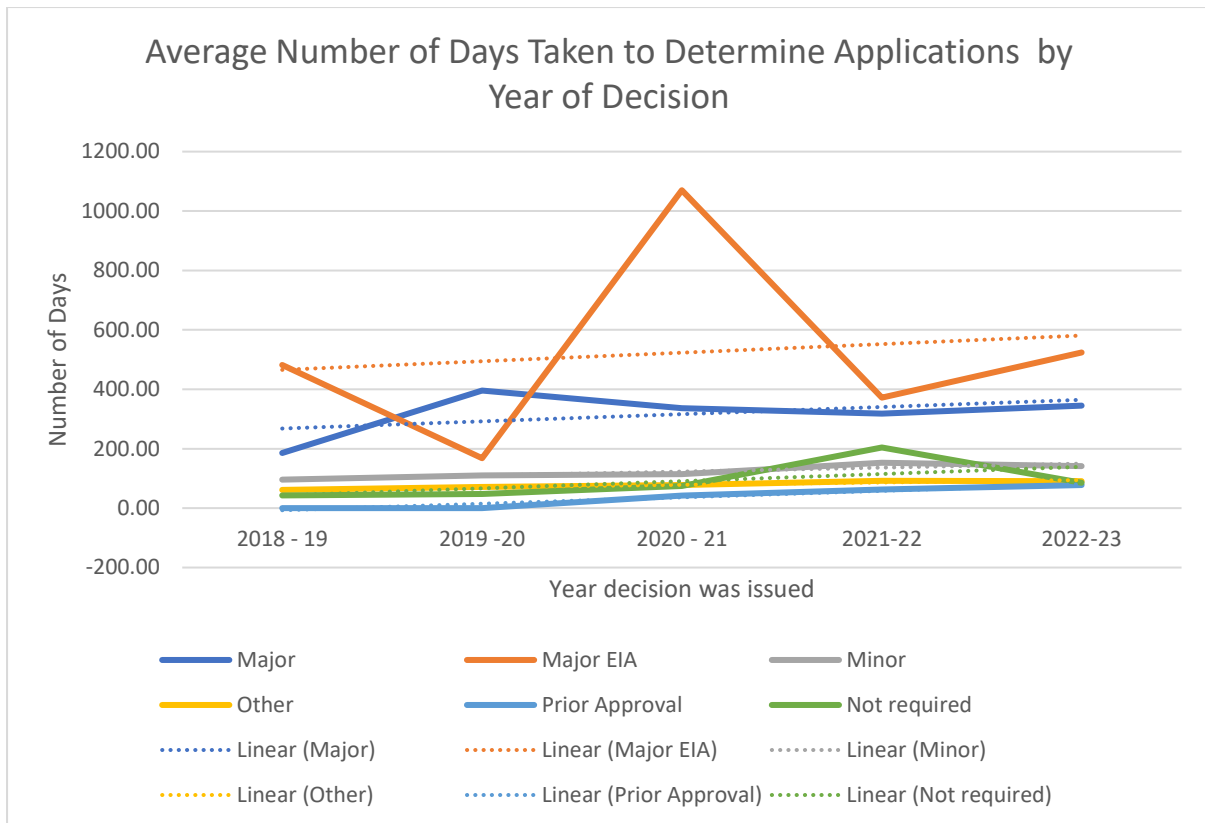
The proposals state that the Government intends to “introduce new metrics that more closely monitor local authority performance against statutory determination periods, as well as those including extension of time agreements, in order to drive improved performance”. It is therefore important to understand the time taken on all applications, regardless of whether an extension of time or Planning Performance Agreement has been signed. The consultation document also includes a range of suggested measures including the number of extensions of time issued and the average time taken to validate planning applications.

Using data supplied by the Council we looked at the length of time taken to determine applications. This included data on applications determined between 1st April 2018 and 3rd March 2023. The data was based on categories identified by the Council. The following table and graph shows the average time in days taken to determine applications in each of the categories.

Decision year	Major	Major EIA	Minor	Other	Prior Approval	Not required
2018 - 19	185.63	482.00	95.88	61.35	0.00	42.79
2019 -20	395.71	168.00	110.56	71.35	0.00	47.18
2020 - 21	336.09	1070.00	114.14	77.62	42.14	74.43
2021-22	318.39	371.75	152.70	91.92	62.60	204.14
2022-23	345.20	524.33	141.67	90.66	77.66	85.08
Total	307.45	478.00	121.82	78.02	64.85	63.36

Table 4 Average time taken to determine applications (days)

Graph 1: Average numbers of days taken to determine applications (2018/19-2022/23 annual)



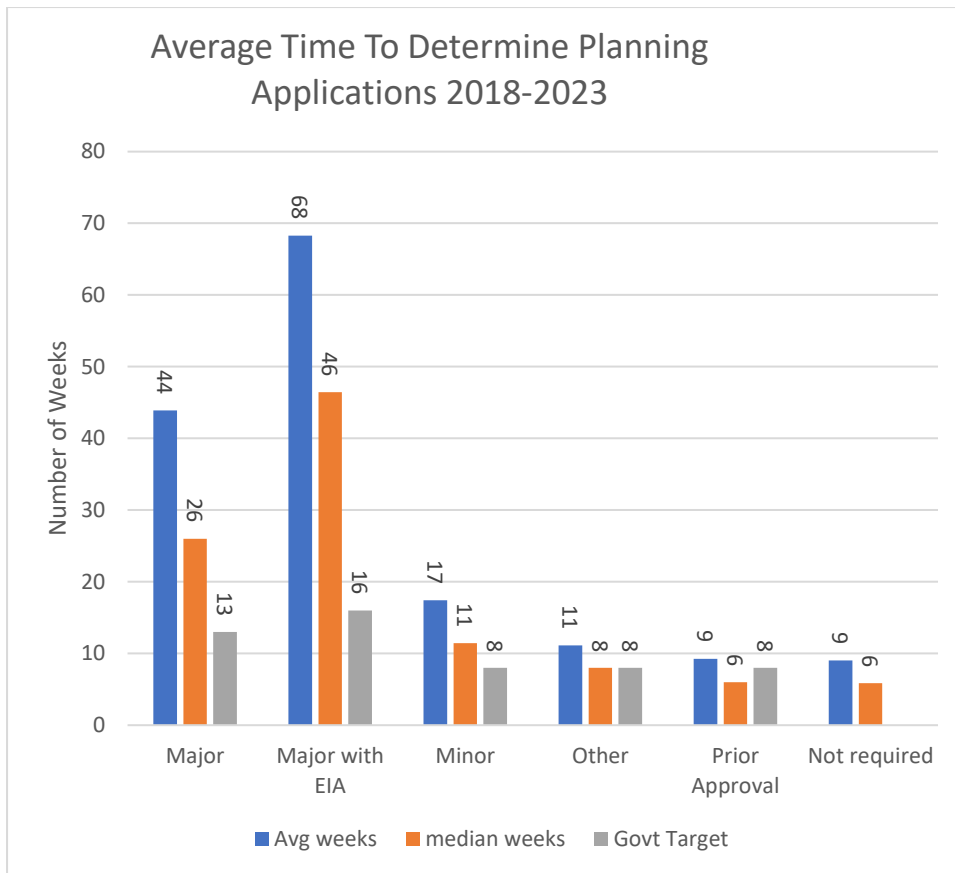
The graph shows that for all application types there has been a trend of increasing length of time to determine applications each year. Whilst the Major EIA apps have fluctuated the most, this category has the smallest number of applications and are the most complex so no trends are apparent.

The following table and graph show the overall average for each category against the Government targets. Both the mean and median are shown as there are some outliers that can affect the mean calculation.

Type of application	Number of applications	Average number of days to determine	Median number of days to determine	Average number of weeks to determine	Median number of weeks to determine	Govt Target
Major	199	307	182	44	26	13
Major with EIA	10	478	325	68	46	16
Minor	1108	122	80	17	11	8
Other	2770	78	56	11	8	8
Prior Approval	314	65	42	9	6	8
Not required	458	63	41	9	6	

Table 5 Time taken to determine applications measured against Government targets

Graph 2: Average time to determine planning applications (2018-2023)



It is apparent from this data that the average time taken to determine applications exceeds the Government targets with the exception of Prior Approvals when using the Median.

Caseload

Using the officer performance data provided by the Council, we analysed the productivity of officers. The data provided covered the period April 2022 to January 2023. We have indexed the data as some officers work part time or undertake study leave. Some officers joined during the period and we have assumed a month grace (as officers would not be considering and determining applications straight away). Generally the data suggests that officers across all teams appear to be performing similarly to other officers in the same category (i.e role, team). Some variations in performance have been identified and have been discussed separately with Richard Holt.

Benchmarking

Whilst looking at data over time can tell us about how the service has changed, it is important to look at the wider context. To do this we have compared data against a number of other authorities. These authorities were suggested by the Council.

The table in Appendix 2 provides a summary of the data we reviewed.

Rugby performs well across the measures we have identified when compared to its benchmarking cohort, exceeding the average in most measures. However, there are some measures where Rugby is below average, and we have focused our analysis on these.

Firstly, the average number of extension of times issued over the period 2016-2022 is above the average for the cohort as seen in the following table.

LPA	2016/17	2017/18	2018/19	2019/20	2020/21	2021/22	Trend	Average
Rugby	10.39%	27.90%	30.57%	38.76%	45.33%	63.60%		36.09%
Ashford	20.60%	27.24%	41.98%	57.83%	42.32%	45.20%		39.19%
Bassingstoke and Deane	27.47%	27.39%	19.22%	20.28%	28.90%	33.20%		26.08%
Blaby	17.55%	24.85%	44.40%	39.53%	55.98%	85.17%		44.58%
Braintree	20.87%	25.67%	28.29%	39.15%	53.06%	45.29%		35.39%
Broxbourne	12.94%	20.82%	22.46%	20.58%	29.24%	47.47%		25.59%
Cherwell	12.85%	13.98%	22.37%	28.56%	26.33%	37.54%		23.61%
East Staffordshire	19.19%	24.54%	27.66%	20.13%	28.21%	40.74%		26.74%
Harborough	15.93%	18.17%	18.27%	15.59%	19.66%	21.19%		18.14%
Hinckley and Bosworth	22.20%	30.43%	40.50%	48.77%	53.59%	53.92%		41.57%
Huntingtonshire	22.00%	18.85%	18.94%	23.83%	29.46%	27.82%		23.48%
Nuneaton and Bedworth	10.30%	14.29%	15.81%	17.11%	24.50%	35.82%		19.64%
Stafford	9.60%	13.39%	24.79%	27.48%	31.54%	59.85%		27.78%
Stratford	13.70%	39.34%	33.52%	33.48%	43.44%	42.89%		34.40%
Test Valley	23.00%	23.00%	22.13%	20.61%	25.19%	26.63%		23.43%
Tonbridge and Malling	13.72%	16.30%	16.27%	11.38%	10.78%	30.75%		16.53%
Warwick	19.73%	15.33%	25.74%	33.92%	51.97%	56.81%		33.92%
West Suffolk				39.72%	42.22%	47.50%		43.15%
Wychavon	16.98%	22.28%	20.61%	22.68%	23.53%	32.43%		23.09%

Table 6 Percentage of all applications given an extension of time 2016-2022

When we look closer at the data, the proportion of applications where an EOT has been used has been increasing. The trend is similar to other LPAs who have all seen increased use over the 6 years, but the value of 63% for 2021/22 of all applications having an EOT is the second highest in the cohort group. Notably the highest Council (Blaby) has also been through the Vanguard process. So it is possible that this has led to similar working practices where the focus has been on working with applicants to amend schemes rather than timescales to make decisions. Given the Government view that EOT should be used in “exceptional circumstances” this is a significant number.

Secondly, and linked to the above point, the percentage of applications where there is no EOT, PPA or EIA involved, that are determined within the statutory time limits, is 74%, just below cohort average. This equates to 36% of all applications which is below the average for the benchmarking cohort. This is the latest data from the PS2 returns and only covers the period January 2022 to December 2022. These are useful measures, as they show what is happening to applications where there is no EIA, PPA or EoT involved and a quarter of them are being determined outside of the statutory time limits.

Thirdly, whilst the average income per application is high (we assume because there is also a higher than average proportion of major applications), the average cost per application is higher than average. This leads to a net spend (or cost to the Council) of £312 per application. This is better than average but again is worthy of note. (We have been advised by the Council that further work has been done across Warwickshire that shows different figures and that Rugby is the cheapest in the County in terms of costs per application in 21/22 per head of population).

We have sought to understand costs further by looking at number of employees. This information is not widely available and we have utilised contacts in LPAs to source comparisons, although data is anonymous.

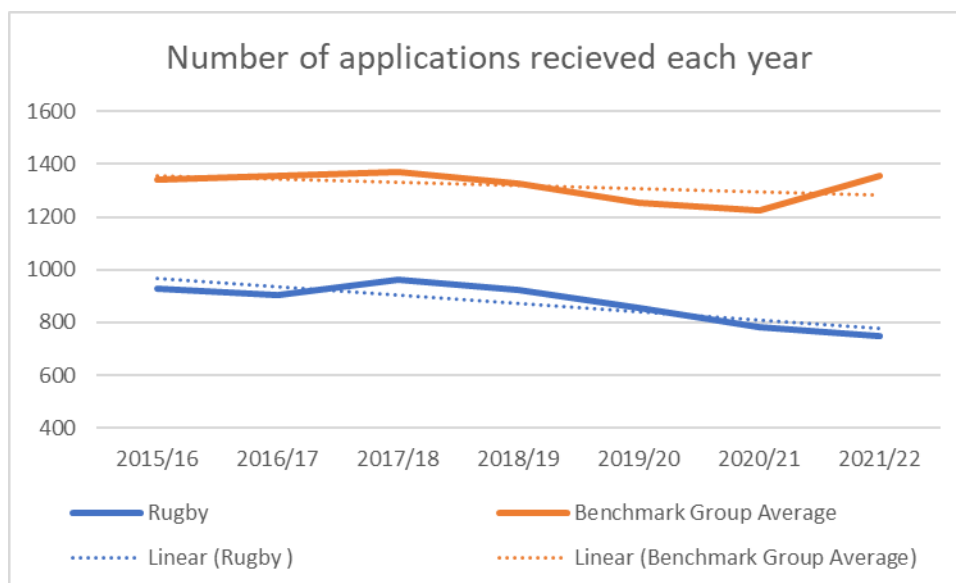
Post	Warks Council 1	Warks Council 2	Notts Council 1	Staffs Council 1	Leics Council 1	Rugby
Planning Assistant		1				
Planning Officer	6	2	2	2	4	5
Sen Planning Officer		1			2	3
Principal Planning Officer	2	2				4.6
Major Projects Officer			1			
Tm Leader			1	1	2	
Head of DM			1		1	
Tech/Validation Officer			0.5	1	3	
Appeals Tech Asst	0.32 fte					
Technical, Conditions & Monitoring	0.5 fte					
Graduate Planning Officer			2			1.6
Total	8.82	6	7.5	4	11	14.2
Number of applications received 2021/22	633	511	624	363	848	776
Average per officer	71.77	85.16	83.2	90.75	77.09	54.65

Table 7 Number of employees- small sample comparator group

This small sample shows that Rugby has the highest number of officers and the lowest number of applications per officer per year. Rugby is the only Council in this sample that operates without any technical support which partly explains the higher number of staff. It also goes some way to explain the higher costs.

It is also worth highlighting that the number of applications received each year has been on a slow decline and is forecast to be lower this year than last. This will have an impact on income received and will increase the cost per application if all other costs remain the same.

Graph 3: Number of applications received each year



Finally, it is worth highlighting that in terms of quality of decision making, Rugby has the second lowest number of appeals in the cohort and an above average record of defending appeals. This could reflect the pro-growth stance of the Council, low number of Councillor overturns at Committee and the approach to work with applicants to get to an approval.

Summary

- Reducing number of applications per year
- Increasing use of Extensions of Time
- 2nd highest number of Extensions of Time issued in cohort group in 2021/22
- Lowest number of applications per officer in cohort group
- Higher than cohort group average income per application
- Higher than cohort group average costs per application
- Exceeding Government targets for speed of determination of applications
- Exceeding Government targets for quality of decision making

Interviews

Councillors

Councillors we spoke to understood and celebrated the ‘pro-growth’ stance of the Council. They linked this to increased economic activity in the area and benefits to the community. However, they did highlight concerns about the lack of a strategic view, particularly in relation to highways and were mindful that the impacts of development on a wider area needed consideration. There was a suggestion that greater benefits should be achieved from large scale applications and a need to take a wider view of development, such as highways and public health.

The impression we received from the Councillors interviewed was that they took their responsibilities about Planning Committee very seriously and were keen to increase their understanding about the planning process and seemed keen for further regular training sessions, particularly on key issues. They would also like to understand proposals in more detail. They felt that the reports could contain more information, such as plans and photographs so they can be better prepared for Committee. They highlighted that there was little opportunity for early sight of upcoming applications and often the

first time a Councillor is aware is when it appears on the agenda. Furthermore, they talked about little opportunity to get involved in the pre-application process.

There was a clear desire from Councillors to improve communication with officers and build relationships. We heard that often they are not sure who is the case officer or how to access information about the application.

We heard that Councillors were concerned about officer workload and the amount of technical tasks they were doing and cited the amount of work that went in to preparing the Committee presentation and shared examples of information not being ready for Chair briefing sessions. They also were concerned about the lack of a conservation officer and had been reassured that the necessary skills were in the team but they were uneasy about this.

Councillors had received feedback from applicants about the time it was taking to get decisions but Councillors did suggest this could be linked to poor quality applications. They felt that there was often a misunderstanding from the general public and some applicants about how policy is applied and that it is not black and white. They also shared some individual experiences some applicants had had about officers not sharing consultation responses in good time and a lack of a pro-active approach from the case officer. One Councillor suggested that it would be good for them to meet agents and applicants at some sort of open forum so they can articulate what is important to them and what their expectations are.

Senior Management

We spoke to the Chief Executive and the Deputy Chief Executive as well as other Chief Officers. They were consistent in their views of Rugby being a pro-growth authority and that they wished to remain so. They recognised and were proud of the role the planning service has played in this. There was a concern that Members may follow the national mood and become more averse to development and feel Rugby has “done its bit”, particularly with the loss of New Homes Bonus. There may also be a concern that the Council cannot afford to keep expanding its services e.g. expanding the waste services means new vehicles as well as staff and the Council Tax does not cover this.

The Council are going through a period of organisational culture change and are becoming more focused on performance. There was recognition that this might be a change for the planning team who had previously adopted the “systems thinking approach”. The new way of working for the Council is described in the “Rugby Blueprint” (see appendix 3). It was noted that this is being rolled out across the Council and so it is not yet embedded. It was noted that the systems thinking approach is customer focused but Senior officers are receiving complaints, particularly about timescales, and there was uncertainty about this juxtaposition, noting that some of the delays are down to others. The Council should focus on its customers but should also operate efficiently and effectively. It was noted that the current structure and approach was designed under different circumstances and it may need revisiting.

There is a desire for the Council and the planning team to be more commercial in the way it provides its services, generating income and working more efficiently and economically smart. The team have already started to do this by introducing charges for pre-apps services and the use of PPAs.

It was also felt that opportunities to capture the benefits of growth are sometimes being missed. This was in relation to certain schemes not being recognised as strategically important and not being progressed quickly enough or given as much priority. There was also a concern that the local economy

is not very diverse and reliant on key sectors such as logistics. There was a desire to strategically influence the type and location of future development.

We heard that across the Council there is a lack of a “one Council” approach. This was considered to be a historic culture issue and steps are being taken by the leadership team to address this.

There was recognition that Rugby salaries were about average compared to nearby LPAs and historically there had been low staff turnover. There was an understanding of issues across the country with retention and recruitment of planners but also a recognition that this extended to other professions in the Council such as Environmental Health and Building Control.

Internal Stakeholders

Generally, the internal stakeholders we heard from: legal; environment; local plan; democratic services and green spaces, were positive about the DM team and approach. We heard the aforementioned stakeholders are able to pick up the phone and speak to them when needed. Some frustrations were expressed about how they are consulted and not having joined up systems. They have to access application documents through the public website and sometimes felt they had to wade through lots of documents to find the information relevant to them.

Customers

We heard mixed views from customers in regard to the service they receive. Overall, the feedback from agents, developers and other customers of Rugby Borough Council Development Management service has been relatively positive. From the interviews, we found all customers were pleased by the accessibility to contact officers and this resulted in good working relationships being built. Many expressed that the ability to contact the case officer at RBC was highly appreciated and valued. They also shared their frustrations with surrounding LPAs (officers) being unreachable.

We sensed these good working relationships with customers meant they were generally happy to sign extensions of time. However, it appears that views of what customers (applicants) want from the planning service have not been sought in some time. We heard that some applicants were unhappy about the time it took to get decisions and also the service they received at times.

The positive feedback we heard mainly came from applicants of larger schemes, both residential and commercial. Once again the ability to contact the case officer was appreciated and overall the service, they received was good and efficient. We heard specific comments about the use of PPAs being a positive experience. In addition, agents were positive when comparing Rugby against other LPA's and the level of communication and engagement that happened.

Many of the concerns about timescales related to a perception that statutory consultees were at fault with highways and ecology being singled out. Of particular note, we heard from applicants about recent requests for bat emergent survey works to be undertaken before applications are determined. Many felt this could be conditioned and noted that other legislation covered the issue.

We heard that the service received varies, depending on the officer, which can sometimes cause frustration and some expressed it can result in unpredictable decisions. There appeared to be a need for a standardised approach to reduce the variation of service customers receive. This may be due to the experience of the officer, as some customers felt some officers lack experience.

Some of the regular agents we spoke to told us of concerns over changes in approach and blamed new officers not understanding the “Rugby way”. They cited the recent loss of experienced staff. Some advised that they had made complaints and had been told that “this is the way we do things now”. It felt that if changes of approach have happened then this has not been fully explained to regular customers.

DM Team

There was a collective understanding that RBC is a pro-growth authority. The Development Management Team recognised the aspirations for economic growth and the pro-development nature of Rugby. However, some officers struggled to align the pro-growth approach, customer focus and maximising benefits of growth. We heard from some of DM junior officers they felt they were acting as project managers, due to chasing consultees rather than planners.

When we spoke to the team about metrics such as time taken to determine applications and caseloads, we encountered some resistance from the planning team to potential changes of approach. The general response is that the systems thinking approach the Council adopted for planning puts customers at the heart of what they do. This translates, we believe based on what we heard, into a perception that the important thing is to get a planning permission issued and that their role as case officers is to make that development the best it can be, no matter how long it takes.

For the period Jan 22 to Dec 22 (PS2 returns) Rugby did approve a higher than their cohort average percentage of all applications. This potentially supports an argument around working with applicants to improve applications, so they are able to be approved. However, Rugby was 5th out of 19 of the cohort and its approval figures (93%) were not significantly away from the average (91%) so it is questionable how much of a difference this approach is making. It is worth highlighting however, that this does not measure the quality of the final approved scheme and officers did make the point that whilst approvals may not be significant higher the quality of final schemes may be better.

The systems thinking approach as well as putting the customer first is also designed to front load the process. We heard of applications sat in the box for several weeks (up to 6 weeks during the summer) before any work was done on them and consultation letters sent out – this will not help statutory consultees. The focus should be on keeping the box as empty as possible, prioritising validating the application and starting the consultation period. However, during our research we were told by officers that the backlog, i.e. the length of time that the applications had sat in the box before being picked up was 2 weeks. Some advised that during summer holidays when less people about it had got up to 6 weeks. For applications that have 8 week timescales, such delays in validation and consultation mean that it is already impossible to achieve because of the 3 week consultation period not starting until an officer has picked it up. This could be described as a “setting up to fail” situation.

Some officers mentioned the new “targets” for how many applications they determine each year. Some welcomed the guidance and it helped them in managing their workload; but it was apparent that others thought they were ‘gaming the system’. The recording of applications dealt with also counts pre-app enquiries and all workload as single units, so answering a pre-app counted the same as undertaking an application. Some officers admitted that if their numbers were low they would pick from the box things such as pre-app enquiries that required less work to boost their numbers. However, we have been advised that the system does record the different types and monitoring of numbers of each type does take place by the DM manager.

We heard that generally relationships with agents are good and there is a feeling that agents / applicants like the approach that Rugby takes, for example giving opportunity to make amendments.

However, there was some concern expressed from Senior and principal officers that maybe they are 'too soft' with agents in giving almost unlimited opportunity to make amendments and in spoon feeding them information. There was a concern that this might not be the best experience for younger planners who may see granting EoTs as the norm.

The issue of amendments and EoT was raised a number of times. As well as it being seen as positive and resulting in better quality development, some admitted that they probably approved schemes which could have been refused because after 3 or 4 rounds of amendments they had 'application fatigue' and felt it was not bad enough to refuse. They also admitted that writing up refusals and the risk of appeals meant more work for them.

The DM team seemed to appreciate and like the autonomy they are given and liked the end-to-end approach the council takes, however this approach appeared to present challenges and limitations. Some expressed there is a need for clearer guidance on matters such as conditions, who they consult and how many times they ask for amendments. It was recognised that there was a lack of consistency in the way reports are written and the general approach to dealing with applications.

Some, particularly the more experienced members of the team, liked that their reports were not checked but some of the less experienced officers were less confident about this way of working. We heard there is a desire for written or additional clearer guidance on expectations in regard to processes for example amendments, as the systems thinking 'customer first' approach appeared to leave the DM officers conflicted. Many expressed a need for clearer guidance to promote a more standardised approach across the team. Some officers were concerned (some very concerned) about the amount of time they spent undertaking 'technical' tasks, particularly categorising documents, preparing letters for email and uploading them to the system.

The DM team were very positive regarding management support across the Council and in particular they highlighted Richard and his extensive knowledge and his trust in the team. Although management is helpful, enhanced support and mentoring would be appreciated, and there is a perception that management seems reluctant to engage on an one to one basis. Some thought that too many meetings took place and there was an acknowledgement that the office environment and broader interactive teamworking has not fully recovered since COVID.

During the interviews, it emerged there are different perceptions in relation to the term "personal development" which the junior officers tended to categorise personal development and career progression as the same thing. The more senior officers interpreted personal development as personal progression from a knowledge stance, with reference to courses, online seminars and CPDs. Whilst one to ones seemed in the main to be taking place between officers and their line manager, it felt that these were often discussions about current workload and a lack of discussion on personal development objectives and progression towards these. It was acknowledged that there are opportunities for additional training and indeed a number of officers have benefited from undertaking intensive long-term training. There was a desire expressed to do more collective training and CPD and it was recognised that there are less opportunities with flexible working to learn from each other and share knowledge.

The team felt that Member relationships were good but there was frustration at some of the decisions at Committee – however, officers recognised that this was often down to local politics.

With regards to systems, there were mixed views about Agile, with most raising concerns about its reliability (examples were cited of it being unavailable for a number of days) but happy generally with its functionality. There were concerns expressed that one of the principal officers took on a lot of

responsibility for updating the system, interrogating the system and chasing up when there are issues. There were concerns that if that principal officer was not available was there sufficient knowledge in the team to resolve issues. There were suggestions made to make changes to the website to enable more self serve and provide more information for applicants. Some were concerned about is user friendliness.

The majority of the team had little experience of the use of PPAs as a tool. Those that were working on applications with PPAs were not aware how they had been drafted and agreed as this was done by senior officers. There was also some resistance to using PPAs as some of the principal officers felt that this went against the Rugby way in that it set fixed dates and targets.

In terms of relationships with consultees there were frustrations expressed about the time to get responses back from Warwickshire County Council on Highways and Ecology especially. The team felt that they had good relationships with internal consultees and stakeholders. It was noted that the absence of specialist conservation / heritage advice was a concern. Some officers felt that they were 'winging it' in this regard.

Summary

- Collective understanding that Rugby is a 'pro-growth' authority
- Some understanding about the corporate changes in culture and future emphasis on understanding performance and how its measured
- Fear of change / resistance to change from some officers
- Desire from senior management to capture more benefits of growth
- Planning Committee generally works well and there are opportunities to build on current good practice by undertaking more training, improving information exchange and engagement.
- Internal stakeholders worked well with the planning team. Relationships tended to be transactional rather than collaborative. Lack of efficient processes due to different systems.
- Ability to communicate with individual officers seen as good by customers
- Changes to service delivery have not been communicated to regular customers
- Officers focus on getting approvals rather than timescales and believe this leads to more applications approved and better quality applications
- Some officers admitted to approving applications that probably shouldn't have been because they had already asked for changes and writing up refusals and the threat of appeals was considered to be a lot of work.
- Officers didn't take applications out of the box if they considered they had a full caseload already. Some officers left 'difficult' applications in the box.
- Officers considered they do too much for agents / applicants.
- Mixed approaches to personal development
- Good management knowledge and support
- Lack of written guidance on processes or procedures.
- Lack of knowledge within the team about how the Agile system works and how to manage it
- Lack of understanding of PPAs
- Lack of heritage / conservation specialist

Workshop

On the 20th April we facilitated a workshop with the DM team and managers. The purpose of the session was to feed back on our initial findings and seek the teams views and to facilitate the team to identify potential changes. The feedback from the team was positive about the findings we reported back. As described above there were mixed views from the team when we spoke to them separately about certain matters and this was acknowledged at the workshop by participants that the feedback may not have been their experience but they understood it was others.

The team were split into 3 groups, each facilitated by a member of the Hvas team. The first exercise sought to address the issue of timescales to determine applications. The groups were asked to identify the barriers to quicker decision making and think about any solutions. The table below summarises the discussion:

Barrier	Solutions?
<p><u>Consultees</u></p> <p>Not responding within 21 days. Officer having to chase.</p> <p>Not as bad on smaller applications</p>	<p>Validation requirements to make sure all required information is submitted.</p> <p>Need to understand why ecology are asking for additional surveys when previously they haven't.</p> <p>Potential to have a consultant panel for larger schemes (in progress)</p>
<p><u>Agents</u></p> <p>Can take a long time to submit additional info but then expect a quick turnaround</p> <p>Need spoon feeding about what information is required and how to address issues</p> <p>Quality of submissions often very poor- applicants wait for comments from consultees to detail what they need</p>	<p>Change approach and give deadlines to submit info although nervous this will result in poor relationships.</p> <p>Need better education and understanding of what's required - improve the website</p> <p>Engage in a paid pre-app separately with consultees</p> <p>Be more ruthless on validation</p> <p>Advise applicants if they it can't be found acceptable</p> <p>Do consultees always need to be consulted? How do you know who needs to be consulted?</p> <p>Good enough to approve/bad enough to refuse</p>
<p><u>Amendments</u></p> <p>Working with applicants to improve schemes can lead to lots of requests for amendments</p>	<p>Could ask to withdraw or refuse (although worried about effect on relationships)</p> <p>Need guidance/threshold to improve consistency about when to ask for amendments and how many</p>
<p><u>Section 106</u></p>	

<p>Can take a long time to get agreements finalised as they are not worked on until post decision.</p>	<p>Use a template s106 Give applicant option of using external solicitors</p>
<p><u>Validation</u></p> <p>Applications can sit in the box for some time. Invalid applications can remain so for a long time</p>	<p>Pick things out of the box by date order Implement timescales for making application valid</p>
<p><u>Team</u></p> <p>Lack of specialists- conservation, ecology, carbon emission etc Losing experienced staff Under resourced Burden of non-planning related work Newer staff- less experience Workload</p>	<p>Incentives for retention</p> <p>Use PPA and other tools to resource consultants or to backfill (Works better for larger schemes) Restructure of time, time management- review meetings could some be combined?</p> <p>Utilise surgeries and meetings. guidance and process guidance need to be up to date and not too detailed</p> <p>Manuals and guidance would be useful</p>
<p><u>Process</u></p> <p>IT/technical tasks is time consuming How the box is managed Planning Committee process Planning committee deferrals (particularly HMO and G&T) because:</p> <ul style="list-style-type: none"> - More info - Scared to make decision - Site visits - Playing to gallery <p>Small applications can be difficult, particularly related to neighbour response and demands on time Scheme of delegation e.g. cert. of lawfulness, legal take long time to respond New requirements mean new skills and takes time to learn e.g BNG Complexity of applications Lack of policy and guidance e.g. HMO and G&T</p>	<p>Technical team would reduce timescales, set terminology to be able to find documents easily EoT safety value</p> <p>Queries (can have duplicated in the box) rotate all planning officers to empty and go through the box, as many can be quick queries that can be solved with a simple yes/no</p> <p>Clearer advice on what needs a response and what queries can be re-directed to the website</p> <p>Changes to the way queries/apps are categorised</p> <p>Do legal need to check committee reports?</p> <p>Encourage councillors to speak to officers- constant dialog</p> <p>CLlr briefings</p> <p>do legal need to check all Cert of lawfulness or could we introduce thresholds?</p> <p>Work with Policy to progress Local Plan</p>

	Push more applicants to pre-app and seek to include consultees in that process
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In the second exercise we asked the groups to undertake a SWOT analysis of the service. The composite response from the exercise is as follows:

<u>Strengths</u>	<u>Weaknesses</u>
<ul style="list-style-type: none"> • Team/ the people • Career development • Autonomy- the range of work/ apps opportunity • Flexible working • Resilience eg. Covid and Agile • Adaptability • Quality of decisions are good (see appeal success) • Supportive members • Customer engagement • Relationship with customers • Supportive management • Ability to amend to resolve issue • Diversity of team and knowledge within team • Enforcement • Currently performing well 	<ul style="list-style-type: none"> • Less experienced team • Staff turnover • Lack of specialism • Lack of process note • Too much time spent on technical tasks • IT system • Under-staffed • Council not popular – bad reputation • No written guidance • Lack of knowledge • Variety of work
<u>Opportunities</u>	<u>Threats</u>
<ul style="list-style-type: none"> • New team – can mould and opportunity for engagement • Growing borough and varied borough • Variety of projects • Improved feedback to individuals (checks) • Comms celebrate success • Pay and conditions in local govt • More engagement with Cllrs • Planning fees to increase • Use the website more- agents more self-service • Consultee panel • Training opportunities and progression • Members keen to know more- member briefing 	<ul style="list-style-type: none"> • Government shift towards performance- affect this could have on customer relationships • Retention of staff • Social media – mental health • IT system change • Different approach • Growing your own • Public misconception • Threat of finance- council budget • Planners leaving the public sector- stigma and culture • LPAs pay less than consultancies (linked to retention of staff) • No written guidance- lack of policies and procedures • WFH • Changes in requirements – BNG • Lack of consistency => JR risks

Using this as a basis, the groups were asked to think about what good looked like and what principles underpinned a successful DM Service. A summary of the discussion is as follows:

1. Driving excellence – quality of apps/approvals, within the team – knowledge and professionalism, clearer expectations such as validation checklist; local enforcement plan, consistency in decision making; timely manner, lead times shortened in various ways, responding to wider system changes
2. Making a real difference- to the quality of the built environment (eg. Focus of key areas such as climate change); con areas; respect for places; training; tours of existing good and bad/ugly development. More public engagement, shadowing on major discussion on Friday mornings
3. Great team morale, working as a diverse team, positive CANDO attitude and approach to growth and development
4. Taking a collaborative approach – ensuring effective communication, a wider team approach, a system approach, involving a range of stakeholders, being innovative and ‘ballys’ to solve problems

Summary

- The process of bringing the team together to think about these issues is a good start to the change process. It also helps to strengthen team bonds.

Insights and Recommendations

The research undertaken identified a number of areas for improvement and further consideration as well as building on positive approaches. These are captured in the following tables alongside recommendations for the Council to consider. Some recommendations are duplicated as they address different issues and insights.

Purpose

Insight	Recommendation
<p>Whilst customers value individual relationships with case officers and the ability to speak to them, there isn't currently a corporate approach to communicating change of key messages to customers. This can lead to differences in approach and understanding of requirement from customers, leading to expectations not being met and complaints being made.</p>	<p>Establish a regular agent / applicant forum. Use the forum to communicate any changes in approach, new legislation or policies such as validation requirements and climate change SPD.</p> <p>Invite Portfolio Holder and Planning Committee Chair to attend twice a year.</p>
<p>Customers are not clear on the approach that the Council has in terms of processing and determining applications.</p>	<p>Use the forum to communicate expectations.</p> <p>Consider preparing and adopting a Charter that sets out the Councils expectations from applications and the commitments it will make. This could include how many opportunities the Council will give to make amendments for example or information about the of PPAs e.g.</p>
<p>There is common understanding about the role of the DM service at Rugby across the organisation. However, there is a risk that Members priorities change with local elections. There is also an aspiration to capture more benefits from development.</p>	<p>Put in place regular Senior officer / Member sessions to reinforce the "purpose of planning" at Rugby.</p> <p>Put in place regular Officer / Member sessions to reinforce the messages around the "purpose of planning" and approach to key issues such as HMO and G&T. this could be part of the suggested monthly Committee briefing sessions.</p> <p>Instigate joint sessions of DM and Policy to ensure alignment on key issues and corporate focus for emerging plan and decision making.</p> <p>Ensure the principles established by the team are built into annual service planning and individual one-to-ones.</p>

Culture

Insight	Recommendation
<p>The Government is indicating it will require more detail in future from LPAs about their</p>	<p>Work with team to explain why it is important to measure performance.</p>

<p>performance. The Council is also introducing more measures of performance and reporting to members. There is some resistance and lack of understanding from the team about why this is happening believing that it doesn't fit with a focus on customers. Measuring performance and a customer driven approach are not mutually exclusive. There is no evidence to suggest customers have been asked what they would like (e.g. are longer decision times acceptable for 2% increase above the average in approvals?)</p>	<p>Ensure roll out of the rugby blueprint and check to ensure staff understand what it means. Can they deliver against it and how will they know?</p> <p>Consider yearly sessions with the team as part of annual business planning to reflect back the approach required.</p> <p>Ensure customer feedback is part of this process.</p>
<p>The current approach empowers case officers to take responsibility for applications. Some officers are not comfortable with the approach and perceive it as being left on their own. Managers must not see the approach as absolving them from their responsibilities. There is a need for consistency of approach and to ensure all statutory requirements are being met and they have a responsibility for making sure this happens. There is also a balance between checking all work and empowering staff to take responsibility and gain experience.</p>	<p>Empower principal officers to ensure consistency of approach and regulatory requirements followed.</p> <p>Ensure officers understand that they are not alone and can ask for help.</p> <p>Pair junior officers up with a buddy.</p> <p>Involve junior officers are more complex projects or appeals as part of a bigger team.</p> <p>Consider more days in the office as teams.</p> <p>Ensure the principles established by the team are built into annual service planning and individual one-to-ones.</p>
<p>Members have a perception that more enforcement activity could be undertaken. By its nature enforcement can be a long process and its not always possible to provide regular updates. Recruitment of enforcement staff is also difficult.</p>	<p>Provide guidance and training for Members on enforcement.</p> <p>Celebrate "successes" with members and public.</p> <p>Strengthen relationships between enforcement and DM teams. Encourage DM officers to get more involved in enforcement activity.</p> <p>Consider giving planning officers a small case load of enforcement work.</p>

Process

Insight	Recommendation
<p>The planning committee operates efficiently and effectively with a small number of appeals being lost. Councillors are keen to learn more</p>	<p>Consider the best approach for Rugby to strengthen the role of Members at pre-app stage. Options include:</p>

<p>and to have more engagement in applications earlier.</p>	<ul style="list-style-type: none"> • issues papers at Committee when apps received; • briefing sessions to advise Members of pipeline of apps and progress; • presentations from applicants either in public or in private. <p>Consider including some plans and drawings in the committee reports or sharing the presentation in advance.</p> <p>Provide committee briefing sessions monthly to advise Members about what is upcoming and include details on proposals. This will help to highlight key issues for officers and give Members greater ownership and feeling of involvement. This could be an open invitation to all Members.</p>
<p>When applications are reconsulted on, Members have been told that they are unable to call them in to Committee if they didn't already call in during the first round of consultations. Schemes can change during the course of an application and raise new issues that members feel warrant further discussion at Committee. There is flexibility in the Scheme of delegation that enables the Chief officer to bring applications to Committee if they feel appropriate and this could be used in those instances where consultation takes place.</p>	<p>Consider whether it is necessary to amend the Scheme of Delegation to make it clearer that Members are able to request call-in of applications that are re-consulted on, or if reminding officers and Members about the ability for chief officer to refer applications to committee is sufficient.</p>
<p>Statutory consultees were often cited as a reason for delays to planning applications. However, officers were also accused of being consultee led and failing to make a decision on conflicting issues.</p>	<p>Review SLA with WCC ecology. Review what applications they are being consulted on, what data they are providing for the Council to use, how comments are provided and how quickly they are provided.</p> <p>Work with WCC to refine how they engage in the process and opportunities to work more efficiently and effectively.</p> <p>Explore with WCC including a pre-app fee for WCC services which can then be passed on.</p> <p>Explore with WCC opportunities for signing up to a PPA.</p> <p>Undertake further work to understand any patterns such as particular consultees asking for further information, experience or confidence of officers.</p>
<p>Whilst the team generally liked the functionality of the IT system (Agile), very few members of the team were trained to manage</p>	<p>Consider establishing a 'technical officer' who takes responsibility for managing and updating the IT system.</p>

<p>the back office system. This is a business continuity risk.</p> <p>Duplication (EH adding to their system)</p>	<p>Consider training other officers to have an understanding of the “back office system” and how to run reports etc.</p>
<p>The Agile system is only used by planning and other internal teams use the public facing web portal to access information. This can lead to waste time looking for the relevant documents. Some teams have to create new records in their own system when they are consulted. This is duplication of effort.</p>	<p>Consider corporate opportunities for a system that incorporates other disciplines such as building control and environmental health.</p>
<p>The use of PPAs may not be included in the Government performance measures in the same way EOT will be. There is the potential to have more PPAs set up for complex sites, collections of sites and for bespoke pre-app work. However, staff have little experience of the use and drafting of PPAs.</p>	<p>Undertake training on the drafting and use of PPAs for the team.</p>
<p>There is a lack of promotion of or information on PPAs on the website which is likely to reduce the interest in them</p>	<p>Promote the use of PPAs to applicants at agent forums.</p> <p>Provide information on the website about PPAs e.g. Cornwall website: What we offer – Cornwall Council and their Charter: Planning Performance Agreement Charter (cornwall.gov.uk)</p>
<p>Historically the team has seen little change in personnel and ways of working have developed into a shared culture. Process and procedures have not been written down. The COVID pandemic and subsequent increase in remote working means less opportunity for staff to evolve and learn ways for working together or for new staff to learn by osmosis.</p>	<p>Consider requiring the whole team to work from the office more regularly.</p>
	<p>Document ways of working into a procedure or process guides / manuals. Involve the team to identify what would be most helpful and what they should contain.</p>
	<p>Continually review, refine and improve processes and update the manuals / guides. Use the ideas from the workshop as a basis for reviewing approaches.</p>
<p>There is a lack of specialist skills in the department, particularly conservation. Work is progressing to appoint a range of specialists on a call off contract. The lack of a heritage specialist is a risk in terms of decision making and process.</p>	<p>Investigate opportunities for specialist heritage advice such as shared with other councils, part time roles, consultancy appointments etc.</p>

Performance

Insight	Recommendation
<p>The Government is indicating it will require more detail in future from LPAs about their performance, including the actual time taken to</p>	<p>Ensure Rugby BC performance measures reflect those proposed by the Government.</p>

<p>determine applications, regardless of extensions of time. The time taken to determine applications at Rugby has been getting longer year on year and exceeds current government targets. There is a risk if the Government proposals are brought in that Rugby could be seen to be performing poorly. This could be exploited by applicants and have issues for retention and recruitment of staff. There are opportunities to shorten the time taken to determine applications by removing delays from the measured process.</p>	<p>Ensure staff understand why change is needed and empower them to make the changes.</p>
	<p>Encourage the use of the pre-app service – promote its benefits (including shortening application times)</p> <p>Ensure the pre-app service is meaningful and delivers benefits to the customer.</p>
	<p>Ensure all officers understand the validation requirements and provide regular training and update sessions.</p> <p>Ensure applications that do not have the required information are not validated. Suggest to applicants to use the pre-app service.</p>
<p>It can take several weeks before an application is validated and consultation with stakeholders commences. This squeezes the amount of time left to make a decision in the time targets.</p>	<p>Seek to have a maximum number of days that applications sit in box.</p> <p>Principals should take responsibility for ensuring the box is emptied regularly and should allocate applications which exceed the target for time spent in the box.</p>
	<p>Principle officers regularly review progress on applications and provide proactive support to officers.</p>
	<p>Case officers review progress of the application at week 4 to make a decision if the application can be amended to make it good enough to approve.</p>
	<p>Circulate a list of applications which are 6 weeks old on a weekly basis to remind officers that they are close to their time targets. Officers to consider if all necessary amendments have been made or are likely to be made within target. If not, consider appropriate action such as EOT, refusal, asking to withdraw etc.</p>
<p>Caseload per officer is low when compared to other Councils yet officers are concerned about the time they have to work on applications, particularly undertaking technical tasks or IT system tasks. Some officers workload appears</p>	<p>Consider appointing a technical support officer to help officers with technical tasks and ICT. This could help reduce the burden on some officers to manage the Agile system.</p>

high as they are taking easier, short turn around applications and pre-apps from the box.	Principals should regularly monitor individual performance and data, checking on the type of applications and workload being taken from the box.
Income and costs are higher than the cohort average but overall net costs are better than average. This could be because of the number of major apps received as a proportion of the total and the number of officers employed.	Undertake further work to understand income and costs, particularly the split between major and minor apps and how staff are allocated to these tasks. Identify opportunities to reduce the cost per application.

Personal and Career Development and Recruitment and Retention

Insight	Recommendation
There is a good team culture and a good blend of experience. Senior and more experienced planners share knowledge and assist junior staff when asked. There are formal weekly sessions where issues can be discussed. Some junior staff are not confident enough to utilise these. Regular one to ones are taking place between managers and reportees but these are often focused on workload rather than professional objectives.	Introduce mentor or buddy system for junior planners reflecting the corporate values around nurturing staff.
	Programme of organised CPD including sessions done as a team.
	Encourage line managers to have more formal regular sessions with team members focusing on professional development where needs are identified, recorded and progress against checked and recorded.
	Celebrate successes of teams and individuals.
Some officers are not pro-active or confident to take a range of applications	Team leaders to review regularly case load and case work to ensure officers have a good mix of applications appropriate to their experience and skill set and personal development objectives.
	Involve junior planners in project teams on complex sites and appeal work.
	Officers in office together more
Recruitment and retention of planners and enforcement staff across the country is extremely challenging. The team is fairly settled with some recent new starters. The empowerment of staff and the independence they enjoy is attractive to some, particularly more experienced planners. The opportunities for less experienced planners to undertake further training and get involved in a range of applications is also a good selling point. There is some concern that pay levels at Rugby are not that attractive.	Discuss opportunities with HR to consider financial incentives that can be applied such as golden hello's, golden handcuffs, market supplements etc. Discuss with HR new approaches to recruitment including head hunters and selling the Rugby BC brand.

Other

Insight	Recommendation
There are good internal working relationships and some good relationships with statutory consultees.	Involve internal stakeholders in the change process.

	Encourage officers to establish good working relationships with external consultees.
Having economic development / regeneration as part of the planning function and working closely with DM is a positive step. As is the focus on major applications. The economic development / regeneration team and function is relatively new. There is a desire to capture greater economic benefits from development for the area. By ensuring close working between Policy, DM and Economic Development / Regeneration this will help to ensure that all understand their role and seek to maximise opportunities.	Ensure the 3 teams are closely aligned and work closely with each other. Involve planning officers in key ED / Regen workstreams. Ensure the Local Plan reflects the aspirations around LED. Prepare a LED strategy.

Strategic Recommendations

1. The above recommendations should be turned into an action plan with clear milestones attached;
2. A clear focus should be on reducing the time spent on individual applications;
3. Ensuring that all officers are clear about the statutory and regulatory requirements for processing planning applications
4. Utilise savings from vacant posts to establish a technical support role(s) that can undertake duties currently done by planning officers to give them more time to spend on planning issues on applications;
5. Focus efforts to resource the enforcement team and consider opportunities to engage planning officers more frequently in enforcement work.

Appendix 1

Comparator group- Scheme of delegation, applications which are referred to Planning Committee

LPA	What apps go to planning committee	how it is communicated	requirements	Time-scales
Rugby	Applications where any borough Councillor has requested that the application be determined by the Planning Committee. Such requests must be made in writing or by email to the case officer within the 21-day consultation period for that application. Applications delegated to the Chief Officer for Growth and Investment but which he or she considers should be determined by the Planning Committee. Full or outline applications (but not applications for the approval of reserved matters; variation of conditions; or removal of conditions, included within the definition of "major developments" as set out in the General Development Control Return, produced by the Department for Communities and Local Government or any such relevant body.	written or by email	to the case officer by the deadline of the original consultation period	21 days
Ashford	applications for planning permission for the provision of dwellinghouses where: (i) the number of dwellinghouses to be provided is 10 or more; or (ii) the development is to be carried out on a site having an area of 0.5 hectare or more and it is not known whether the development falls within paragraph (a) (i). (b) applications for planning permission for the provision of a building or buildings of 1000 sq metres floor space or more where the proposed use of that building or one of them is for retail or hotel purposes. (c) applications for planning permission for the provision of a building or buildings of 1000 sq metres floor space or more for commercial / employment use where it is prop(d) applications for planning permission for the provision of a building or buildings of 1000 sq metres floor space or more where: (i) the proposed use of that building or one of them is for any commercial/employment purpose other than retail or hotel, (ii) it is proposed to approve the application, but (iii) 6 or more of the Planning Committee Members have requested that the determination of the application should be elevated to the Planning Committee in accordance with the procedure in note (iv) below. (e) applications for planning permission for the provision of a building or buildings where the floor space to be created by the development is 10,000 sq metres or more. (f) applications submitted by or on behalf of a Member of the Council or member of staff or his or her partner. (g) applications which, in the opinion of the Strategic Development and Delivery Manager/Development Management Manager, are sensitive and should be determined by the Planning Committee. (h) applications submitted, promoted or sponsored by or on behalf of the Borough Council. (i) applications for reserved matters approval for the appearance, layout and scale of building(s) or dwellings referred to in paragraphs (a) to (e) where 6 or more of the Planning Committee Members have requested that the determination of the application should be elevated to the Planning Committee in accordance with the procedure in note (iv) below.		for material planning matters – 6 or more members	third working day that report was emailed to the member

<p>Basingstoke and Deane</p>	<p>The Committee shall be responsible for: 1) Development Control and Enforcement functions (including the determination of planning applications for permission in principle and technical details consent - and those pursuant to the Town and Country Planning (Control of Advertisements) (England) Regulations 2007. Where the Head of Planning and Infrastructure is unable to determine development control matters or where s/he believes a matter should be determined by the Development Control Committee then the Committee will deal with the matter. In this scheme of delegation "application" shall be interpreted as meaning an application for planning permission, permission in principle and technical details consent, advertisement consent or listed building consent. 2) "High Hedges Legalisation". 3) Listed Building and Conservation Area Control. 4) Functions in connection with requiring the proper maintenance of land. 5) Highway diversion and closure. 6) Hazardous substance consents. 7) Tree preservation.</p>	<p>n/a</p>	<p>signed by five members, sets out reason for call-in and suggests an alternative course of action</p>	<p>21 days of the date of registration</p>
<p>Blaby</p>	<ul style="list-style-type: none"> - Planning Applications for 10 or more residential units or where an outline application for residential development relates to a site of 0.5 hectares or more; - Planning Applications for non-residential development with a gross floor area of more than 1,000 square metres or where an outline application for non-residential development relates to a site of 1 hectare or more; - Planning Applications for a mixed use development where the development exceeds any of the following: <ul style="list-style-type: none"> - 10 or more residential units; - More than 1,000 square metres (gross) of non-residential floor area; - An application for outline planning permission where the residential element would comprise more than 0.5 hectares; - An application for outline planning permission where the site area is 1 hectare or more; - Applications for approval of reserved matters for 50 or more dwellings and/or non-residential developments with a floor area of more than 2,500 square metres (gross); - Planning applications submitted in which the applicant is a current Member or Officer of the Council; - Planning applications and applications for listed building consent which have been called in to be considered by the Planning Committee under the Member Call-In Procedure. 	<p>written request</p>	<p>to the development services manager and development services team leaders setting out planning reasons</p>	<p>21 days of public consultation period</p>
<p>Braintree</p>	<p>(a) Major Planning Applications (Application for Outline Planning Permission, Reserved Matters Approval or Full Planning Permission) for residential development comprising 10 or more proposed houses or commercial development (including changes of use) comprising floorspace of 1,000sq.m, including any linked application for Listed Building Consent. (b) Major or Minor Planning Applications for Renewable Energy Schemes, including solar, wind and bioenergy projects, and proposals for Anaerobic Digestion Plants. (c) Where the Applicant is Braintree District Council. (d) Where the Applicant or Agent is an employee or Member of</p>		<p>the application has been 'Called In' for determination by a BDC Member by the end of the specified consultation period and is accompanied by planning reasons</p>	

	<p>Braintree District Council.</p> <p>(e) Where the Applicant or Agent is related to an employee within the Planning Department (Development Management or Planning Policy) (change from Braintree District Council) or a Member of Braintree District Council.</p> <p>(f) Any application which is deemed to be 'significant' by the Planning Development Manager.</p>		<p>for why the application should be referred to Planning Committee for determination; or</p>	
Broxbourne	n/a			
Cherwell	<p>All Major applications (full, outline) except for minor material amendments and the variations and removal of conditions. Major applications are defined as;</p> <ul style="list-style-type: none"> · Applications for 10 or more dwellings · Applications for new buildings where the floor space to be created is over 1000sqm · Applications for commercial (non-householder) renewable energy schemes, including single wind turbines. <p>2. All recommendations to approve a significant departure from the adopted development plan or other Council approved policies and/or strategies. 3. Applications called in by a member of the Council within 21 days of the 4. Applications submitted by;</p> <ul style="list-style-type: none"> · Any Officers with management responsibility in a personal capacity · Officers employed in the Development Management Service · Councillors (other than applications relating to works to trees) · A member of staff or Councillor acting as agent or advisor or consultant. <p>5. Applications affecting the Council's own land or where the Council is the applicant (other than applications for works to trees advertisements or for public information purposes)</p> <p>6. Any application which the Assistant Director Planning and Economy considers should be referred to the Planning Committee (in consultation with the Planning Committee Chairman (Vice Chairman in the Chairman's absence)) because of its controversy or significance. registration of an application subject to the following:</p>	written or by email	<p>must be for material planning reasons and made within 21 days of the registration of the application as valid</p>	21 days
East Staffordshire	<p>a request is made by a Ward Councillor;</p> <p>the application is contrary to agreed local plan policy and its approval would represent a significant departure; the application is of significant public interest, and/or is believed to be controversial; any other circumstances in which the Head of Service or the Planning Manager considers it appropriate.</p>	written or by email	<p>state the decision they would like to call in ten members must sign -</p>	21 days

<p>Harborough</p>	<p>Any application (other than Advertisement Consents; Prior Notifications and Prior Approvals; Hedgerow Removal Notices; Tree works applications; High Hedge applications; County Matters applications and Screening and Scoping requests) where any Member has requested determination of the application by the Planning Committee, within 28 days of the date of the publication of the weekly list on which that application appears. N.B. The request for consideration may be withdrawn at any time, and the application returned to delegated authority (subject to compliance with the other criteria explained below). Requests should be made to the Development Planning Manager in writing (which includes email) and set out the planning reasons for the request (such as Highway safety, or the character of the surrounding area) for the request and should clearly state the impact of the development. (b) applications where the intended decision would depart from currently adopted and up to date development plan policy. (c) Where the application is made by a member of the Council or by a Council Officer or immediate members of their family, or it involves land owned by any of them. (d) Applications for 25 or more dwellings (other than substitution of house types) and for commercial floor space of 10,000m/sq. or more. (e) Where the proposal involves the Council as applicant or land owner except where applications are for works to protected trees. (f) Matters which the Development Planning Manager, in consultation with the Briefing Group, considers should be considered by the Planning Committee due to their size, nature or impact, or for any other reason, including probity. (g) The revocation of any planning or other permission, with or without the payment of compensation by the Council. (h) The discontinuance of use or alternation or removal of buildings or works with or without the payment of compensation by the Council pursuant to Section 102 of the Town and Country Planning Act 1990.</p>	<p>written</p>	<p>member requested to go to planning committee</p>	<p>28 days</p>
<p>Hinckley and Bosworth</p>	<p>Considering amendments to the application of Local Plan policy documents · Determining the following types of planning applications: - An application that has received written comments from occupiers of five or more addresses (including the parish council), the views of which are contrary to the officer recommendation - An application where a member of Council requests in writing to the Head of Planning that the application be referred to Planning Committee for determination. The request must be received within 21 days of publication of the weekly list and based on sound planning reasons as determined by the Head of Planning - An application that the Head of Planning, in discussion with the chair of the Planning Committee, considers necessary to be determined by the Planning Committee The exceptions to the above are the following application types: - All tree preservation order applications (including those within a conservation area) - Certificates of lawful use (existing and proposed) - Prior notification of proposed development by telecommunications code system operators - General development order permitted development prior notification applications</p>	<p>written</p>		<p>21 days</p>

	<ul style="list-style-type: none"> - County council matters - Neighbouring authority consultations - Non material amendments. Page 28 - Determining a major application that is submitted by, or on behalf of, the Borough Council for its own development - Determining any application made by, or on behalf of, a member of the Borough Council or an employee of the authority 			
<p>Huntingtonshire</p>	<p>determination of planning applications, or proposals in accordance with the development plans, where objections or contrary observations are raised by other local authorities (including parish councils or parish meetings)¹, statutory consultees, persons adversely affected by the proposals (provided that the objection or observation is on planning grounds and the objection or observation has not been previously considered and discounted by the authority), or an appropriate local Member;</p> <p>ii. determination of minerals and waste applications requiring Environmental Impact Assessments;</p> <p>iii. determination of applications for District Council development where objections are raised to the proposals;</p> <p>iv. approval of major departures from development plans arising from planning applications and proposals.</p>			

<p>Nuneaton and Bedworth</p>	<p>Where an Environmental Impact Assessment has been submitted with a planning application.</p> <p>ii. Where five or more letters of objections have been received from neighbours, interested parties or statutory consultees within the 21 day consultation period, unless where the objection does not, in the Head of Development & Building Control's opinion, relate to valid planning considerations (which are set out in the leaflet 'Having Your Say on Planning Applications' and in Schedule 2 below), or where the objections will be addressed by the decision of the officer either by the refusal of the application, or by attaching suitable conditions, or where amendments to the application overcome the objections.</p> <p>Where the application is recommended for refusal and the Head of Development & Building Control has informed the applicant and objectors of this, the Ward Members be given notice of this, and allowed five working days in which they can refer the application to Committee.</p> <p>iii. Where five or more letters of support have been received from neighbours, interested parties or statutory consultees within the 21 day consultation period, and where this will be addressed by the decision of the officer to approve the application.</p> <p>iv. Where a Member requests and the Head of Planning & Building Control agrees (having consulted the chair of the Planning Applications Committee) that:</p> <p>i. in the case of a minor application in their ward; or</p> <p>ii. in the case of a major application, any 3 Councillors, that application will be dealt with by the Planning Applications Committee.</p> <p>The request has to be made to the Head of Planning & Building Control in writing or by e-mail within 28 days of the date of the relevant weekly list of planning applications (or 14 days in the case of a non-material amendment or proposals submitted to other authorities). In both cases above, sufficient and rational reasons need to be given for the call in to be determined by Head of Planning and Building Control, in consultation with the chair of Planning Application Committee.</p> <p>v. The Head of Development & Building Control considers the application or notified matter should be considered by the Planning Applications Committee.</p> <p>vi. The terms of a legal agreement needs to be agreed other than where a contribution is in accordance with a tariff agreed in adopted Supplementary Planning Guidance.</p> <p>vii. The proposal involves the Borough Council either as applicant or land owner, and the scheme is not of a minor nature, as defined in statistical returns to the Government.</p> <p>viii. The applicant is a member or an employee of the Development Control or Building Control Section.</p>	<p>writing or email</p>	<p>with rationale and reasoning</p>	<p>28 days of the date of the relevant weekly list</p>
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<p>Stafford</p>	<p>developments on which the officer recommendation would conflict other than to a minor extent with The Plan for Stafford Borough policies or other relevant planning policies (ii) developments which raise unusual issues of planning policy or which the Head of Development considers should be presented to the Planning Committee for decision (iii) applications where a written request for consideration by the Planning Committee, supported by an appropriate planning reason, has been received from a Member of the Council relating to an application in their Ward or a nominated Member where there is no Ward Member able to act, no later than 21 days following notification being sent to the Ward Member, or in relation to any prior approval application for telecommunications development where a decision could not otherwise be made by Committee before the statutory deadline for determination such lesser period as may be necessary. Where amended plans and information of a significant nature are received on an application, an additional Call-in period will be given, the period for which will be specified to suit the circumstances of each case (iv) a Ward Councillor, from an adjoining Ward, may call in a planning application where that application could adversely affect one of their constituents living in a property abutting the site of the proposed planning application. (v) Where a ward is represented by a single member that member may during a period of absence from the Borough or inability to act for any reason nominate to the Head of Development another member to act in their place for the purposes of this provision. This will also apply in wards with more than one member when all members are absent or unable to act for any reason (Where an application is called-in by any Member who subsequently ceases to be a Member of the Council before the application is determined, the remaining and/or new Members of the same Ward will be asked if they wish to take over the call-in. If no Member takes over the call-in, it shall be treated as withdrawn) (vi) applications where a written request for consideration by the Planning Committee, supported by an appropriate reason, has been received from 3 Members of the Planning Committee no later than 21 days following notification being sent to the Ward Member, or in relation to any prior approval application for telecommunications development where a decision could not otherwise be made by Committee before the statutory deadline for determination such lesser period as may be necessary. Where amended plans and information of a significant nature are received on an application, an additional Call-in period will be given, the period for which will be specified to suit the circumstances of each case (vii) applications to which there are objections or to which paragraphs (i) to (v) above apply, submitted by or on behalf of :-a serving Councillor of the Borough Council or the spouse/partner of a Councillor; an employee of the Borough Council or the spouse/partner of an employee; and a person who, in the period of two years prior to the date of application, was either a Councillor with, or an employee of, the Borough Council or the spouse/partner of such a person; where a Councillor or an employee of the Council has a pecuniary interest in the outcome; applications submitted by or on behalf of the Council for its own developments or where the Council has a pecuniary interest in the application except for the approval of routine minor developments to which no objection has been received; (viii) Large Scale Major applications other than applications to</p>	<p>written request</p>	<p>with rationale and reasoning</p>	<p>21 days</p>
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	renew or amend previously permitted applications, or reserved matters;			
Stratford				
Test Valley	have to request the document from legal			
Tonbridge and Malling	<p>cases where there is a balance to be made between diverging and significant policy considerations shall be referred to the relevant Area Planning Committee. in the event of a recommendation by the Director of Planning,</p> <p>Housing and Environmental Health of any application which, in the opinion of the Director of Central Services & Deputy Chief Executive, might lead to an adverse judicial finding, award of costs against or to the payment of compensation by the Council, such application shall be referred to the relevant Area Planning Committee</p> <p>(iv) Member for the relevant Ward in which the application site falls may require that the application be determined by the relevant Area Planning Committee provided that:</p> <p>(a) The request is made within 21 days of notification of the application to the Member; and</p> <p>(b) The request is made with reasoned justification on proper planning grounds as determined by the Director of Planning, Housing and Environmental Health in consultation with the relevant Area Planning Committee Chair.</p>	in writing with justification	On planning grounds	21 days
Warwick	<p>Object on environmental and other grounds to applications for goods vehicle operators licences, such objections to be reported to the Committee for instruction as to whether an appearance should be entered at any hearing</p> <p>which might take place into the objection. Applications where a written request is received from a member of Warwick District Council within the specified consultation period i.e. 21 days. that Committee referral is required. Such requests should clearly state the reasons why a Committee referral is required</p> <p>(ii) Applications where 5, or more valid representations are received where these are contrary to the officers' recommendation unless the Head of Development is satisfied that the plans have been amended to address the concerns raised so that there are no more than four contrary representations.</p> <p>(iii) Applications where the recommendation of the Head of Development</p> <p>i.e. Grant/Refuse is contrary to the representations made by a Parish/Town Council, i.e. Object/Support, except in the following circumstances:</p> <p>a. the Head of Development is satisfied that the plans have been</p>	written request		21 days

	<p>amended to address the concerns of the Parish/Town Council;</p> <p>b. where the representations made by the Parish/Town Council do not raise any issues which are material to the planning assessment of the particular application; or</p> <p>c. where the concerns of the Parish/Town Council have been previously considered as part of the assessment of an extant permission on the site and there has been no change in circumstances</p> <p>(iv) Applications where the principle of development would represent a material departure from any policy within the Development Plan.</p> <p>(v) Applications known to be submitted by or on behalf of a Warwick District Councillor, Warwick District Council employee or former employee of the Council, or the spouse/partner of any such person.</p> <p>(vi) Applications submitted by Warwick District Council or Warwickshire County Council, other than for approval of routine minor developments.</p> <p>(vii) Where applications are to be refused and enforcement action is being recommended, following consultation with the Chair and Vice Chair of the Committee and the relevant ward member(s) except in the circumstances where the Head of Development considers it appropriate for that matter to be determined by Planning Committee.</p> <p>(viii) Applications where an Environmental Impact Assessment has been provided.</p> <p>(ix) Any application which raises significant issues such that in the opinion of the Head of Development, it would be prudent to refer the application to Planning Committee for decision.</p>			
West Suffolk	unable to access	n/a	n/a	n/a
Wychavon	The Council has an approved Scheme of Delegation for officers to deal with planning applications and other planning and building control matters. Local Members are supplied with regular lists of planning applications. Where a matter is delegated to an officer under the Scheme of Delegation only the Chairman, the Director of Planning and Infrastructure and the Local Member may refer an application to Committee. Such persons should only request that an application be referred to Planning Committee for determination if there are matters of material planning concern. Such a request should be in writing, give the reasons for the referral and be placed on the planning file.	written		

Appendix 2:

Table: Summary of the statistical data reviewed

LPA	Proportion of appeals against total apps determined 2016-2022	Proportion of appeal dismissals of total 2016-2022	% of major apps decided in time 2016-2022	% of minor apps decided in time 2016-2022	% of other apps decided in time 2016-2022	Average income 2016-22 (£000's)	Average expenditure 2016-22 (£000's)	Average number of applications received annually 2015-2022	average income per application (£) 2015-2022	average cost per application (£) 2015-2022	Net cost per application (£) 2015-2022	Proportion of major apps of total 2015-2022	Average % of EOT 2016-2022	% of decisions made in time where the application had no PPA EOT or EIA, as a proportion of the total number of applications made Jan 22-Dec 22	% of all decisions made in time of the total number of apps made	% of decisions (where no EIA PPA or EOT) that were made out of time limits, of the total number of decisions (where no EOT PPA or EIA required) Jan 22-Dec 22	% of applications approved Jan22 - Dec 22	% of delegated decisions 2016-2022
Rugby	1.44	72.22	98.51%	85.13%	88.13%	1276	1549	866	1473.63	1788.30	314.67	4.92%	36.09%	95.66%	48.82%	25.75%	92.89%	95.29%
Ashford	2.08	69.59	74.30%	78.51%	86.27%	1517	2849	1542	983.57	1847.91	864.34	3.96%	39.19%	40.25%	43.06%	14.70%	86.27%	96.51%
Bassingstoke and Deane	2.15	72.58	75.36%	68.65%	84.37%	1424	3350	1662	856.43	2015.24	1158.81	2.65%	26.08%	34.75%	36.53%	33.63%	93.58%	97.35%
Blaby	1.41	79.31	98.15%	95.46%	97.25%	651	1607	729	893.87	2205.63	1311.76	3.51%	44.58%	33.43%	61.82%	9.47%	92.59%	95.11%
Brantree	4.49	67.19	81.05%	74.66%	85.05%	1442	2152	1542	935.15	1395.27	460.12	4.34%	35.39%	48.25%	43.45%	9.43%	85.23%	91.29%
Broxbourne	2.45	82.41	75.72%	81.24%	87.44%	686	818	798	859.47	1020.46	160.99	3.13%	25.59%	32.60%	49.31%	33.89%	89.23%	97.25%
Cherwell	2.08	67.66	88.87%	85.92%	88.38%	1695	2309	1808	936.97	1276.35	399.38	4.63%	23.61%	47.22%	45.47%	11.48%	87.57%	94.00%
East Staffordshire	1.48	69.62	97.10%	94.33%	97.54%	900	1047	956	941.75	1095.57	153.82	4.43%	26.74%	48.05%	48.17%	7.31%	94.44%	98.06%
Harborough	2.00	65.35	84.64%	81.60%	85.05%	1301	1487	1248	1041.79	1191.05	149.27	4.84%	18.14%	47.92%	23.71%	35.86%	91.07%	94.36%
Hinckley and Bosworth	3.26	73.20	74.82%	77.06%	81.09%	1128	1548	1537	733.95	1007.16	273.20	4.84%	41.57%	18.91%	20.00%	72.90%	95.65%	94.67%
Huntingtonshire	2.15	76.97	80.62%	74.84%	86.22%	1712	1532	852	2099.78	1798.51	-211.27	4.22%	23.48%	27.26%	52.10%	34.82%	90.50%	93.97%
Numeston and Bedworth	2.12	50.82	88.04%	92.23%	90.95%	774	787	693	1116.61	1135.97	18.75	6.47%	19.64%	58.64%	37.42%	6.29%	92.56%	92.15%
Stafford	1.96	68.75	83.40%	84.43%	90.94%	811	1587	1127	719.04	1407.92	688.88	5.12%	27.78%	16.87%	62.17%	40.99%	91.47%	93.88%
Stafford	3.84	66.18	95.19%	89.99%	85.73%	1771	3373	2222	796.88	1517.85	720.97	4.13%	34.40%	33.08%	48.38%	30.76%	90.42%	92.67%
Test Valley	2.08	73.21	89.70%	86.14%	92.89%	1336	3647	1619	824.89	2252.42	1427.53	3.00%	23.43%	59.10%	31.73%	7.76%	90.60%	94.92%
Tonbridge and Malling	2.07	70.07	78.44%	78.73%	88.55%	1027	1652	1298	790.99	1272.96	481.58	3.02%	16.53%	32.62%	41.02%	39.97%	87.41%	97.22%
Warwick	2.43	63.35	93.88%	84.73%	88.91%	1458	1781	1449	1006.10	1228.64	222.54	3.76%	33.92%	33.87%	38.89%	36.86%	87.90%	92.40%
West Suffolk	1.73	71.85	91.61%	96.83%	98.48%	1514	2278	1397	1083.89	1631.15	547.26	4.92%	43.15%	46.57%	50.41%	9.65%	92.50%	95.27%
Wychavon	3.06	73.12	88.92%	89.05%	94.47%	1384	1242	1502	921.86	826.97	-94.89	4.44%	23.09%	55.63%	30.21%	13.14%	93.63%	94.29%
Average	2.33	70.18	86.23%	84.18%	89.35%	1253	1926	1308	996	1469	473	4.23%	29.60%	39.51%	42.77%	24.98%	90.82%	94.80%
Median	2.08	70.07	88.04%	84.73%	88.38%	1252	1947	1332	970	1451	482	4.19%	29.24%	39.72%	42.44%	24.94%	90.70%	94.77%

Appendix 3

The Rugby blueprint

“We have worked with all employees to create the Rugby Blueprint.

The Rugby Blueprint supports the evolution of our culture, provide a framework for how we will become the best we can be; to be more innovative, with empowered decision making at all levels. That includes our communities: we want to work with them as equal partners to achieve their aspirations and collectively shape our borough and enhance local pride.

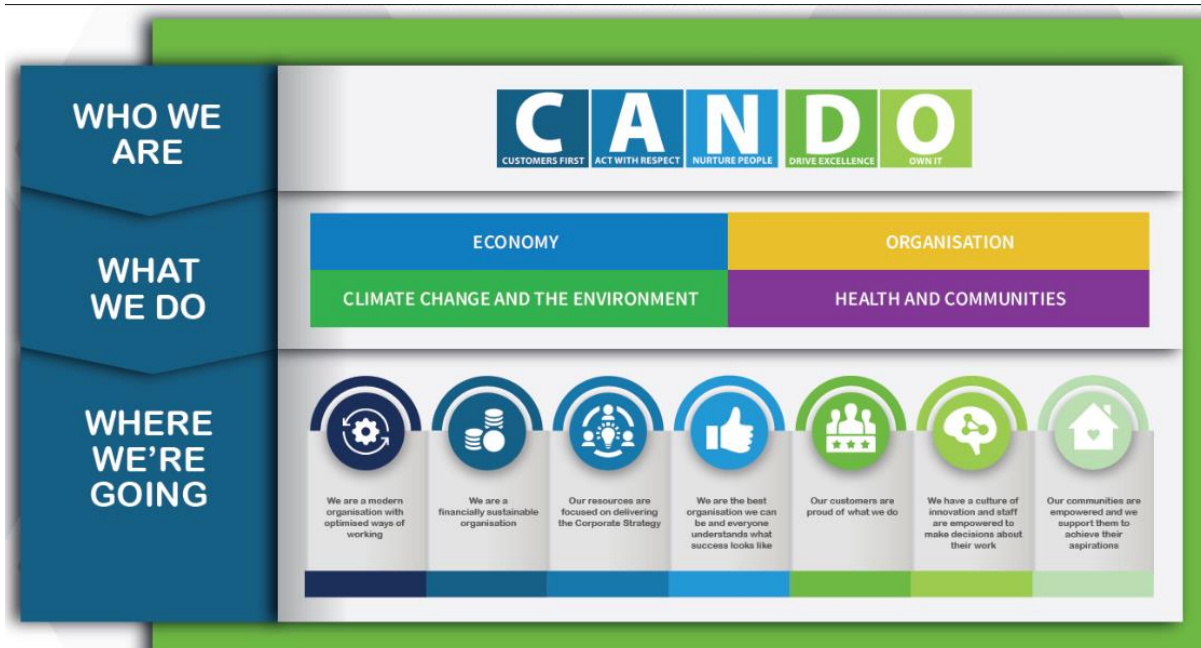
We will become more agile, make best use of technology to optimise our ways of working and improve our processes, while delivering high quality services to our residents.

We recognise the importance of effective working between Councillors and officers and will strengthen that relationship to support robust decision making and to provide effective community leadership. We will become more commercially focused, maximising income to help to protect our services and deliver financial sustainability.

Alongside this, we will ensure that we remain as efficient as we can be, and that best value is achieved wherever we spend public funds.

Our ‘CAN DO’ values remain at the heart of all we do. They represent who we are, and they will be an important part of our HR and Workforce Strategies.

Overall, our vision for the borough is clear – we want to address the climate emergency, support a thriving economy and ensure healthy communities. This vision will be delivered by an ambitious Council comprising of employees and councillors acting as one team to do what is Right for Rugby.”



WHO. WHAT. WHERE.

WHO WE ARE

CANDO

CLIMATE CHANGE AND THE ENVIRONMENT
ORGANISATION

WHO. WHAT. WHERE.

WHAT WE DO

ECONOMY
CLIMATE CHANGE AND THE ENVIRONMENT
ORGANISATION
HEALTH AND COMMUNITIES

WHO. WHAT. WHERE.

WHERE WE'RE GOING



- Strategic Advice & Strategy Development
- Supporting Projects Through Planning
- Project Management & Governance
- Viability, Funding & Delivery
- Building Capacity & Skills

DM Review Recommendations	Accepted Y/N	Action to be taken	Timescale	Commentary
Establish a regular agent / applicant forum.	Y	Create a database. Consider frequency once or twice a year	By end of 23/24	The need to prioritise the introduction of Biodiversity Net Gain and Community Infrastructure Levy this has been postponed to Q1 of 24/25
Use the forum to communicate any changes in approach, new legislation or policies such as validation requirements and climate change SPD.	Y		By end of 23/24	The need to prioritise the introduction of Biodiversity Net Gain and Community Infrastructure Levy this has been postponed to Q1 of 24/25
Invite Portfolio Holder and Planning Committee Chair to attend Agents Forum	Y		By end of 23/24	The need to prioritise the introduction of Biodiversity Net Gain and Community Infrastructure Levy this has been postponed to Q1 of 24/25
Use the Agents forum to communicate expectations.	Y		By end of 23/24	The need to prioritise the introduction of Biodiversity Net Gain and Community Infrastructure Levy this has been postponed to Q1 of 24/25
Consider preparing and adopting a Charter that sets out the Councils expectations from applications and the commitments it will make. This could include how many opportunities the Council will give to make amendments for example or information about the of PPAs e.g.	Y	To review other Charters to consider options	2023/2024	Look to progress in 24/25
Put in place regular Officer / Member sessions to reinforce the messages around the "purpose of planning" and approach to key issues such as HMO and G&T. This could be part of the suggested monthly Committee briefing sessions.	Y	Programme of Member Training to be establish and updates given through Planning Services Working Party	By end of 23	Consultations undertaken with Issues and Options for Local Plan Review along with Member conversations on Local Plan. Member training also been undertaken on Biodiversity Net Gain & Planning in 2023. Programme for 24/25 currently being worked on with Democratic Services.
Instigate joint sessions of Development Management and Development Strategy to ensure alignment on key issues and corporate focus for emerging plan and decision making	Y	Already underway sessions on Planning Performance Agreements, Retail the	Ongoing	Development Strategy now invited to monthly Major Project meeting and are now attending key pre-app meetings. Policy Surgery restarted and also Design Surgery meets regularly.
Ensure the principles established by the team are built into annual service planning and individual one-to-ones.	Y	Already underway.	Apr-24	Awaiting corporate roll out of appraisal system in 24/25
Work with team to explain why it is important to measure performance.	Y	Team meetings, staff briefing	Ongoing	All staff had training with Rugby Blueprint rolling out through other corporate training programmes and Corporate Briefing updates. Annual meeting celebrating successes of entire portfolio based on KPIs and Pis
Ensure roll out of the rugby blueprint and check to ensure staff understand what it means. Can they deliver against it and how will they know?	Y	Bespoke training sessions, Team Meetings, One to ones	Ongoing	
Consider yearly sessions with the team as part of annual business planning to reflect back the approach required.	Y	More reflection as part of annual service planning with team and with managers	Ongoing	Staff involved in service planning. Annual review meeting provides opportunity to reflect on the past year and look forward to the next.
Ensure customer feedback is part of this process.	Y	People already provide feedback via email to the officer. Feedback is always squewed if the application is refused. Look at ways to record feedback e.g Team meeting and team folder in sharepoint	Ongoing	Folder in SharePoint for feedback
Empower principal officers to ensure consistency of approach and regulatory requirements followed.	Y	Planning and Enforcement Manager has stepped away from weekly planning surgeries which are now led by the principal officers. Process notes will assist with consistency.	Ongoing	Friday weekly meet with the Development Management Team able to identify patterns and discuss issues. Fortnightly Principal Planning Officer meetings to discuss issues
Ensure officers understand that they are not alone and can ask for help.	Y	Stressing that everyone is available. Team day once a week, everyday in the office with new starters for the first few weeks.	Ongoing	Friday weekly meet with the Development Management team. All Principal Planning Officers help others not just their team. Senior Plannng Officers are also involved in assisting more junior members of the team.
Involve junior officers are more complex projects or appeals as part of a bigger team	Y	Planning Performance Agreements which involves a project team approach like that in the private sector allows more junior members of the team to be involved in larger projects and gain invaluable experience.	Ongoing	Training given to officers about how this works in practice. Monthly major projects meeting provides opportunity for updates.
Consider more days in the office, particularly as teams.	Y	Team day once a week, all service day once a week to allow colloboration between the teams	Ongoing	
Provide guidance and training for Members on enforcement.	Y	Arrange member training sessions on enforcement	Ongoing	See line 7. Has previously been undertaken look to undertake refresher in 2024.
Celebrate "successes" with members and public.	Y	Updates provided to Communications for Members where applicable.	Ongoing	Member communications have been used to provide information on Development Management. Report to Scrutiny on the performance of the Enforcement Team. Updates to the website are also planned now that the website has been updated to provide more information to residents.
Strengthen relationships between enforcement and DM teams. Encourage DM officers to get more involved in enforcement activity.	N	None		This was already established prior to the publication of report.
Consider giving planning officers a small case load of enforcement work.	Y	Explore opportunities where this can occur. Resource implications.	Ongoing	Planning officers have become more involved in certain enforcement works, particularly those relating to sites they are familiar with. This helped support the enforcement team when there were vacancies.
Consider the best approach for Rugby to strengthen the role of Members at pre-app stage. Options include:	?	Pre-apps are confidential and may contain commercially sensitive information. Need to remain confidential, however agents for major schemes tend to conduct pre-app consultations with Members and third parties already. Regular discussions take place between Head of Service and Portfolio Holder. Large applications which are covered by a Planning Performance Agreements also now required meetings with Ward Members and Planning Committee.	Ongoing	Ward Councillors informed of applications in their Ward once valid and provided details of named officer to liaise with.
Consider including some plans and drawings in the committee reports or sharing the presentation in advance.	Y	Hyperlink provided with the committee report to all plans and documents. In additional to plans and photographs in the Committee Presentation, key plans incorporated into reports when deemed appropriate.	Completed	
Provide committee briefing sessions monthly to advise Members about what is upcoming and include details on proposals. This will help to highlight key issues for officers and give Members greater ownership and feeling of involvement. This could be an open invitation to all Members.	Y	Briefings already happen with the Chair and Vice Chair of Planning Committee. Chief Officer to investigated opposition briefings on a monthly basis and committee briefing	Completed	Meetings set up with opposition groups to discuss planning issues

DM Review Recommendations	Accepted Y/N	Action to be taken	Timescale	Commentary
Consider whether it is necessary to amend the Scheme of Delegation to make it clearer that Members are able to request call-in of applications that are re-consulted on, or if reminding officers and Members about the ability for chief officer to refer applications to committee is sufficient.	Y	Need to make abridged version same as main version of Constitution. Need to ensure that only planning applications can be called to Committee. Majors that are recommended for refusal can be delegated to officers or all majors delegated and just caught be number of objections or member call in.	Completed	New delegation scheme agreed and came into play from February 2024.
Review SLA with WCC ecology. Review what applications they are being consulted on, what data they are providing for the Council to use, how comments are provided and how quickly they are provided.	Y	SLA still to be finalised. Pinsent Masons provided legal background to ecology legislation and WCC Ecology provided two bespoke training sessions for officers.	Ongoing	Service Level Agreement has been with Warwickshire County Council for over a year. Latest SLA drafts in circulation and further meeting with RBC/WCC to be set to finalise.
Work with WCC to refine how they engage in the process and opportunities to work more efficiently and effectively.	Y	Management regularly meet with WCC Highways to discuss issues. WCC Highways are currently reviewing their own processes. Looking at bringing in a triage service for Highways which will then create standing advice.	Ongoing	Management also met with WCC Education to discuss timely responses and requests.
Explore with WCC including a pre-app fee for WCC services which can then be passed on.	Y	It has been offered.	Ongoing	WCC set up their own pre-app service for advice, such as highways and ecology. Discussions around collaborative working ongoing.
Explore with WCC opportunities for signing up to a PPA.	Y	It has been offered awaiting for WCC to set up	Ongoing	
Undertake further work to understand any patterns such as particular consultees asking for further information, experience or confidence of officers.	Y	Further training of officers to increase confidence.	Ongoing	Ongoing and been filtering into Friday morning meetings.
Consider establishing a 'technical officer' who takes responsibility for managing and updating the IT system.	Y	3 Technical officers to be established within the team.	Ongoing	New Planning Technical Officer appointed and training ongoing. Will be fully operational by 1st April 2024
Consider training other officers to have an understanding of the "back office system" and how to run reports etc.	Y	3 Technical officers to be established within the team.	Ongoing	Discussed amongst the Principal Planning Officers and rolled out. Other key officers jhave ability now to log calls/make changes to system.
Consider corporate opportunities for a system that incorporates other disciplines such as building control and environmental health.	Y	IT Review undertaken and continuing with bespoke system	Completed	Look to progress newer version of system in 24/25 with additional modules such as mobile app for officers and the use of artificial intelligence for validation.
Undertake training on the drafting and use of Planning Performance Agreements for	Y	Already undertaken	Completed	Update and further training ongoing.
Promote the use of Planning Performance Agreements to applicants at agent forums	Y	Will do when Agents Forum is arranged	24/25	see 1
Provide information on the website about PPAs e.g. Cornwall website: What we offer – Cornwall Council and their Charter: Planning Performance Agreement Charter (cornwall.gov.uk)	Y	To review	24/25	Some changes have been made to website futher changes in train.
Document ways of working into a procedure or process guides / manuals. Involve the team to identify what would be most helpful and what they should contain.	Y	Validation Checklist; Validation & Registering process notes; Appeal Procedures PINS; Appeal Procedure Internal; List of Conditions /Informatives; Enforcement Procedures	Completed	
Continually review, refine and improve processes and update the manuals / guides. Use the ideas from the workshop as a basis for reviewing approaches.	Y	Workshop ideas have been now put in to best practice within the team	Completed	
Investigate opportunities for specialist heritage advice such as shared with other councils, part time roles, consultancy appointments etc.	Y	To be procured as part of an panel for complex applications and appeals but a	Apr-24	Currently reviewing tenders for specialist heritage advice for large complex applications and appeals. Specialist heritage advice secured from neighbouring authority through a Service Level Agreement from April 2024 for few hours a week .
Ensure Rugby BC performance measures reflect those proposed by the Government	Y	Already in place	Completed	
Ensure staff understand why change is needed and empower them to make the changes.	Y	Staff briefing, team meetings, staff workshop	Ongoing	
Encourage the use of the pre-app service – promote its benefits (including shortening application times)	Y	All staff are encouraged to promote	Ongoing	
Ensure the pre-app service is meaningful and delivers benefits to the customer.	Y	Routine checks of Officers letters. Letter should include Policy, Principal of development, key issues, constraints, PD, responses from internal consultees. Hyperlinks to validation checklist, sustainability checklist, local plan, details of WCC Highways contacts details etc. S106 Head of Terms and PPAs. History, extant permissions and adjacent development. Snapshots of layers if relevant. Existing templates to be reviewed	Completed	
Ensure all officers understand the validation requirements and provide regular training and update sessions.	Y	Staff have received training and a validation manual has been produced.	Completed	
Ensure applications that do not have the required information are not validated. Suggest to applicants to use the pre-app service.	Y	21 days no reminders. Standard paragraph inserted in letter advising that after 21 days application will be returned. Officers to use discretion in cases where applicant / agent is proactive in advising of the need for extra time if reason is provided.	Completed	In place and ongoing.
Seek to have a maximum number of days that applications sit in box.	Y	7 days	Completed	Introduction of new Planning Technical Officers
Principals should take responsibility for ensuring the box is emptied regularly and should allocate applications which exceed the target for time spent in the box.	Y	Principal Officers to regularly meet to review the box and to allocate accordingly	Ongoing	

DM Review Recommendations	Accepted Y/N	Action to be taken	Timescale	Commentary
Principal officers regularly review progress on applications and provide proactive support to officers.	Y	Principal Officers already conduct monthly case management meetings with officers to review progress and caseload	Ongoing	Additional meet ups undertaken if required.
Case officers review progress of the application at week 4 to make a decision if the application can be amended to make it good enough to approve.	Y	Principal Officers already conduct monthly case management meetings with officers to review progress and caseload	Ongoing	
Circulate a list of applications which are 6 weeks old on a weekly basis to remind officers that they are close to their time targets. Officers to consider if all necessary amendments have been made or are likely to be made within target. If not, consider appropriate action such as EOT, refusal, asking to withdraw etc.	Y	This can be picked up within case management meetings	Ongoing	To be discussed further in team meeting and one to ones.
Consider appointing a technical support officer to help officers with technical tasks and ICT. This could help reduce the burden on some officers to manage the Agile system.	Y	Two search and systems officers converted to Planning Technicians and another officer recruited. Job Description amended.	Completed	New Planning Technical Officer appointed
Principals should regularly monitor individual performance and data, checking on the type of applications and workload being taken from the box.	Y	Already undertaken and reported at montly Service Managers	Completed	
Undertake further work to understand income and costs, particularly the split between major and minor apps and how staff are allocated to these tasks. Identify opportunities to reduce the cost per application.	Y	Officer split of work discussed at Service Managers meeting	24/25	Acknowledged further work to be done on this following the appointment of Planning Technical Officers and the redistribution of workload.
Introduce mentor or buddy system for junior planners reflecting the corporate values around nurturing staff.	Y	Buddy allocated within the team	Completed	
Programme of organised CPD including sessions done as a team.	Y	Organise a training schedule linked to Royal Town Planning Institute Professional Development Plan	Ongoing	
Encourage line managers to have more formal regular sessions with team members focusing on professional development where needs are identified, recorded and progress against checked and recorded.	Y	All Officers should have an Professional Develoment Plan using Royal Town Planning Institute Form. Should be completed annually in April.	2024/2025	Commenced but not completed by all to date. Needs to form part of new corporate appraisal system.
Celebrate successes of teams and individuals.	Y	Team Meetings, use corporate praise. Need to be more proactive with In Touch	Ongoing	Examples given to Communications to promote service.

AGENDA MANAGEMENT SHEET

Report Title: Rugby Art Gallery and Museums Forward Plan and Operational Policies 2024-2028

Name of Committee: Cabinet

Date of Meeting: 16 September 2024

Report Director: Chief Officer - Leisure and Wellbeing

Portfolio: Partnerships and Wellbeing

Ward Relevance: All wards

Prior Consultation: Arts Council England, national peers and local stakeholders including local schools, Portfolio Holder and Chief Officer

Contact Officer: Sally Godden
Rugby Art Gallery and Museum Manager
sally.godden@rugby.gov.uk

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):
 Rugby is an environmentally sustainable place, where we work together to reduce and mitigate the effects of climate change. (C)
 Rugby has a diverse and resilient economy that benefits and enables opportunities for all residents. (E)
 Residents live healthy, independent lives, with the most vulnerable protected. (HC)
 Rugby Borough Council is a responsible, effective and efficient organisation. (O)
[Corporate Strategy 2021-2024](#)
 This report does not specifically relate to any Council priorities but

Summary: The Purpose of this report is to seek formal adoption of the Rugby Art Gallery and Museum's Forward Plan for 2024-2028 and operational policies. These policies are an essential part of

achieving Museum Accreditation, the scheme that sets the national standards for museums in the UK and Ireland. RAGM achieved accreditation in 2008 and has since achieved this in 2012 and 2018 We are currently reapplying for 2025. The plan sets out the purpose and priorities for RAGM over the next four years. This report provides the strategic framework and ensures the service is modern and maintained and delivered to a high standard.

Financial Implications:

The action plan is set within anticipated revenue budget or identifies where external funding will be sourced.

Risk Management Implications:

Not approving the report will risk the following:
Lack of focus and vision for RAGM to support the town's community cultural offer and visitor economy.

Removal of RAGM's Accreditation status. This would result in reduced access to external funding and national and international loans to support its temporary exhibition programme that are only available to accredited facilities. This would also undermine professional reputation of the service.

The benefits to approving the report include a clear focus and priorities for RAGM over the next four years when seeking a renewal of RAGM's Accredited status.

Environmental Implications:

A climate change and environmental impact assessment has been completed and is attached as Appendix 2.

Legal Implications:

Potential impact on the accreditation status of the service.

Equality and Diversity:

Equality and Diversity considerations have been taken into account and the proposed recommendations have a positive impact in terms of accessibility for all communities, and supports the health, wellbeing and safety of all communities in the area. The full equality impact assessment is available as Appendix 3.

Options:

- 1) Approve the forward plan 2024-2028 and associated operational policies
- 2) Reject the forward plan and associated operational policies.

Recommendation:

The Rugby Art Gallery and Museum Forward Plan and associated policies for 2024-2028 be approved.

Reasons for Recommendation:

This will provide the service with clear direction on so RAGM can continue to offer activities that celebrate the town centre asset and drive footfall into the town centre.

Cabinet - 16 September 2024

**Rugby Art Gallery and Museums Forward
Plan and Operational Policies 2024-2028**

Public Report of the Chief Officer - Leisure and Wellbeing

Recommendation

The Rugby Art Gallery and Museum Forward Plan and associated policies for 2024-2028 be approved.

1. Executive Summary

What is a Forward Plan for Rugby Art Gallery and Museum?

- 1.1. The Museum Accreditation Scheme is the United Kingdom industry standard for museums and galleries.
- 1.2. Arts Council England Museum Accreditation requires that every museum produces a 5 year Forward Plan (operational service plan) to identify its strategic objectives. An accompanying Action Plan is a working document outlining the steps to their achievement.
- 1.3. The Forward Plan (Appendix 1) enables the Rugby Art Gallery and Museum to plan effectively for the long-term and be able to adapt in a changing environment.
- 1.4. The Accreditation Scheme ensures that Museums and Galleries have a clear statement of purpose, appropriate constitution and satisfactory structure for governance and management.
- 1.5. The scheme encourages all Museums and Galleries to meet an agreed standard in how they are run, how they manage collections and how they engage users, reinforcing a shared, ethical way of running a museum and gallery service.
- 1.6. The plan looks at what has been achieved in the previous plan period, what lessons were learnt and how the service can continually develop its offer.
- 1.7. The plan sets out the purpose and priorities for RAGM over the next five years, providing the strategic framework for future work and ensuring that our programme for residence and visitors is maintained and delivered to a high standard.
- 1.8. The action plan has many workstreams which will generate their own projects and activate further outcomes.

- 1.9. The plan will lay out how we aim to bring value to our community, provide a foundation to build our brand and service awareness and fulfil our Museum Accreditation responsibilities. We aim to secure our position as a civic space and highlight how our collections can which connect people place.
- 1.10. We will use this forward plan to seek investment drawing on the importance of culture and heritage and its contribution to positive economic and social outcomes at a local level, making the town more attractive to visitors, businesses and residents.

How has the Forward Plan been developed?

- 1.11. The Plan has been developed through engagement with Arts Council England, national peers and local stakeholders including local schools, Rugby Archaeological Society and more.
- 1.12. The plan sets out an updated action plan for the delivery of activities and events that support the delivery outcomes of the borough council's Corporate Strategy setting our strategic document to guide standards and behaviours.
- 1.13. The recommendation is to approve and adopt the Forward Plan to enable the service to continue for Arts Council England Accreditation.

Associated Policies for adoption

- 1.14. As part of the Forward Plan requirements, a suite of policy documents is required to be formally ratified through the governing bodies governance structure. For the council this equates to Cabinet approval. The policies for adoption include:
 - The Collections Care and Conservation Policy and Plan (Appendices 4 and 5)
 - Documentation Policy (Appendix 6)
 - Collections Development Policy (Appendix 7)
- 1.15. The policies outline how the service develops its collections and reflect the future of the service, ensuring collections are useable and well-managed.
- 1.16. Rugby Art Gallery and Museums Collections Development Policy outlines future collecting at RAGM, and the considerations behind this.

2. Introduction

- 2.1. Rugby Art Gallery and Museum sits within the Lesiure and Wellbeing portfilio within in Rugby Borough Council. The venue sits in the heart of Rugby Town centre since opening in 2000.
- 2.2. It has Full Museum Accreditation status from the Arts Council England (ACE) and in the last 12 months has seen 70,000 visitors.

- 2.3. The Museum Accreditation Scheme is the United Kingdom industry standard for museums and galleries.
- 2.4. Arts Council England Museum Accreditation requires that every museum produces a 5 year Forward Plan to identify its strategic objectives. An accompanying Action Plan is a working document outlining the steps to their achievement.
- 2.5. The Forward Plan (Appendix 1) enables the Rugby Art Gallery and Museum to plan effectively for the long-term and be able to adapt in a changing environment.
- 2.6. The forward plan will outline our purpose and give a steer for future development, providing the strategic vision and focus for the Arts, Heritage and Visitor Service to deliver against Rugby Borough Council Corporate Strategy and other regional strategies.

3. The Forward Plan

- 3.1. The current forward plan ran for the period 2017- 2021. The submission of a revised plan has been on hold whilst the service and leisure and arts economy continued its recovery following the Covid-19 pandemic. During the previous 18 months, there has also been significant service development, a staffing restructure and introduction of many new team members.
- 3.2. The RAGM are now in a position to launch the forward plan for the Arts, Heritage and Visitor Services that encompasses Rugby Art Gallery and Museum and the Visitor Information Centre.
- 3.3. The Forward Plan is a pre-requisite to the Arts Council England Accreditation scheme requirements and officers will be applying for renew to full Accreditation in 2025.
- 3.4. The Accreditation Scheme is the UK industry standard for museums and galleries.
- 3.5. The nationally agreed standards to ensure all museums are sustainable, focused and trusted, inspiring the confidence of the public and funding and governing bodies.
- 3.6. The Accreditation Scheme does this by making sure museums manage their collections properly, engage with visitors, and are governed appropriately, requiring the forward plan to be agreed by members.
- 3.7. RAGM achieved full accreditation in 2008 and 2012. In 2016, following services and building changes, RAGM was awarded partial accreditation in 2016. This was reinstated to full accreditation in 2018.
- 3.8. The forward plan has been circulated for feedback, we have taken on board feedback from local, regional and national partners.

3.9. Within the plan, the following is set out:

- Statement of purpose
- Purpose and Vision
- What the service delivers
- Standards and behaviours

3.10. The purpose of the service is to enable Rugby's residents to live well through participation in art, culture and heritage.

3.11. The standards and behaviours set out how the service delivers against the councils corporate strategy, values framework, rugby blueprint, the Museum Accreditation Scheme and a set of operational policies including the Collections Development, Care and Conservation and Documentation Policies.

3.12. The plan to the Council Corporate Strategy and is a key workstream in the Corporate Strategy Delivery Plan and how they support the delivery of Arts Council England objectives and investment principals to best place the service to applying for national funding opportunities these include:

Forward Plan objectives	Arts Council England Outcomes	Arts Council England investment principles
Develop the RAGML building to enable all assets to be accessed in a sustainable way.	A creative & cultural country	Environmental responsibility
Use arts, heritage and visitor service to promote sustainable changes in people's lives and support the council's climate emergency agenda.	Cultural communities	Dynamism Environmental responsibility
Expand existing and seek new opportunities to attract people into the town centre and contribute to a thriving community across the Borough.	Cultural communities A creative & cultural country	Ambition & quality Inclusivity & relevance Dynamism
Contribute to Tourism and Culture objectives in the Council's Regeneration Strategy.	Creative people Cultural communities A creative & cultural country	Ambition & quality Inclusivity & relevance Dynamism
Drive local cultural regeneration through placemaking, connecting communities and collections, and developing permanent displays.	Creative people Cultural communities A creative & cultural country	Ambition & quality Inclusivity & relevance Dynamism
Raise the profile of the service and the Borough at a regional and national level.	Cultural communities A creative & cultural country	Ambition & quality Inclusivity & relevance Dynamism
Bring audiences and collections together in ways that are relevant to individuals and communities.	Creative people Cultural communities A creative & cultural country	Ambition & quality Inclusivity & relevance Dynamism

Forward Plan objectives	Arts Council England Outcomes	Arts Council England investment principles
Engage residents in relevant and dynamic programmes that celebrate creativity and heritage, improving the mental health and wellbeing of everyone involved.	Creative people Cultural communities	Ambition & quality Inclusivity & relevance Dynamism
Build strong local and regional partnerships that enable diverse communities to access arts and heritage.	Creative people Cultural communities A creative & cultural country	Ambition & quality Inclusivity & relevance Dynamism
Explore alternative operating models, increase income and become more resilient.	A creative & cultural country	Dynamism

4. Associated Policies for Adoption

- 4.1. The associated policies have been benchmarked with similar organisations locally and nationally. These include The Collections Care and Conservation Policy & Plan, Collections Development Policy and the Documentation Policy which are frameworks for guiding RAGM's approach to care and management of the art, social history, and archaeology collections.
- 4.2. RAGM's policies been reviewed according to ACE guidelines. It ensures that RAGM will continue to maintain required standards and will support its next application for Accreditation.
- 4.3. These are existing policies that have been updated as per Accreditation scheme requirements, including the need to be approved by a governing body, and therefore need to be ratified by the council Cabinet.
- 4.4. The policy sets out the framework and criteria for responsible and ethical acquisition and disposal of collections by the Art Gallery and Museum and Council and provides the basis for open and transparent decision making.
- 4.5. These policies will ensure that RAGM will continue to maintain required standards and will support its next round of application for Museum Accreditation due in 2025.
- 4.6. A collections development policy is an essential part of the collection management framework, which provides guidance to accredited UK museums in ethical and responsible acquisitions and disposals. It states the extent, range and nature of existing collections and governs future acquisitions and disposals.

Care and Conservation Policy and Plan 2024 – 2028 (Appendices 4 and 5)

- 4.7. The Care and Conservation Policy & Plan ensures we are taking all reasonable steps to ensure the safeguarding of the collections.
- 4.8. The policy has utilised Benchmarks in Collections Care activities to programme improvements to Collections Care and Conservation for the

collections at Rugby Art Gallery and Museum priorities are ascertained by visual inspection.

- 4.9. The plan has been developed in line with the museum's Care and Conservation Policy.
- 4.10. This plan will be reviewed on a yearly basis. It will be made available to appropriate staff and reflected in collections staff work plans.
- 4.11. The body of the plan gives an overview of the below:
 - Background
 - Collections Overview
 - Environmental Monitoring
 - Environmental Control
 - Provision of suitable building
 - Managing the threat from pests
 - Housekeeping
 - Documentation of the condition of the collection and of any treatments carried out on objects
 - Access to professional conservation advice

Documentation Policy (Appendix 6)

- 4.12. The Documentation Policy is designed to:
 - Describe the current situation with regard to each collection
 - Identify priorities and actions we will be taking to meet objectives
 - Describe how SPECTRUM standards will be met
 - Establish timescales and targets for dealing with retrospective documentation
 - Identify resources and any additional resources that will be required
- 4.13. The below is covered within the policy:
 - Priorities
 - Museum closure background
 - Recent and Current Documentation
 - Overview
 - Resources
 - Training
 - SPECTRUM Standards
 - Individual Collections

Collections Development Policy (Appendix 7)

- 4.14. The below is outlined in the Collections Development Policy:
 - History and overview of Collections
 - Themes and priorities for future collection,
 - Themes and priorities for rationalisation and disposal

- Legal and ethical framework for acquisition and disposal of items
- Collecting policies of other museums
- Archival holdings Acquisition
- Human remains
- Biological and geological material
- Archaeological material
- Exceptions
- Spoliation
- The Repatriation and Restitution of objects and human remains
- Disposal procedures

5. Conclusion

- 5.1. The implementation and delivery of the forward plan will ensure a clear strategy and operational direction of the service.
- 5.2. Once adopted, the forward plan will underpin future developments. Departments within the service will develop their own services plans and policies that will be underpinned by the RAGM forward plan including:
 - Visitor Centre and Retail Strategy
 - Learning and Engagement Policy
 - Exhibitions and Programming Policy
 - Audience Development Policy
 - Collections Development Policy
 - Wellbeing policy and action plan
 - Access policy and action plan
- 5.3. With an aim to align with the priorities of RBC, the forward plan will help bring focus to our activity planning and decision making.
- 5.4. The forward plan acknowledges the need to be reactive to national and regional opportunities including the town centre regeneration and meanwhile use projects.
- 5.5. These reviewed and approved policies will continue to provide staff with clear guidelines on future acquisition and disposal and will ensure ethical standards are followed.
- 5.6. Following these guidelines provides a framework for ensuring the long-term care and preservation of the collections at RAGM, despite current challenges. Continued monitoring, funding, and collaboration with external specialists are crucial for achieving this goal.
- 5.7. Having an approved Forward Plan and suite of associated policies will support RAGM's re-application for accreditation.

Name of Meeting: Cabinet

Date of Meeting: 16 September 2024

Subject Matter: Rugby Art Gallery and Museums Forward Plan and Associated Policies 2024-2028

Originating Department: Leisure and Wellbeing

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

Arts, Heritage and Visitor Services Forward Plan

Introduction



Rugby Art Gallery and Museum (RAGM) is a Rugby Borough Council owned and operated cultural asset situated in the heart of Rugby town centre.

The previous forward plan lapsed in 2021, following post pandemic service development, a restructure and introduction of many new team members, we are pleased to launch the forward Plan for the Arts, Heritage and Visitor Services that encompasses Rugby Art Gallery and Museum and Visitor Information Centre. We hope to use this document to provide the strategic vision and focus for the Arts, Heritage and Visitor Service to deliver against Rugby Borough Council Corporate Strategy and other regional and national strategies.

For the past 3 years, we have been building partnerships and rebuilding our audience post pandemic (which resulted a 97% drop in audience in 2020). During the pandemic, the service adapted to move resources and engagement online and then socially distanced activity with a focus on **supporting communities, opening access to arts and heritage, and continuing to help participants struggling with isolation and their mental health.**

From 2023 to 2024, the service saw our visitor numbers exceed pre-pandemic numbers, with 84,194 individuals visiting gallery spaces and 103,566 individuals accessing the service overall (including offsite programmes).

Achievements during the last strategy plan period;

The last service plan for RAGM (RAGM Forward Plan 2017 – 2021) presented the following statement and key aims:

Statement of Purpose

We celebrate Rugby's cultural and artistic heritage, support well-being and combat social isolation through heritage and the arts. We do this to provide positive experiences for the people of Rugby and its visitors by:

- Collecting, preserving and exhibiting the heritage of the borough and 20th century and contemporary British art.
- Presenting high quality temporary exhibitions of contemporary art from British and international artists.
- Organising an educational programme of events and activities to enhance the atmosphere of learning.
- Strengthening the work of Rugby borough cultural organisations and individuals through support, partnerships and use of our spaces.
- Recognising the links between creative cultural activity and well-being, and delivering a programme to support these links.
- Fostering a rich cultural environment that supports a thriving town centre.

During this time, we have strived to produce exhibitions and displays that attract different target audiences into the building and create a welcoming atmosphere. The outreach programme has grown, taking some of our offer to audiences around the borough, which can often encourage new audiences and often builds relationships that result in visits to RAGM.



During the last four years the service has consolidated community engagement, moving wellbeing outcomes to the heart of outreach and RAGM based activities in recognition of the benefits for participants. Notable examples include 'The Good Times' craft and reminiscence for adults living with dementia and 'Express Arts'; an arts on prescription programme run at the Benn Partnership Centre. We have built new partnerships with Rugby Young Carers group, Rugby Autism Network and Barnardo's Children's Centres.

The service has a long-standing record of achieving Full Accreditation from Arts Council England, having been awarded this in 2008 and 2012. In 2016, the service had its accreditation reduced due to the introduction of the Hall of Fame, but this was reinstated in 2018.



Our long-term plan will be to develop a permanent museum to showcase the rich heritage of the town and contribute to the established role of the service within the town centre. As we continue to seek investment and champion the stories the permanent museum will showcase, the collections team have continued to accession thousands of items into social history collection since Rugby Borough Council started collecting in 1999.

To develop and retain audience engagement, we have developed exhibitions such as *Every Object Tells a Story*, *Curious Cures and Marvellous Medicines* and *Lady Dorothea's War- A woman on the front line*, resulting in the donations to the museum's permanent collection.

We have taken steps to diversify our collection, securing a £50,000 grant from Arts Council England, hosting workshops with community groups from across the borough, including members of the Benn Partnership Centre and the Sikh Social and Welfare Association and documenting and conserving our archive of glass plate negatives.

We have forged strong relationship with local companies including GE, formally transferring long term loans from BHT/GEC sites to RAGM as formal acquisitions, caring for this significant collection from the town's history, preserving it for future generations.

We continue to work closely with Rugby Archaeology Society and Rugby Local History Society, sharing passion for preserving and showing Rugby's significant heritage. We continue to work closely with county archaeologist and commercial archaeology units in the acquisition of archaeological finds from new developments in the area.

During the pandemic the service recognised the unique opportunity represented by the pandemic to capture a moment in Rugby's history and launched the 'Let's Make Social History' campaign to collect photographs, stories and objects relating to resident's experience of lockdown. We also recognised the global Black Lives Matter movement and the protests that took place in Rugby, collecting placards, poems and interviews from residence.



We have developed partnerships with high quality artists and arts organisations enabling an exhibition programme that attracts visitors into the town and borough wide activities that benefit residents.

Examples included RAGM hosting the first exhibition ARTIST ROOM touring exhibition from TATE and National Museum Scotland celebrating the life and work of world-famous artist Louise Bourgeois. We also worked with acclaimed Artist, David Remfry RA, working closely together to curate our Rugby Collection exhibition and host his exhibition, We Think The World of You.

This created a range of opportunities for creative and dynamic programming including visits from BBC's Waffle The Wonder Dog and partnerships including Guide Dogs Society and ASDA.

We have continued to grow and develop our Rugby Collection, with some pieces having gained national and international recognition- with loans to the TATE Modern and Musee de International in Switzerland.

In 2021, we launched a rebrand and new website. Website development ensured its reflective of our growing service, has improved accessibility and improved user experience. The new branding has been applied to all signposting within the building and we continue to grow our social media reach and mailing list database.

We have honoured significant events in the national calendar such as the Queen's Diamond Jubilee, the King's Coronation and the Bicentenary of the game of rugby with a range of activities, displays, public art and town centre initiatives.

The Rugby Open Exhibition continues to go from strength to strength, each year attracting new artists from across the borough, creating a platform for established artists and emerging artists, highlighting the creativity of the borough. In recent years the changing panel of judges has included acclaimed artists and influencers (eg Penny Johnson former Director of the Government Art Collection, Chris Orr RA, David Remfry RA). These relationships are nurtured and help to build RAGM's influence and standing in the heritage world.

Our Floor One Gallery continues to host local artists and community groups. From Rugby College, local arts groups to individual artists this exhibition space continues to provide accessible space for our creative community. In 2023, the space hosted an exhibition commemorating the New Cross Fire working

directly with the survivors of the tragedy which remains a focal point of the fight for racial justice in Britain.

Rugby Art Gallery and Museum were pleased to display a range of art, craft, personal stories and photographs from Ukrainian refugees living in Rugby.

2022 saw 451 hours of volunteering to support conservation of our collections, research and supporting our events programme, with this number doubling in 2023 to 919 hours.

The Visitor Centre has also continued to offer exceptional customer service to all visitors, alongside being a support service to residence and visitors by signposting the boroughs events and activities and providing a booking agent for many services for those who do not have digital access.

The regular spring and summer free town tours continue, coordinated by the Visitor Centre and led by our volunteer Rugby Town Guides. The Guides are a wonderful asset to the town, taking visitors through a journey of discovery to the less well-known landmarks in town. We are also proud coordinators of the National Heritage Open Days, working with a range of partners, together hosting accessible activities and events to celebrate so much of what our town has to offer.

We have continued to diversify our learning and engagement programme, as well as building on previous successes. This has included responding to our communities needs by introducing a weekly Winter Warm Hub with resources from local organisations such as Act on Energy and Citizens Advice.

We have continued to host events such as the 'Big Draw' and 'Night at Your Museum' with themes such as 'Comic Strips & Superheroes' and 'Ocean Adventure' working with a range of partners, charities and freelance providers. With these events reaching up to 1,000 visitors a time, it has presented opportunities to work with local cafés and restaurants to offer 'meals deals' to support a wider town centre offer for visitors.



Our family programme has continued to strengthen, including 'The Summer of Discovery' programme, themed around STEAM (Science, Technology, Engineering, Art & Mathematics). Receiving funding from The Royal Society's 'Places of Science' grant enabled 2,566 children to take part in a range of activities to over the summer, with a launch event where 811 people attended a live science show.



More recently, summer 2023 saw just under 10,000 visitors visit 'KAPOW - The Art of Making Comics and Film' during the 2-month exhibition. The exhibition showcased original comics from Marvel icon Stan Lee and models from Aardman and noticeably attracted more teenager and male visitors as well as people making multiple visits. We hosted family friendly workshops and worked with local cafés and restaurants providing comic themed activity sheets for their patrons.

LOOKING FORWARD TO 2024-2028

The following pages outline our draft Forward Plan with refreshed purpose, vision and values, and our guiding standards and behaviours. This is followed by a table that details our service objectives, linked to Rugby Borough Council's Corporate Strategy outcomes. The Forward Plan is designed to sit within a suit of policies and will be approved by Cabinet when it will be adopted by the service. Once adopted the Arts, Heritage and Visitor Service will develop annual action plans which will detail the activities further.

RUGBY ART GALLERY AND MUSEUM FORWARD PLAN FOR 2024-2028

DISCOVER. CREATE. LEARN. ENJOY

Our purpose: To enable Rugby's residents to live well through participation in art, culture and heritage.

Our vision: To be recognised as an outstanding art gallery and museum at the heart of Rugby's community; essential for resident's health and wellbeing, and a natural source of inspiration, enjoyment and learning for all.

What we do:

- We care for, grow and exhibit the borough's art, archaeology and local history collections, sharing them in the widest sense.
- We generate relevant visual art and historical exhibitions and experiences.
- We strengthen our town centre with a high-quality, vibrant visitor experience and attract visitors to the town.
- We value local communities and champion diversity, creating opportunities for dynamic engagement, inclusion, connection and lifelong learning.
- We improve the mental health and wellbeing of all who work with us
- We strive to improve the lives of children and young people, embodying learning and new experiences in playful, creative ways.
- We embrace cultural democracy and are community engaged, we help to shape the physical and social character of the borough, contributing to civic pride and placemaking.
- We respond rapidly to regional and national opportunities.

Our Standards & Behaviours

- RBC Corporate Strategy
- RBC Corporate Values Framework **CAN DO**
- RBC Blueprint
- RBC's Regeneration Strategy
- Museum Accreditation (Arts Council England)

- Visitor Attraction Quality Assurance Scheme
- RAGM Collections Development Policy
- RAGM Care and Conservation Policy
- RAGM Documentation Policy

Rugby Borough Council Corporate Strategy outcome 1. Climate: Support reduction of effects of climate change				
Arts, Heritage & Visitor Services objective	How we will deliver	How we will measure	Core budget or external funding	Lead officer(s)
Develop the RAGML building to enable all assets to be accessed in a sustainable way.	Review procurement, procedures, and processes to identify where impact can be reduced, and activity can be more sustainable.	Reduced energy use, meaningful changes to the building (EG: LED lights, UV panels, insulation)	Core budget	Service manager, Asset management team
	Build sustainable measures into new projects and policies.	Number of green suppliers, reduced packaging.	Core budget	All senior officers.
	Review retail supply chain to reduce environmental impact.	Number of green suppliers, reduced packaging and review carbon footprint.	Core budget	Visitor Centre Team Leader
Use arts, heritage and visitor service to promote sustainable changes in people's lives and support the council's climate emergency agenda.	Help to promote the wider climate change agenda through permanent displays, exhibitions, events and retail initiatives.	Visitor feedback and numbers. Partnerships formed.	Core budget & external funding	All senior officers
	Develop learning resources exploring the impact of climate change	School feedback and bookings. New partnerships.	Core budget	Senior Learning and Engagement Officer.

	and the legacy of human behaviour.			
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Rugby Borough Council Corporate Strategy outcome 2. Economy: Support economic recovery				
Arts, Heritage & Visitor Services objective	How we will deliver	How we will measure	Core budget or external funding	Lead officer(s)
Expand existing and seek new opportunities to attract people into the town centre and contribute to a thriving community across the Borough.	Local partnerships and community projects linked to art and historical collections, permanent displays and temporary exhibitions.	Engagement numbers	Core budget	All senior officers.
	Engagement programmes for a variety of groups to attract them into the town centre.	Engagement numbers	Core budget & external funding	Senior Learning & Engagement Officer and Senior Exhibitions & Programming Officer.

Contribute to Tourism and Culture objectives in the Council's Economic Development Strategy.	Programme a diverse range of exhibitions, displays and activities that will attract visitors to the town and are relevant to our residents.	Visitor numbers and feedback. Qualitative surveys.	Core budget & external funding	Senior Learning & Engagement Officer, Senior Exhibitions & Programming Officer and Senior Collections Officer.
	Acquire new artwork by nationally renowned artists for the borough's art collection and use to raise the profile of Rugby through exhibition and touring.	Making additions to our collections, achieving external funding support, visitors to art gallery, inclusion in national exhibitions.	External funding, gifts	Senior Exhibitions & Programming Officer.
	Support and initiate town centre and rural events and performance programme.	Visitor numbers, audience and partner feedback.	Core budget	Senior Learning and Engagement Officer.
	Support place promotion through the Visitor Information Centre and enhance the visitor experience.	Visitor numbers, enquiries numbers and feedback.	Core budget	Visitor Centre Team Leader, Place Marketing Officer and Marketing Officer

Drive local cultural regeneration through placemaking, connecting communities and collections, and developing permanent displays.	Engage local communities in service development.	More and diverse communities engaged in our work.	Core budget	Service manager & delivery officers
	Work alongside RBC's Economic Development team to embed RAGM within Rugby Towns Regeneration. Actively seek out partnerships and opportunities to improve cultural regeneration in Rugby.	New partnerships sustained.	Core budget	Service manager
	Research and develop a 'bid ready' project to expand permanent museum displays, access to collections, and the RAGM building for community use.	Be ready to access external funding from CWLEP and Heritage Lottery Fund.	External funding	Service manager
	Deliver the collections management plan and care and conservation plan	Improved collections development, development of new partnerships, improved collections knowledge and therefore enhanced quality displays. Spectrum standards Benchmark standards.	Core budget	Senior Collections Officer

Raise the profile of the service and the Borough at a regional and national level.	Engage in national and regional partnerships to promote our programmes and collections to a wider audience.	Successful delivery of partnership projects, regional and national audiences engaged (visitor numbers & profile, digital engagement figures). Successful project delivery, visitor numbers.	Core budget & external funding	Service manager & Senior Officers

Rugby Borough Council Corporate Strategy outcome 3. Health and Communities: Support the health and wellbeing needs of residents.				
Arts, Heritage & Visitor Services objective	How we will deliver	How we will measure	Core budget or external funding	Lead officer(s)
Bring audiences and collections together in ways that are relevant to individuals and communities.	Deliver projects rooted in local communities that engage new audiences in collections and develop collections to be more representative of local communities.	Community involvement numbers, feedback and response.	Core budget	All Senior Officers
	Tailor activities for specialist audiences including schools, children and young people, older	Increased diversification of collections and audiences. Engagement numbers.	Core budget & external funding	Senior Learning & Engagement Officer and Senior Exhibitions &

	<p>people and community groups.</p> <p>Deliver a digital and social media plan that expands the reach of the service.</p> <p>Audit existing accessibility, work with partners to develop accessibility plan.</p>	<p>Feedback, participant numbers, school bookings. Website and social media engagement.</p> <p>Implementation of the actions arising from the audit</p>	<p>Core budget & external funding</p> <p>Core budget & external funding</p>	<p>Programming Officer</p> <p>All Delivery Officers and Marketing Officer</p> <p>All Senior Officers</p>
Engage residents in relevant and dynamic programmes that celebrate creativity and heritage, improving the mental health and wellbeing of everyone involved.	Deliver high quality exhibitions, large events, and regular physical and digital activities that respond to the needs, interests, and ambitions of local residents.	Audience feedback & numbers.	Core budget & external funding	All Senior Officers

	<p>Continue to develop our volunteer programme and capture the benefits and impacts to residents and the service.</p> <p>Expand and develop permanent displays that are collaboratively produced with local communities.</p>	<p>Increases volunteer numbers, training and development and capturing of social and economic value</p> <p>Realisation of permanent displays. Community feedback.</p>	<p>Core budget</p> <p>External funding</p>	<p>All delivery officers</p> <p>Service manager</p>
Build strong local and regional partnerships that enable diverse communities to access arts and heritage.	Continue to develop longstanding partnerships whilst developing new partnerships.	Number and quality of partners, improvement in participants health and wellbeing.	Core budget	Senior Learning & Engagement Officer, Senior Exhibitions & Programming Officer and Senior Collections Officer.

Rugby Borough Council Corporate Strategy outcome 4. Organisation				
Arts, Heritage & Visitor Services objective	How we will deliver	How we will measure	Core budget or external funding	Lead officer(s)
Explore alternative operating models, increase income and become more resilient.	Research and develop a 'bid ready' project to increase visitors to the building and create flexible spaces that can increase income.	Increased visitors and income.	Core budget	Service manager
	Engage a new operator for the RAGM café.	New operator in place.	Core budget & external funding	Service manager
	Explore online retail offer through the Visitor Information Centre.	Launch online sales platform and revenue from online sales.	Core budget	Visitor Centre Team Leader and Service manager
Explore Social and Economic Value to capture the wider impact of the service.	Explore social and economical value calculator tools/models	Implementation of social and economical value models Reporting the data collected	Core budget & external funding.	Service manager

ARTS COUNCIL LET'S CREATE OUTCOMES AND PRINCIPLES

Let's Create is Arts Council England's new 10-year strategy, launched in 2020. Its vision: *By 2030, we want England to be a country in which the creativity of each of us is valued and given the chance to flourish, and where every one of us has access to a remarkable range of high-quality cultural experiences.*

Arts Council England believes *'in the inherent value of creativity and culture: in their power to delight and move us, and in their capacity to help us make sense of the world. (...) investment in creativity and culture can deliver broad social benefits, through the skills they offer to young people and workers, the economic growth they generate, and the part they play in building healthy, closeknit communities.'*

About museums (they) *'play an essential role in helping us understand and shape culture. They connect us to the past and encourage us to think about the future. Museums themselves have evolved into cross-disciplinary institutions, connecting science, history and art, developing knowledge through research, making space for education, debate, creative and artistic activity and sustaining a spirit of place in communities.'*

The table below connects our Forward Plan objectives with Arts Council England's three outcomes and four investment principles with.

Forward Plan objectives	Arts Council England Outcomes	Arts Council England investment principles
Develop the RAGML building to enable all assets to be accessed in a sustainable way.	A creative & cultural country	Environmental responsibility
Use arts, heritage and visitor service to promote sustainable changes in people's lives and support the council's climate emergency agenda.	Cultural communities	Dynamism Environmental responsibility
Expand existing and seek new opportunities to attract people into the town centre and contribute to a thriving community across the Borough.	Cultural communities A creative & cultural country	Ambition & quality Inclusivity & relevance Dynamism

Contribute to Tourism and Culture objectives in the Council's Regeneration Strategy.	Creative people Cultural communities A creative & cultural country	Ambition & quality Inclusivity & relevance Dynamism
Drive local cultural regeneration through placemaking, connecting communities and collections, and developing permanent displays.	Creative people Cultural communities A creative & cultural country	Ambition & quality Inclusivity & relevance Dynamism
Raise the profile of the service and the Borough at a regional and national level.	Cultural communities A creative & cultural country	Ambition & quality Inclusivity & relevance Dynamism
Bring audiences and collections together in ways that are relevant to individuals and communities.	Creative people Cultural communities A creative & cultural country	Ambition & quality Inclusivity & relevance Dynamism
Engage residents in relevant and dynamic programmes that celebrate creativity and heritage, improving the mental health and wellbeing of everyone involved.	Creative people Cultural communities	Ambition & quality Inclusivity & relevance Dynamism
Build strong local and regional partnerships that enable diverse communities to access arts and heritage.	Creative people Cultural communities A creative & cultural country	Ambition & quality Inclusivity & relevance Dynamism
Explore alternative operating models, increase income and become more resilient.	A creative & cultural country	Dynamism

Rugby Borough Council

Climate Change and Environmental Impact Assessment

CONTEXT

In 2019 the UK Parliament set a commitment in law to reach net zero carbon emissions by 2050. Achieving this target will require considerable effort with public bodies, private sector organisations, the third sector and individuals working together to take action. Rugby Borough Council declared a climate emergency in 2019, in doing so committed to:

- To move the Council's operations towards Carbon Neutrality by 2030.
- To establish action to tackle climate change as a key driver of all decision-making.
- To provide community leadership in reducing the impact of Climate Change.
- To take action to mitigate the impact of climate change on a Borough wide basis and beyond, through adaptation.

The Council's Corporate Strategy (2021-2024) [link](#) sets ambitious outcomes in relation to Climate Change. These ambitions must now be progressed through the decisions which the Council makes.

It is therefore important that Rugby Borough Council gives due regard to climate change when making decisions. In the context of the Council's business, Climate Change includes carbon emissions, biodiversity, habitat loss and environmental destruction. When putting forward recommendations for decision, officers must assess how these recommendations are likely to influence our climate change commitments by completing the following Climate Change and Environmental Impact Assessment.

A copy of this Climate Change and Environmental Impact Assessment, including relevant data and information should be forwarded to the Deputy Chief Executive.

If you require help, advice and support to complete the form, please contact Dan Green, Deputy Chief Executive.

SECTION 1: OVERVIEW

Portfolio and Service Area	Leisure and Wellbeing. Arts, Heritage and Visitor Services.
Policy/Service/Change being assessed	Rugby Art Gallery and Museum Forward Plan
Is this a new or existing Policy/Service/Change?	The development of an existing programme.
If existing policy/service please state date of last assessment	2017
Ward Specific Impacts	Borough-wide
Summary of assessment Briefly summarise the policy/service/change and potential impacts	The Purpose of this report is to request approval of the Rugby Art Gallery and Museum's Forward Plan for 2024- 2028. This will provide staff with clear direction on for the service so RAGM can continue to offer activities that celebrate this key the town centre asset and drive footfall into the town centre.
Completed By	Sally Godden (Art Gallery and Museum Manager)
Authorised By	Tom Kittendorf (Chief Officer, Leisure and Wellbeing)
Date of Assessment	21 st February 2024

SECTION 2: IMPACT ASSESSMENT

Climate Change and Environmental Impacts	No Impact	Positive	Negative	Description of impact	Any actions or mitigation to reduce negative impacts	Action owner	Timescales
Energy usage	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
Fleet usage	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
Sustainable Transport/Travel (customers and staff)	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
Sustainable procurement	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
Community leadership	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>				
Biodiversity and habitats	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
Adaptation	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
Impact on other providers/partners	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				

SECTION 3: REVIEW

Where a negative impact is identified, the proposal and/or implementation can be adapted or changed; meaning there is a need for regular review. This review may also be needed to reflect additional data and evidence for a fuller assessment (proportionate to the decision in question). Please state the agreed review timescale for the identified impacts of the policy implementation or service change.

Review date	Not applicable
Key points to be considered through review	Not applicable
Person responsible for review	Not applicable
Authorised by	Not applicable

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:
Aftab Razzaq
Chief Officer for Legal and Governance
aftab.razzaq@rugby.gov.uk
01788 533521

Equality Impact Assessment

Service Area	Leisure and Wellbeing – Arts, Heritage and Visitor Services
Policy/Service being assessed	Rugby Art Gallery and Museum Forward Plan
Is this a new or existing policy/service? If existing policy/service please state date of last assessment	This is the development of an existing programme.
EqlA Review Team – List of members	Sally Godden Tom Kittendorf
Date of this assessment	February 2024
Signature of responsible officer (to be signed after the EqlA has been completed)	T. Kittendorf

A copy of this Equality Impact Assessment report, including relevant data and information to be forwarded to the Chief Officer for Legal and Governance.

Details of Strategy/ Service/ Policy to be analysed

<u>Stage 1 – Scoping and Defining</u>	
(1) Describe the main aims, objectives and purpose of the Strategy/Service/Policy (or decision)?	This will provide staff with clear direction on for the service so RAGM can continue to offer activities that celebrate this key the town centre asset and drive footfall into the town centre.
(2) How does it fit with Rugby Borough Council's Corporate priorities and your service area priorities?	Rugby has a diverse and resilient economy that benefits and enables opportunities for all residents. We want businesses to grow, individuals to prosper and places to thrive
(3) What are the expected outcomes you are hoping to achieve?	Increased footfall and activity in the town centre. Diverse and resilient programming.
(4) Does or will the policy or decision affect: <ul style="list-style-type: none"> • Customers • Employees • Wider community or groups 	The decision will enhance the offer for customers and the wider community.
<u>Stage 2 - Information Gathering</u>	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, e.g. service uptake/usage, customer satisfaction surveys, staffing data, performance data, research information (national, regional and local data sources).
(1) What does the information tell you about those groups identified?	We use a variety of data collecting methods to track our visitor population. We monitor basic visitor information including postcodes. We will work with target groups and gain advice from external providers where needed in matters relating to E&D.

<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>The forward plan has been circulated for feedback, we have taken on board feedback from local, regional and national partners/bodies.</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>We will continue to conduct customer satisfactory surveys and consult with a variety of partners, working with partners to respond and adapt to our service user needs.</p>		
<p><u>Stage 3 – Analysis of impact</u></p>			
<p>(1) <u>Protected Characteristics</u> 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>DISABILITY</p>	<p>GENDER</p>
	<p>MARRIAGE/CIVIL PARTNERSHIP</p>	<p>AGE</p>	<p>GENDER REASSIGNMENT</p>
	<p>RELIGION/BELIEF</p>	<p>PREGNANCY MATERNITY</p>	<p>SEXUAL ORIENTATION</p>

<p>(2) <u>Cross cutting themes</u></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 forward plan looks at how the service can continue to engage with residents from across the borough, working partners and our communication department to ensure the service continues to be as accessible to all members of the community as possible.</p>
<p>(3) If there is an adverse impact, can this be justified?</p>	<p>Not applicable</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>Not applicable</p>
<p>(5) How does the strategy/service/policy contribute to the promotion of equality? If not, what can be done?</p>	<p>We are continually assessing the service, training employees on awareness and best practice and seeking advice to ensure the service</p>
<p>(6) How does the strategy/service/policy promote good relations between groups? If not, what can be done?</p>	<p>RAGM embraces a culture of partnership working and community cohesion.</p>
<p>(7) Are there any obvious barriers to accessing the service? If yes how can they be overcome?</p>	<p>There are no obvious barriers however we are responsive to any feedback about any physical or access barriers.</p>

<u>Stage 4 – Action Planning, Review and Monitoring</u>																														
<p>If No Further Action is required then go to – Review and 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>EqlA Action Plan</p> <table border="1" data-bbox="875 459 2112 689"> <thead> <tr> <th data-bbox="875 459 1120 539">Action</th> <th data-bbox="1120 459 1364 539">Lead Officer</th> <th data-bbox="1364 459 1615 539">Date for completion</th> <th data-bbox="1615 459 1865 539">Resource requirements</th> <th data-bbox="1865 459 2112 539">Comments</th> </tr> </thead> <tbody> <tr> <td data-bbox="875 539 1120 576"></td> <td data-bbox="1120 539 1364 576"></td> <td data-bbox="1364 539 1615 576"></td> <td data-bbox="1615 539 1865 576"></td> <td data-bbox="1865 539 2112 576"></td> </tr> <tr> <td data-bbox="875 576 1120 612"></td> <td data-bbox="1120 576 1364 612"></td> <td data-bbox="1364 576 1615 612"></td> <td data-bbox="1615 576 1865 612"></td> <td data-bbox="1865 576 2112 612"></td> </tr> <tr> <td data-bbox="875 612 1120 649"></td> <td data-bbox="1120 612 1364 649"></td> <td data-bbox="1364 612 1615 649"></td> <td data-bbox="1615 612 1865 649"></td> <td data-bbox="1865 612 2112 649"></td> </tr> <tr> <td data-bbox="875 649 1120 686"></td> <td data-bbox="1120 649 1364 686"></td> <td data-bbox="1364 649 1615 686"></td> <td data-bbox="1615 649 1865 686"></td> <td data-bbox="1865 649 2112 686"></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>The forward plan will expire in 2028 and will be reviewed at this stage.</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).’

Care and Conservation Policy Rugby Art Gallery and Museum 2024- 2028

Governing body: Rugby Borough Council

Date approved by governing body: The policy is being submitted for member approval in April 2024.

Date at which this policy is due for review: April 2028

1. Statement of purpose

This policy has been written in accordance with the museum's Statement of Purpose and the Collections Development Policy. The Collections Care and Conservation Plan sets out the way the policy will be put into action and should be read in conjunction with the Forward Plan, the Emergency Plan, the Documentation Plan and any other plans affecting the collections and the building.

The purpose of the Collections Care and Conservation Policy is to set a framework for:

- The preservation of the collections in the care of the museum,
- Preventative and remedial conservation of the collections
- The safe use of and access to collections, within the limits of the museum's resources

2. Context

The museum aims to improve the care and conditions of all its collection.

The safety and preservation of the collection will be considered from the outset of any plans to alter the displays or storage, to modify the buildings or to allow access to any part of the collections.

3. Standards, Legislation and Guidelines

We will follow national standards, ethical codes and best practice guidelines including, but not exclusively ICOM Code of Ethics, MA Code of Ethics, ICON Professional Guidelines, BS standard: PAS 197:2009, Benchmarks in Collections Care and Spectrum 5.0.

4. Provision of a Suitable Building

4.1 The upkeep and maintenance of the RAGM and Library building (and any future development of off site collections store) and its services is fundamental to the protection of all collections. RAGM staff will continue to work closely with Rugby

Borough Council's (RBC) Corporate Property Unit (CPU) to ensure that key control, fire, security and other protection systems are maintained through regular testing and servicing.

4.2 Staff responsible for collections should be consulted in the case of any building works or changes of use within the building that may pose a threat to the collections. Measures should be taken at all times to ensure the ongoing care and risk prevention to the collections.

4.3 Staff at RAGM will carry out the care and conservation of the collection in line with RBC's corporate strategy which details improvements to the environmental sustainability of the council.

5. Environmental Control and Monitoring

5.1 Monitoring of the internal environment will continue using the existing Meaco monitoring software. This will involve maintaining continuous monitoring of the majority of display and storage areas. Alternative areas will be monitored from time to time according to the needs of the collections.

5.2 The ongoing maintenance of the Meaco monitoring software using its allocated budget is essential. This will enable the appropriate upgrades to the system and prevent the risk of data loss or the software becoming obsolete or out of date.

5.3 Store and display areas will be monitored using insect traps to check for signs of infestation.

5.4 Where any pest infestations are found, these will be recorded and the objects immediately quarantined. External qualified advice will be sought in such cases.

5.5 The museum will continue to monitor and control the environment maintaining the following control factors and methods for relative humidity, temperature, pollutants and light as set out in the Care and Conservation Plan

5.6 Cleaning, housekeeping and pest management are essential to the long term preservation of all collections. A programme of housekeeping and monitoring will be maintained according to staff resources available. Staff training will be provided where necessary.

6. Storage, Display and Use

6.1 New objects must be quarantined from the main collection storage and display areas until a full assessment can be carried out to ensure these items pose no risks to other collections

6.2 The museum treats all incoming loans according to the requirements set out in the loan agreement between it and the lending body.

- 6.3 If the lending body does not supply a Condition Check Form for each object, the museum will use its own Condition Check Forms
- 6.4 All requests for loans from the collections will be assessed individually before a decision is reached. The condition of the objects, the location, environment and security of the venue, transport and personnel involved will all be included in the decision. Every borrower will be asked to fill out a Facilities Report using the template available from the *UK Registrars Group*
- 6.5 Wherever possible only conservation grade packaging, supports and materials will be used in either display or storage areas.
- 6.6 Designated collection storage areas will not be used for any other purpose.
- 6.7 Storage areas will continue to be regularly inspected by building supervisors on a daily basis to monitor for internal risks such as equipment failure or flooding. The discovery of any threat will be treated with the highest priority.
- 6.8 RAGM will continue to uphold the collections loans policy and only loan objects and artworks for display to organisations that can achieve the appropriate levels of care and security.
- 6.9 RAGM will ensure that museum objects and artworks are subject to careful and appropriate handling at all times in order to minimise the risk of any damage. Training will be provided to all new staff as part of their induction.
- 6.10 The museum does not contain any working historic items but may look to in the future for which it will produce a separate policy.

7. **People**

- 7.1 Any concerns regarding the collections should be reported in writing to the Senior Collections Officer.
- 7.2 The museum trains all staff and volunteers who handle the collections in the course of their work. No untrained personnel are allowed to handle items from the accessioned collection. The handling of some objects may be restricted owing to the presence of hazards or principles of cultural sensitivity.
- 7.3 An annual conservation action plan will be agreed by the Senior Collections Officer and Senior Exhibitions Officer. This will prioritise objects from all collections for which remedial conservation is a requirement.
- 7.4 The museum will check the suitability of conservators chosen to work or advise on the collections. A professionally accredited conservator or a conservator listed on the Conservation Register will normally be chosen.
- 7.5 No item in the collections will be modified or altered until advice has been obtained from a suitably qualified conservator.

7.6 Only suitably trained and qualified conservators will carry out remedial treatment on objects.

7.7 The museum will keep detailed records of all treatments carried out on objects, including the name and contact details of the person or company.

8. Emergency Planning

8.1 RAGM will make sure that appropriate emergency planning measures are in place and will work with CPU to ensure it is aligned with RBC emergency planning.

8.2 In the case of any threat to the collections, emergency planning measures will take priority over other service areas to release RAGM staff resources.

8.3 External bodies will be identified to support with emergency planning.

9. Policy implementation and review

9.1 Museum staff will be mindful of new developments in care and conservation standards.

9.2 This policy will be made available to the public on request.

9.3 This policy will be reviewed at least once every five years.

2024 – 2028

Rugby Art Gallery and Museum

Care and Conservation Plan

1.0 Purpose of this plan

The purpose of this plan is to guide collections staff when carrying out their duties with regards to care and conservation at Rugby Art Gallery and Museum.

1.1 About this plan

The plan has utilised Benchmarks in Collections Care activities to programme improvements to Collections Care and Conservation for the collections at Rugby Art Gallery and Museum priorities are ascertained by visual inspection.

The plan has been developed in line with the museum's Care and Conservation Policy.

This plan will be reviewed on a yearly basis. It will be made available to appropriate staff and reflected in collections staff work plans.

1.2 Museum background

In May 2016 Rugby Borough Council entered into an agreement with World Rugby to develop a visitor attraction about the game of Rugby called 'The Hall of Fame' in the space occupied by the social history gallery and archaeology gallery. This decision was only given to operational teams with a few weeks' notice so the permanent collections on display were placed into storage without sourcing an alternative options for collections to be displayed.

The World Rugby Hall of Fame operated until 2021 where it was subsequently closed and the agreement with World Rugby.

Since May 2016 the social history collection has been largely in store with themed temporary displays using art gallery plinths and the archaeology gallery has been placed on a balcony outside the gallery environment.

In 2023, A History of Rugby of Rugby in 50 Objects opened as semi permanent display, to allow the collections team some capacity to focus on collections care, with awareness of the compromises on the collections due to their environment or storage location,

This plan has been updated to reflect these anomalies and the fact that any changes in the future depend on external funding. All previous suggestions for

a museum redevelopment to reinstate the social history and archaeology galleries continue to be on hold pending larger investment from RBC in town centre improvement projects that would include a possible redevelopment at RAGM. Decisions will be made inline with RBC's Regeneration Strategy which will enable RAGM staff to start planning. Due to this, the plan below puts an emphasis on activity for the next four years and will be updated and reviewed on a yearly basis.

2.0 Collections Overview

Below is an outline of the collections cared for and housed at Rugby Art Gallery and Museum.

2.1 Rugby Collection

This collection holds over 200 works. Overall the collection is in very good condition but is being improved and stabilised through the ongoing conservation programme.

2.2 Local Collection

This collection of 46 works was largely reframed in 2002. The collection overall is in very good condition and requires no significant work on it. The provenance of the artwork was to be used to enhance offices at the Town Hall. We are currently reviewing how this collection is used moving forward.

2.3 Social History Collection

Since its inception in 1999 it has been the policy to only acquire stable objects. As most of the collection has been in storage since 2016 it is vital to monitor and check collections on a regular basis where possible. Repacking and storing of certain areas of the collection would be beneficial. Two key large photographic slide collections require attention:

2.4 Redding Collection

This large collection of 25,000 glass plates does require a lot of attention. It is currently housed in inappropriate storage containers and mobile shelving. External funding needs to be sought for this project. A proportion of these slides are on cellulose acetate. The ones dating from the 1950s are the most vulnerable to deterioration and will need repacking first. There are also two boxes of damaged slides which will need conservation work.

2.5 British Thomson Houston Publicity department slides

This is another large collection of glass plate negatives which are in need of new storage and new locations.

2.6 Archaeology Collection

Generally stable overall. One key item for attention is the Tripontium leather sandal which is currently on display. This had shown signs of deterioration but

after consulting with a specialist is considered stable enough to remain on display. This will be monitored. Metalwork also requires assessment. Bulk finds are packed in large boxes and would appropriately be repacked into smaller boxes and metalwork requires silica gel. Special attention is also needed for a collection of skeletal human remains which were previously stored with mixed bulk find and animal skeletal remains until an inventory in 2021 (please see documentation plan for further information)

3.0 Environmental Considerations

3.1 Environmental monitoring

3.1.1 Meaco environmental monitoring system records temperature, humidity, lux and UV levels in all collection areas including the stores and galleries. This data is recorded using Sensia environmental monitoring software, which is stored on a cloud-based server. It is analysed on a weekly basis to check for any irregularities in conditions. This information then informs decision making about collections storage and display locations as well as the building maintenance programme.

3.2.1 Equipment maintenance and calibration is carried out on a yearly basis by Meaco.

3.2 Environmental control

3.2.1 The environment is controlled throughout the RAGM building by a series of air handling and air conditioning units. These are regularly maintained through a programme of inspection, repairs and upgrades carried out by external contractors who are on annual contracts. The units in the store were updated in December 2018. The area in which all of this equipment is housed is regularly inspected throughout each day by building supervisors.

3.2.2 The air conditioning and air handling units throughout the building should be set to maintain all public gallery areas at a temperature of 18-20 degrees with humidity between 45 and 55% with minimal fluctuation. The stores are set to maintain the same although the art store humidity levels are set between 40 and 50%.

3.2.3 Light is controlled in all storage and displays areas with the majority of windows being blocked or covered with blinds. Monitoring takes place in all sensitive areas to ensure that levels are appropriate for the collections. UV levels are kept as low as possible and in most storage and gallery areas are non-existent. Wherever possible light levels are kept below 200 lux. Lights are switched off at the earliest opportunity in all storage areas.

3.2.4 When in storage the art collections are stored on a mobile picture racking system. This is handled carefully at all times and maintained to reduce vibration. The collection is checked regularly for any signs of obvious

damage. The majority of the social history and archaeology collections are stored on a mobile racking system. Many of the photographic negatives should not be stored on mobile racking and would be better placed in cold storage. The racks are handled carefully at all times. The majority of these collections are packaged using inert materials and stored in archive boxes. Objects stored on open shelving are generally covered using inert tissue, polythene or tyvek.

3.2.5 All vulnerable items identified are protected in both storage and on display using appropriate enclosures. When on display most objects are in secure cases which are checked for signs of dust or airborne pollutants. Doors in the storage areas are kept closed at all times and doors in the galleries can be closed during public hours to provide additional protection. Tacky mats are used to keep dust to a minimum in storage areas.

3.2.6 Material is displayed and stored away from sources of heating, air conditioning vents and windows, or otherwise protected from their damaging effects. The overall exposure of all light-sensitive material to light is reduced as much as possible.

4.0 Provision of suitable building

4.1 RAGM is a purpose-built museum of modern construction with all collections stored on site. It is maintained by a staff of building supervisors who work closely with Rugby Borough Council's Corporate Property Unit (CPU). An annual building management plan is produced to ensure regular maintenance programme is carried out. Maintenance contracts and projects are managed by CPU, who also hold the relevant budget. This is a key relationship for RAGM who work closely with CPU to deliver procedures contained within the Corporate Maintenance Manual, and work through actions identified in the Carbon Management Plan. Building supervisors check at intervals throughout the day, seven days a week, in storage areas for potential threats to collections from, for example, leaky roofs, poor wiring, internal pipe work, blocked gutters and ill-fitting windows or doors and a programme is put in place to remedy identified faults. Plant and equipment is inspected periodically.

5.0 Managing the threat from pests

5.1 All incoming material and acquisitions are examined for signs of infestation, dampness or mould.

5.2 All incoming objects must be quarantined from the permanent collection until a full assessment of condition can be made. No objects are to be placed in the store until this inspection has been carried out.

5.3 All items which show signs of pest infestation are kept isolated from the rest of the collection until treated. Advice is sought and action is taken on appropriate treatments.

5.4 A full pest monitoring programme is in place monitoring the stores and gallery spaces by the Collections Assistant. Any insects found are reported to the Senior Collections Officer for identification, recording and action.

5.5 In recent years (or maybe for longer and it has never been recorded) there has been a persistent problem with carpet beetles and flies in the art gallery. Staff monitor this space closely, windows have been blocked up, the gallery is deep cleaned between each changeover and Constrain spray has been used in certain areas. This could be drastically reduced by closing the doors to the gallery so consideration should be given to having more than one door/new glass doors into the space.

6.0 Housekeeping

6.1 All gallery areas are maintained and cleaned by the front of house team on a daily basis. The galleries receive a deep clean during changeovers periods. The stores are also monitored for build-up of dust etc. and cleaned on a regular basis , and a yearly deep clean is conducted.

6.2 Objects on open display are periodically cleaned by the Senior Collections Officer and Collections Assistant

7.0 Documentation of the condition of the collection and of any treatments carried out on objects

7.1 Objects may be cleaned during display changeovers and condition checks are carried out prior to and after display.

7.2 Details of condition reports or conservation treatments are recorded on Adlib [Condition/Conservation] and any problems identified and acted upon.

7.3 Conservation treatment priorities are also recorded in Adlib – using high/ medium / low categories and any other notes recorded

8.0 Access to professional conservation advice

8.1 Staff will take regular advice from external professionals (please see Collections Care and Conservation Policy) Advice is sought on appropriate remedial action with an ICON registered conservators and action is taken to deal with any problems identified.

Action and Resource Plan 2022-2027 utilising Benchmarks in Collections Care Activities						
SCO – Senior Collections Officer/CA - Collections Assistant / SEO – Senior Exhibitions Officer						
ACTIVITY	ACTION TITLE	staff	DUE DATE	BUDGET	MEASURES	PROGRESS
Policy	Review Care and Conservation Policy	SCO	2024	Staff	Policy reviewed	
Policy	Review care and conservation plan on a yearly basis	SCO	2024, 2025, 2026, 2027, 2028	Staff	Plan reviewed and updated	
Building	Continue with regular building checks of all areas	Supervisors	ongoing	Staff	Checks completed	
Storage	Locate tacky mats at the entrance of all stored areas	SCO	2024	AGM01	Tacky mats in place to limit dust into stored areas	
Storage	Continue adding social history shelving as budgets allow	SCO, SEO, Technician	ongoing	AGM01	Additional racking and shelving	
Storage	Reorganisation of museum store – of like with like and replace unsuitable packaging throughout store locations	SCO, CA	ongoing	AGM01	Collection to be repacked	
Storage	Redding/BTH publicity Collections move to static	SCO, Volunteers	2024	External funding/ staff	Objects better protected	

	shelving/ start rehousing in 4 flap enclosures					
Storage	Relocate clocking in clock so not lying on its side	SCO, technician	2024	Staff	Object not on its side	
Storage	Ephemera/Photograph collection – identify and relocate any objects not currently housed with main collection during inventory work. Store in sleeves and archive boxes	SCO, CA	Ongoing	AGM01 for additional resources	Objects relocated	Boxes have been identified
Storage	Update storage layout plan as it changes	SCO	Ongoing	Staff	Plan updated	
Storage	Re box gantry with box with an insert so it can be slid out	SCO	2024	Staff time AGM01	Objects better protected during movement	complete
Storage	<i>Devise plan for spot checks on vulnerable collections</i>	SCO	2024	Staff time	Plan for spot checks	
Storage	Highlighting / ID collections for cold storage	SCO	2024	staff	Collections labelled	
Storage	Relocating objects placed directly on the floor	SCO, CA	2024	staff	Objects better protected	

Appendix 5

Storage	Relocate objects from switch room and furniture cupboard where possible. Shoulder of mutton sign from Town Hall basement.	SCO, CA	2024	Staff	Objects relocated	
Storage	Reboxing archaeology bulk finds and significant finds not on display	SCO, CA, volunteer	2025	AGM01/staff	Objects better protected	
Storage	Silica gel added to archaeology bulk finds metalwork objects	SCO, CA, volunteer	2024	AGM01/staff	Objects correctly stored	
Storage	Silver collection to be repacked and stored using appropriate tarnish inhibitors	SCO, CA	2024	Staff time	Objects stored correctly	
Storage	Sealing of museum and art store doors to improve environment	SCO, CPU, Supervisors	2025	AGM01	Seals on doors	Has been requested previously
Housekeeping	Clean switch room while collections stored in this area	SCO, CA	Six monthly	staff	Store cleaned	
Housekeeping	Clean any objects on open display	SCO, CA	Every other month	Staff	Object cleaned	
Housekeeping	Implement a programme of checking and cleaning all storage areas	SCO,	2024	Staff	Store cleaned	
Housekeeping	Adding mesh screens to open windows are protected with mesh screens to prevent	SCO / building managers	2025	AGM01	Insects prevented from corridor next to stores	

	insects flying in along store corridor					
Housekeeping	Ensure deep clean of art gallery/ The Studio is carried out at each exhibition changeover	SEO/SCO	Each exhibition	staff	Gallery cleaned	
Housekeeping	Deep clean archaeology gallery	SCO, CA	Six monthly		Gallery cleaned	
Environmental Monitoring	Renew annual warranty for Meaco monitoring system	SCO	2024, 2025, 2026, 2027, 2028	AGM01	Warranty renewed	2022 renewed
Environmental control	<i>Monitoring light levels through UV film, different parts of building including potential display areas</i>	SCO	ongoing	AGM01	Correct filters fitted or updated and accurate recording of data	
Conservation	<i>Continue to implement a yearly programme of conservation on priority artworks and objects</i>	SCO, SEO, RAGM Manager	Ongoing Via Collections Meetings	AGM01	Review conservation needs and assess against RC annual condition reports and the needs of other collections	

Appendix 5

Conservation	Condition reports for Tripontium collection	SCO, external conservator	20224	AGM01	Better understanding of objects condition and needs	
Conservation	Completion of conservation work on Redding boxes which were previously water damaged	SCO	2024	Possible grant funding	Slides recovered where possible	
Emergency Preparedness	Carry out training for emergency plan and familiarisation with emergency kit for staff named in plan	H & S rep / All staff named in emergency plan,	2024	Staff	Staff trained in emergency preparedness	
Display	replace humidity cassettes in the display cases in archaeology gallery	SCO	2024	AGM01 staff	Cases replaced	
Display	Social History display plinths are in need of replacing with conservation grade cases. To be considered as part of an application to redesign museum area.	SCO RAGM manager	2024	External Funding Application	*Will this ever happen?*	Funding dependent
Display	Condition check and clean objects going on display for temporary exhibitions	SCO / CA	Each exhibition	Staff	Condition reporting complete	

Appendices - Programmes and procedures - new for the current plan

Monitoring light levels programme

- Set reminder in calendar for taking reading on a monthly basis
- Check that meter is reading correctly every time you use it. Cover the photo or UV-sensitive cell completely with your hand and check that the reading is zero.
- Record results in different areas as in spreadsheet to check filters that have been fitted are accurately blocking UV in gallery spaces, in storage spaces and also check foyer and foyer balcony levels of light for potential use in space.
- Use a dosimeter next to the mosaic
- Include any needs in C and C plan updates

Checking of vulnerable objects programme - procedure for spot checks

- Set reminder in calendar for vulnerable objects check
- Use vulnerable objects pointer file in Adlib to select items and note any changes on Adlib
- Visual inspection of collections in storage that are made of material which is vulnerable to pest, or fluctuations in the environment, checked at regular and intervals appropriate to the collection.
- Include any needs in C and C plan updates

Examples from pointer file:

Spot checks on glass plates still on roller racking

Plastic concerns – neck brace

Liquids concerns – check seals on bottles of pharmaceutical collection

Mixed materials pollutants concerns draw up a list

Fur and feather items for Spring check

Checking and cleaning stored areas programme - procedure

- Set reminder in calendar
- Vacuum once a month museum/art store. Rip off tacky mats
- Display store/switch room 6 monthly
- Checking for items on floor and away from walls
- Include any needs in C and C plan updates

Conservation programme priority artworks/objects as recorded in Adlib – to be developed

- **Archaeology significant finds condition checking**
- **Fabric cleaning for kit bag**
- **Blu tac removal on picture**
- **Cleaning of Skipwith Stone**
- **Rugby Collection – Trevor Bell**

Documentation Policy Rugby Art Gallery and Museum 2024 – 2028

Name of governing body: Rugby Borough Council

Date on which approved by governing body: April 2024

Date at which this policy is due for review: April 2026

1. Introduction

The recording of collection information is essential to being accountable for all collections, their accessibility, security, management, research and use. This policy aims to clarify Rugby Art Gallery and Museum's approach to documentation of all museum collections.

2. Purpose

The purpose of this policy is to:

- Improve accountability for the collections held by Rugby Art Gallery and Museum for the people of Rugby Borough.
- Maintain at least minimum professional standards in documentation procedures and collection information and attain the highest standards whenever possible
- Enabling access to collections and associated information for staff and volunteers through the database
- Extending access to objects and their associated information for the public
- Strengthen the security of all collections.
- Support Rugby Art Gallery and Museum's wider forward plan.

3. Ethics, Legislation and Standards

3.1 Rugby Art Gallery and Museum will ensure that personal information it holds conforms to the Data Protection Act 2018 and the General Data Protection Regulation by keeping all personal data secure against unauthorised access, loss, disclosure or destruction. The museum will comply with the Freedom of Information Act (2000). All documentation will be carried out in accordance with the Museum Associations Code of Ethics and PAS 197:2009 Code of Practice for cultural collections management.

3.2 The museums service will follow all relevant professional standards for documentation as laid out in SPECTRUM, the UK collections management standard. This is recognised nationally and internationally as the primary specification for collections management activity in museums. Specifically, the service will meet the minimum standards for the SPECTRUM primary procedures, these are as follows:

Entry: There will be a unique record of any item that enters RAGM through an object entry form (completed for all deposits and a receipt issued to the depositor) whether for identification, loan or as a potential acquisition.

Acquisition and Accessioning: transfer of title for all objects will be sought in writing upon acquisition RAGM will maintain an accession register which records the formal acceptance of items into the museum's permanent collection, allocates a permanent identity number, and provides sufficient information for collections management.

Location and movement control: The location and movement of items within the museum will be recorded using object movement tickets and updating the Collections Management database. The location and movement of objects external to the Museum will be maintained through loan agreements which will include courier/transport requirements.

Inventory: the museum will make sure we have basic information recorded for each object or collection of objects and work towards producing an inventory and plans to tackle any backlogs.

Cataloguing: Every object or group of objects will be documented to inventory or catalogue level. New objects will be catalogued as soon as possible (excluding large donation groups which will be treated as projects).

Object exit: Entry forms, loans agreements and exit forms will be used to control exit (occurring as a result of return of unwanted gifts, loans in, objects left for identification, objects undergoing conservation work, loans out and transport to another organisation, transfer to another organisation, deaccession / disposal)

Loans in: Inward loans will only be accepted for specific purposes and for fixed terms. Loans in will be recorded using a loans in agreement. Each loan in will have an individual file documenting details of the loan

Loans out: Whilst outward loans from the collections provide an important mechanism for broadening access to the collections, the safety and long-term preservation of the items concerned must be regarded as being of primary importance. All loans out will be recorded in the loans out procedure file on the CMS. All loans out will have a written agreement signed by both parties before the loan begins with clear reference to the care standards they agree to meet and other terms and conditions. Requests to borrow material will be considered on their individual merits and documented on the collections management system.

Documentation planning: RAGM has a documentation plan detailing and prioritising documentation activity including backlog. Retrospective documentation must be undertaken in accordance with NMAGs various cataloguing procedures.

- 3.3 The Museum will maintain a Documentation Plan and Procedural Manual.
- 3.4 This policy is to be read in association with the Museum's Collections Development policy, Care and Conservation policy and loan agreements - all of which support the Museum's Forward Plan.

4. Accountability

- 4.1 The museum commits to maintaining at least the minimum level of documentation to establish the identity, location and ownership for all collections (including object loans). The majority of the collections will be documented to individual item level. However, for certain collection e.g. bulk archaeological material, it is neither feasible nor practical to document the material in this detail; the museum aim to have a basic 'inventory' record for all identified items and groups within the collection.

5. Access to Collections Information

- 5.1 RAGM Collections Management System forms the basis on which all documentation is recorded and maintained. It is used to record and retrieve information about all collections including those records formerly in paper version only. The current system used for this is Adlib Museum, managed by Axiell.
- 5.2 Only trained staff will have access to alter and update the database to ensure the maintenance of high-quality data and content.

- 5.3 The museum is committed to allowing access to collections information to staff, volunteers, researchers and visitors. The museum is committed to improving access to collections information.

6. Security of Collections Information

- 6.1 By working with Rugby Borough Council's (RBC) IT department and by using the allocated budget the Museum will ensure that the software is maintained with the latest version and that the licenses are kept up to date to avoid the software becoming obsolete. The database will be transferred to Axiell Collections in the next 2 years as Axiell will stop supporting Adlib by 2024.
- 6.2 The Museum will adhere to RBC's Information Security Policy at all times when using the database.
- 6.3 The database is stored on the RBC network drive and will continue to be backed up on a daily basis to ensure the survival of its content and to avoid any threat of data loss.
- 6.4 The museum will endeavour to keep records up to date by regularly checking paper and electronic records, and security copies of them, to make sure that they are not becoming obsolete.
- 6.5 The physical long term preservation of all paper based documentation is essential. To ensure its preservation good quality documentation resources will be used at times

7. Policy implementation and review

- 7.1 This documentation policy will be used to guide to the museum's documentation plan. All museum staff working with collections documentation will be made aware and follow the documentation policy and plan.
- 7.2 Museum staff will be mindful of new developments in documentation standards.
- 7.3 This policy will be made available to the public on request.
- 7.4 This policy will be reviewed at least once every five years.

**Collections Development Policy
2024- 2028
Rugby Art Gallery and Museum**

Name of museum: Rugby Art Gallery and Museum

Name of governing body: Rugby Borough Council

Date on which this policy was approved by governing body: Policy to be submitted to cabinet to be approved by members in June 2024.

Policy review procedure: The collections development policy will be published and reviewed from time to time, at least once every five years.

Date at which this policy is due for review: June 2028.

Arts Council England will be notified of any changes to the collections development policy, and the implications of any such changes for the future of collections.

1 Relationship to other relevant policies/plans of the organisation

1.1 The collections development policy aims to clearly set out the principles that Rugby Art Gallery & Museum will follow when acquiring and disposing of objects.

1.2 The museum's statement of purpose and vision:

Our purpose: To enable Rugby's residents to live well through participation in art, culture and heritage.

Our vision: To be recognised as an outstanding art gallery and museum at the heart of Rugby's community; essential for resident's health and wellbeing, and a natural source of inspiration, enjoyment and learning for all.

What we do:

- We care for, grow and exhibit the borough's art, archaeology and local history collections, sharing them in the widest sense.
- We generate relevant visual art and historical exhibitions and experiences.
- We strengthen our town centre with a high-quality, vibrant visitor experience and attract visitors to the town.
- We value local communities and champion diversity, creating opportunities for dynamic engagement, inclusion, connection and lifelong learning.

- We improve the mental health and wellbeing of all who work with us
- We strive to improve the lives of children and young people, embodying learning and new experiences in playful, creative ways.
- We embrace cultural democracy and are community engaged, we help to shape the physical and social character of the borough, contributing to civic pride and placemaking.
- We respond rapidly to regional and national opportunities.

1.3 The governing body will ensure that both acquisition and disposal are carried out openly and with transparency.

1.4 By definition, the museum has a long-term purpose and holds collections in trust for the benefit of the public in relation to its stated objectives. The governing body therefore accepts the principle that sound curatorial reasons must be established before consideration is given to any acquisition to the collection, or the disposal of any items in the museum's collection.

1.5 Acquisitions outside the current stated policy will only be made in exceptional circumstances.

1.6 The museum recognises its responsibility, when acquiring additions to its collections, to ensure that care of collections, documentation arrangements and use of collections will meet the requirements of the Museum Accreditation Standard. This includes using SPECTRUM primary procedures for collections management. It will take into account limitations on collecting imposed by such factors as staffing, storage and care of collection arrangements. The most severe constraint the museum currently faces is a lack of storage and display space for large objects and artworks. Therefore, large objects will only be acquired in exceptional circumstances. However, efforts will be made to source appropriate sites for such objects to try to ensure that Rugby's heritage is not threatened by this storage limitation.

1.7 The museum will undertake due diligence and make every effort not to acquire, whether by purchase, gift or bequest, any object or specimen unless the governing body or responsible officer is satisfied that the museum can acquire a valid title to the item in question.

1.8 The museum will not undertake disposal motivated principally by financial reasons.

2 History of the collections

Visual Arts

Rugby Collection

The Rugby Collection of 20th and 21st century British art is made up of a variety of paintings, prints, drawings, photography and film works that have been purchased and collected by Rugby Borough Council since 1946. The founding principle of the collection intended that: "The collection will grow each year...the net will be cast wide, policy being limited only by funds available. Rugby will never be able to acquire works of the masters by purchase, but the committee will try to build up a lively and interesting collection of works of artists of promise and renown". The collection was developed with the support and input of art advisors, industry experts who made recommendations for purchases and helped with finding funding. Eric Newton, art historian and critic for the Manchester Guardian and the Sunday Times was the first to advise Rugby from 1945 – 1964. Joanna Drew, who held several key positions in the Arts Council of Great Britain, succeeded Eric Newton in 1965 and supported the collection until 1974. The curator Monika Kinley joined Rugby in 1974 and stayed as art advisor until 1982. Throughout the 1980s and 90s active collecting slowed down with the reduction of purchasing budgets. During this period the collection moved temporarily to the University of Warwick where it was cared for and exhibited by the Mead Gallery. From 1988 – 1995 Contemporary Art Society (CAS) acted as art advisors for the collection. The opening of Rugby Art Gallery and Museum in 2000 saw a new acquisition budget established and collecting has continued ever since. Experienced visual art staff at the art gallery now act as art advisors for purchases. The collection offers a unique view of this period of British art through the eyes of the series of experienced art advisors who supported the acquisition process on a regular basis since 1946. Throughout the life of the collection it has benefitted from regular gifts from the Contemporary Art Society through its membership scheme. Many of the significant works in the collection are CAS gifts including works by Bridget Riley, Ceri Richards, Louis Le Brocquy, Barbara Hepworth and Gillian Wearing.

Local Collection

The local art collection is a small collection of works of art produced by local artists, which was acquired by the Borough Council from 1979 to 2003.

Topographical Collection

This collection, which dates largely from the mid-19th century onwards, includes mainly drawings, paintings and prints, which depict local scenes and people.. Most were created by local artists including Edwin Brown and Gertrude Hayes.

Archaeology

The archaeology collection is dominated by the Tripontium collection, which was excavated by members of Rugby Archaeological Society over a forty-year period from the Roman site located 5 miles from Rugby along the original Watling Street. This collection is divided into two specific collections. The first part is a collection of significant finds, which is on loan to Rugby Art Gallery and Museum for the purpose of display and was a key part of the museum's development when first opened in 2000. The second part is the bulk finds which were donated to the permanent collection and is largely in storage. Prior to moving to Rugby Art Gallery and Museum in 2000 the collection was housed at Warwickshire County Museum.

In 2008 Rugby Art Gallery and Museum became an established archaeological depository for excavated material.

Social History

The collection's origins date from the late nineteenth century when the old Rugby Library was given to the town in 1890 by Richard H Wood and a museum collection was set up alongside the library collection. A small part of the collection dates from this time.

The social history collection aims to document the social and economic history of the borough of Rugby. It has been formally collected since 1999 and comprises of material evidence and associated information relating to the history of the borough of Rugby and of the people who have lived and worked here in the past and present.

3 An overview of current collections

Rugby Collection

The collection is now made up of 224 works, all of which were created by nationally known artists. It is an eclectic mixture of styles and mediums including painting, print, photography and film. The Rugby collection contains important works by many significant artists of the 20th century such as Lowry, Hepworth, Sutherland, Spencer etc and many important contemporary works by artists such as Lubaina Himid, Claudette Johnson and Gillian Wearing.

Local Collection

The Local collection is of mixed media, which includes watercolours, oils, pastels, prints, acrylics and ceramics. Active collecting was ceased in December 2003 in order to redirect funds to support local artists in an alternative way through the annual Rugby Open exhibition.

Topographical Collection

Many works in the Topographical collection were acquired from the original Rugby Library, which had collected them as part of their 'museum' collection.

Archaeology

The Tripontium collection includes approx. 37,000 Roman ceramics, metalwork, bone work, animal bones, human remains, and a very small amount of leather and textile. Key pieces from the collection include a peacock belt buckle, a lead ingot and locally made Roman tiles inscribed with the Latin alphabet and the Corieltavi tribe dating from the 3rd century. The Tripontium archaeological archive is not held by Rugby Art Gallery and Museum but remains with Rugby Archaeological Society. The museum continues to be an archaeological depository for excavated material currently totalling 60 archives.

Social History

The majority of the collection dates from the 20th century although there is a small Victorian collection dating from the time of the founding of the library. The collection consists of approximately 50,000 objects, which fall within the four SHIC categories of:

- Community life – includes education, health, entertainment, sport, community organisations.

- Personal Life - includes clothing, shoes and costume accessories, personal correspondence, keepsakes and photographs.
- Domestic and Family Life – includes items related to the home and living environment such as kitchen and laundry, toys and games.
- Working Life – including objects used for or created in a working environment and the local industries such as the railway and electrical engineering industries including Willans & Robinson, English Electric, British Thomson-Houston (BTH), AEI and GEC. Includes tools, patents, certificates, products, receipts, advertising and oral histories.

There are key photographic collections including:

- Redding's photographic studio collection of glass plates and cellulose acetate negatives dating from 1958-1972 and featuring family, community and working life in the town and surrounding area.
- Projector slides from BTH lighting department (Mazda Lamps) dating from 1940s.
- BTH publicity department glass plate negatives.

There is a reference collection alongside the social history collection with books, local publications and accompanying reference material.

The museum also holds a small collection of born digital objects consisting of images and oral history recordings.

4 Themes and priorities for future collecting

Rugby Collection

The Rugby Collection has benefitted from consistent collecting since its inception in 1946 apart from the period of 1980-1990s. Ongoing collecting will continue in order to maintain the calibre of the collection and ensure it continues to represent quality British artists. It will be achieved with these general principles in mind:

- Works will continue to be acquired using a dedicated acquisition fund as well as by donation and bequest where possible.
- Rugby Art Gallery and Museum will continue to focus on actively acquiring 21st century artworks by British artists of national or potential national standing. Mediums could include paintings, sculpture, drawings, prints, photography, film and artist installations. Works selected will continue to reflect the varied nature of the collection in styles such as figurative and abstract.
- Retrospective works will only be considered for acquisition if it is felt that the work would fill a gap in the collection, particularly from the 1980s and 1990s period.
- Future acquisitions will be made using internal visual art specialist knowledge although independent advice from an external art advisor will be sought in the absence of available staff knowledge. Alongside this a collections decision making panel, including an external subject specialist and a council representative, and facilitated by the Senior Exhibitions and Programming Officer, will consider a selection of different artists work.

Local Collection

No future acquisitions will be made for the Local Collection and the collection will be displayed and reviewed.

Archaeology

Since 2008 Rugby Art Gallery and Museum has been an established archaeological depository for excavated material. RAGM will continue to acquire archives from the same areas and future acquisitions will be governed by the continuance of developer funded field work. RAGM will continue to collect in consultation with Heritage and Culture Warwickshire.

Whenever possible a full and indexed documented archive should be acquired along with the artefacts. The documentary archive may include pro-forma site records, note, maps, plans, drawing, photographs, written reports and digital material.

Wherever possible Rugby Art Gallery and Museum will acquire associated items from a single site as a complete assemblage and organisations carrying out archaeological investigation within the collection area will be encouraged to deposit the total archive into the care of Rugby Borough Council.

Prior to the beginning of an archaeological excavation an agreement should be made between the excavators, the landowners and Rugby Art Gallery and Museum for the transfer of the site finds and archive to Rugby Borough Council.

Rugby Art Gallery and Museum will acquire archaeological material and associated material and associated evidence from the geographical area of the town of rugby and bordering villages as well as the Roman site of Tripontium. This includes the urban wards of:

- Newbold and Brownsover
- New Bilton
- Benn
- Bilton
- Overslade
- Caldecott
- Eastlands
- Paddox
- Hillmorton

It also includes the parishes of:

- Clifton upon Dunsmore
- Newton and Biggin
- Churchover
- Cosford
- Easenhall
- Harborough Magna
- Long Lawford
- Church Lawford
- Dunchurch
- Cawston and Admirals

Any finds from alternative parishes within the borough of Rugby will remain within the collecting area of Heritage and Culture Warwickshire.

Casual finds of archaeological material from within the collecting area will be considered for acquisition via the regional Finds Liaison Officer and according to the following criteria:

- The rarity and significance of the object
- The completeness and condition of the object
- Information provided by the donor on the circumstances and the whereabouts of the find
- Potential use of material for research or display

The following archaeological codes of conduct will be adhered to:

- Standard in museum care of archaeological collection 1992
- SMA Selection, Retention and Dispersal of Archaeological Collections Guidelines 1993
- Guidance on the care of Human Remains, DCMS 2008
- The Treasure Act 1996
- The Ancient Monuments and Archaeological Areas Act 1979
- IfA Standards and Guidance for the collection, documentation, conservation and research of archaeological materials 2001, revised 2008
- IfA Standards and Guidance for the creation, compilation, transfer and deposition of archaeological archives 2008
- Towards an Accessible Archaeological Archive, SMA
- Selection, Retention and Dispersal of Archaeological Collections, SMA

Social History

The social history collection which has been formally collected since 1999 will continue to be added to, however, discretion and care will continue to be exercised with regard to the selection of objects due to the limitations on storage

Priority will be given to objects that fill identifiable gaps in the existing collection, rather than to those that complement areas that are already well represented.

Objects will only be accepted into the collection if they are accompanied by supporting information or provenance, which demonstrates a connection with Rugby Borough in terms of manufacture, use or strong association.

Care will be taken to avoid the collection of duplicate examples of mass-produced items common to any part of the country, unless they are accompanied by firm evidence of their significance to the Rugby area, local stories or people.

Consideration should be given to the actual or potential use of the object in terms of display, interpretation or research as well as to the size and condition of the new acquisition.

Currently less well represented areas in the collection are:

- Rural life in the villages
- Cultural diversity in the Borough
- Working lives and stories
- Contemporary Rugby

- Rugby Art Gallery and Museum is committed to its collection reflecting the diversity of contemporary Rugby Borough. The museum will collect perspectives, stories and objects from individuals and communities from all cultural and social backgrounds and will also provide opportunities for people with protected characteristics to contribute meaningfully to the development of the collection.

Rugby Art Gallery and Museum aims to actively engage in contemporary collecting in order to capture snapshots of what is new, what is changing and what is happening now.

A small selection of locally-themed artworks and drawings has been added to the collection since 2008. Priority will be given to works that support and provide context to other areas of the collections.

Where appropriate, transfer to Rugby Art Gallery and Museum of copyright/and or reproduction rights will be sought at the time of acquisition. If this is not possible, then permission to make and use reproductions will be requested.

Where appropriate the museum will acquire certain material for educational purposes including handling that is not intended for retention in the permanent collections. Documentation of such material will clearly show the intended use. These objects shall be recorded separately outside the main accession records and shall not be treated as part of the permanent collections since their intended use implies that preservation cannot be guaranteed.

5 Themes and priorities for rationalisation and disposal

- 5.1 The museum recognises that the principles on which priorities for rationalisation and disposal are determined will be through a formal review process that identifies which collections are included and excluded from the review. The outcome of review and any subsequent rationalisation will not reduce the quality or significance of the collection and will result in a more useable, well managed collection.
- 5.2 The procedures used will meet professional standards. The process will be documented, open and transparent. There will be clear communication with key stakeholders about the outcomes and the process.
- 5.3 Rugby Art Gallery and Museum will only dispose of items for curatorial reasons and will not undertake disposal motivated by financial reasons. Disposal will be made by gift or sale in accordance with procedures outlined below. Items will only be considered for disposal on the following principles:
 - Poor condition
 - Duplicates exist
 - Falls outside the collecting policy
 - Public benefit better serviced by transfer to another organisation

6 Legal and ethical framework for acquisition and disposal of items

- 6.1 The museum recognises its responsibility to work within the parameters of the Museum Association Code of Ethics when considering acquisition and disposal.

7 Collecting policies of other museums

- 7.1 The museum will take account of the collecting policies of other museums and other organisations collecting in the same or related areas or subject fields. It will consult with these organisations where conflicts of interest may arise or to define areas of specialism, in order to avoid unnecessary duplication and waste of resources.
- 7.2 Specific reference is made to the following museum(s)/organisation(s):
- Heritage and Culture Warwickshire
 - Leamington Spa Art Gallery & Museum
 - The Herbert Art Gallery and Museum, Coventry
 - Coventry Transport Museum
 - Nuneaton Museum and Art Gallery
 - Rugby School Archive and Museum
 - World Rugby Museum
 - Northampton Art Gallery and Museum
 - Webb Ellis Rugby Football Museum
 - The Modern Records Centre, University of Warwick
 - Marton Museum of Country Bygones

8 Archival holdings

- 8.1 As Rugby Art Gallery & Museum holds/intends to acquire archives, including photographs and printed ephemera, its governing body will be guided by the Code of Practice on Archives for Museums and Galleries in the United Kingdom (third edition, 2002).

9 Acquisition

- 9.1 The museum will only acquire material where relevant collecting criteria, as set out in Section 4, is met. Acquisitions are agreed and signed by the Senior Collections Officer and Senior Exhibitions and Programming Officer only, with consultation from Rugby Art Gallery and Museum staff as appropriate.
- 9.2 Rugby Collection Acquisitions
Works are acquired for the Rugby Collection in several ways:

- Commission to collect: art works are developed as a commission, i.e.: to be shown then brought into the collection. Works are developed with the artist in a collaborative process.
- Bought following a temporary exhibition: existing art works are purchased from an exhibition at RAGM
- Bought directly from artist, agent or gallery: art works are purchased directly from the artist or artist's studio, from a commercial gallery/other public gallery, or from an agent representing an artist.
- Donation from artist or organisation: artwork brought into collection as a donation directly from an artist, organisation such as Contemporary Art Society or from another source eg: Estate or Trust.
- Auction: there may be rare occasions where artwork is purchased at auction.

Any potential acquisitions for the Rugby Collection are thoroughly researched and investigated by specialist visual art staff. The same staff will also apply for external funding to support purchases. Senior Exhibitions & Programming Officer presents suggested acquisitions along with their research and consultation feedback to the quarterly collections meeting at RAGM. This meeting makes the final decision as to which works will enter the collection, the practical aspects of physically bringing the work into the collection including accessioning is undertaken by the Senior Exhibitions & Programming Officer and Senior Collections Officer.

9.3 The museum will not acquire any object or specimen unless it is satisfied that the object or specimen has not been acquired in, or exported from, its country of origin (or any intermediate country in which it may have been legally owned) in violation of that country's laws. (For the purposes of this paragraph 'country of origin' includes the United Kingdom).

9.4 In accordance with the provisions of the UNESCO 1970 Convention on the Means of Prohibiting and Preventing the Illicit Import, Export and Transfer of Ownership of Cultural Property, which the UK ratified with effect from November 1 2002, and the Dealing in Cultural Objects (Offences) Act 2003, the museum will reject any items that have been illicitly traded. The governing body will be guided by the national guidance on the responsible acquisition of cultural property issued by the Department for Culture, Media and Sport in 2005.

10 Human remains

10.1 As the museum holds or intends to acquire human remains from any period, it will follow the procedures in the 'Guidance for the care of human remains in museums' issued by DCMS in 2005.

11 Biological and geological material

11.1 The museum will not acquire any biological or geological material.

12 Archaeological material

12.1 The museum will not acquire archaeological material (including excavated ceramics) in any case where the governing body or responsible officer has any suspicion that the circumstances of their recovery involved a failure to follow the appropriate legal procedures.

12.2 In England, Wales and Northern Ireland the procedures include reporting finds to the landowner or occupier of the land and to the proper authorities in the case of possible treasure (i.e. the Coroner for Treasure) as set out in the Treasure Act 1996 (as amended by the Coroners & Justice Act 2009).

13 Exceptions

13.1 Any exceptions to the above clauses will only be because the museum is:

- acting as an externally approved repository of last resort for material of local (UK) origin
- acting with the permission of authorities with the requisite jurisdiction in the country of origin

In these cases the museum will be open and transparent in the way it makes decisions and will act only with the express consent of an appropriate outside authority. The museum will document when these exceptions occur.

14 Spoliation

14.1 The museum will use the statement of principles 'Spoliation of Works of Art during the Nazi, Holocaust and World War II period', issued for non-national museums in 1999 by the Museums and Galleries Commission.

15 The Repatriation and Restitution of objects and human remains

15.1 The disposal of human remains from museums in England, Northern Ireland and Wales will follow the procedures in the 'Guidance for the care of human remains in museums' (DCMS, 2005).

16 Disposal procedures

16.1 All disposals will be undertaken with reference to the SPECTRUM Primary Procedures on disposal.

16.2 The governing body will confirm that it is legally free to dispose of an item. Agreements on disposal made with donors will also be taken into account.

- 16.3 Disposals of objects not owned by the museum will be discussed on a case-by-case basis at the quarterly collections meeting with the completion of disposals of unaccessioned objects procedure. These include: long term loans where the lender cannot be contacted, abandoned declined offers of donation and abandoned identification enquiries.
- 16.4 When disposal of a museum object is being considered, the museum will establish if it was acquired with the aid of an external funding organisation. In such cases, any conditions attached to the original grant will be followed. This may include repayment of the original grant and a proportion of the proceeds if the item is disposed of by sale.
- 16.5 When disposal is motivated by curatorial reasons the procedures outlined below will be followed and the method of disposal may be by gift, sale, or as a last resort - destruction.
- 16.6 The decision to dispose of material from the collections will be taken by the governing body only after full consideration of the reasons for disposal. Other factors including public benefit, the implications for the museum's collections and collections held by museums and other organisations collecting the same material or in related fields will be considered. Expert advice will be obtained and the views of stakeholders such as donors, researchers, local and source communities and others served by the museum will also be sought.
- 16.7 A decision to dispose of a specimen or object, whether by gift, sale or destruction (in the case of an item too badly damaged or deteriorated to be of any use for the purposes of the collections or for reasons of health and safety), will be the responsibility of the governing body of the museum acting on the advice of professional curatorial staff, if any, and not of the curator or manager of the collection acting alone.
- 16.8 Once a decision to dispose of material in the collection has been taken, priority will be given to retaining it within the public domain. It will therefore be offered in the first instance, by gift or sale, directly to other Accredited Museums likely to be interested in its acquisition.
- 16.9 If the material is not acquired by any Accredited museum to which it was offered as a gift or for sale, then the museum community at large will be advised of the intention to dispose of the material normally through a notice on the MA's Find an Object web listing service, an announcement in the Museums Association's Museums Journal or in other specialist publications and websites (if appropriate).
- 16.10 The announcement relating to gift or sale will indicate the number and nature of specimens or objects involved, and the basis on which the material will be transferred to another institution. Preference will be given to expressions of interest from other Accredited Museums. A period of at least two months will be allowed for an interest in acquiring the material to be expressed. At the end of this period, if no expressions of interest have been received, the museum may

consider disposing of the material to other interested individuals and organisations giving priority to organisations in the public domain.

- 16.11 Any monies received by the museum governing body from the disposal of items will be applied solely and directly for the benefit of the collections. This normally means the purchase of further acquisitions. In exceptional cases, improvements relating to the care of collections in order to meet or exceed Accreditation requirements relating to the risk of damage to and deterioration of the collections may be justifiable. Any monies received in compensation for the damage, loss or destruction of items will be applied in the same way. Advice on those cases where the monies are intended to be used for the care of collections will be sought from the Arts Council England.
- 16.12 The proceeds of a sale will be allocated so it can be demonstrated that they are spent in a manner compatible with the requirements of the Accreditation standard. Money must be restricted to the long-term sustainability, use and development of the collection.
- 16.13 Full records will be kept of all decisions on disposals and the items involved and proper arrangements made for the preservation and/or transfer, as appropriate, of the documentation relating to the items concerned, including photographic records where practicable in accordance with SPECTRUM Procedure on deaccession and disposal.
- 16.14 Disposal by exchange. The museum will not dispose of items by exchange.
- 16.15 Disposal by destruction. If it is not possible to dispose of an object through transfer or sale, the governing body may decide to destroy it.
- 16.16 It is acceptable to destroy material of low intrinsic significance (duplicate mass-produced articles or common specimens which lack significant provenance) where no alternative method of disposal can be found.
- 16.17 Destruction is also an acceptable method of disposal in cases where an object is in extremely poor condition, has high associated health and safety risks or is part of an approved destructive testing request identified in an organisation's research policy.
- 16.18 Where necessary, specialist advice will be sought to establish the appropriate method of destruction. Health and safety risk assessments will be carried out by trained staff where required.
- 16.19 The destruction of objects should be witnessed by an appropriate member of the museum workforce. In circumstances where this is not possible, eg the destruction of controlled substances, a police certificate should be obtained and kept in the relevant object history file.

AGENDA MANAGEMENT SHEET

Report Title:	Rugby Borough's Olympic and Paralympic Athletes
Name of Committee:	Cabinet
Date of Meeting:	16 September 2024
Report Director:	Chief Officer - Leisure and Wellbeing
Portfolio:	Partnerships and Wellbeing
Ward Relevance:	All
Prior Consultation:	Portfolio Holder
Contact Officer:	Chief Officer Leisure and Wellbeing
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): <input type="checkbox"/> Rugby is an environmentally sustainable place, where we work together to reduce and mitigate the effects of climate change. (C) <input type="checkbox"/> Rugby has a diverse and resilient economy that benefits and enables opportunities for all residents. (E) <input type="checkbox"/> Residents live healthy, independent lives, with the most vulnerable protected. (HC) <input type="checkbox"/> Rugby Borough Council is a responsible, effective and efficient organisation. (O) Corporate Strategy 2021-2024 <input checked="" type="checkbox"/> This report does not specifically relate to any Council priorities but
(C) Climate (E) Economy (HC) Health and Communities (O) Organisation	
Summary:	This report seeks to celebrate the success of known athletes who have represented their country at either the Olympics or Paralympic Games.
Financial Implications:	None arising directly from this report.
Risk Management/Health and Safety Implications:	None arising directly from this report.

Environmental Implications:	None arising directly from this report.
Legal Implications:	None arising directly from this report.
Equality and Diversity:	Please see equality and diversity assessment. Recognition of both Olympic and Paralympic athletes has been considered.
Options:	<ol style="list-style-type: none"> 1) To approve proposals to acknowledge and celebrate the local Olympic and Paralympic Athletes. 2) To reject proposals to acknowledge and celebrate the local Olympic and Paralympic Athletes.
Recommendation:	<ol style="list-style-type: none"> 1) The proposals for the acknowledgement and celebration of Rugby Olympians and Paralympians as detailed within the report be approved. 2) The future local Olympians and Paralympians who achieve a medal to be automatically awarded civic honours.
Reasons for Recommendation:	To celebrate those athletes who have reached the pinnacle of their respective sports at the Olympic and Paralympic Games and confirm the automatic nomination of Freedom of the Borough for those athletes who achieve a medal.

Cabinet - 16 September 2024

Rugby Borough's Olympic and Paralympic Athletes

Public Report of the Chief Officer - Leisure and Wellbeing

Recommendation

- 1) The proposals for the acknowledgement and celebration of Rugby Olympians and Paralympians as detailed within the report be approved.
- 2) The future local Olympians and Paralympians who achieve a medal to be automatically awarded civic honours.

1. Executive Summary

- 1.1. The summer Olympic Games in Paris have now concluded, with the Paralympic Games taking place from Wednesday 28 August to Sunday 8 September.
- 1.2. The Olympic and Paralympic Games are global events and are considered as the pinnacle competition for all the represented sports with thousands of athletes across the world participating for their countries.
- 1.3. Rugby School's famous Headmaster from 1828-1842, Dr Thomas Arnold has been reported through history as being influential in shaping Pierre De Coubertin's vision for universal amateur athletics, culminating with the first modern games in 1896.
- 1.4. To this day, the Games inspire thousands of people to participate in sport and physical activity, enthusing young people to strive to be the next Olympians.
- 1.5. The following report seeks to identify and acknowledge the efforts of local Olympic and Paralympic athletes who have achieved their ultimate dream of representing their country in the Games.
- 1.6. It is proposed that:
 - Cabinet approval of Olympians and Paralympians who have achieved medals receive the civic honour of Freedom of the Borough.
 - A civic reception be held with guests including the Mayor, Council Cabinet members, Group Leaders and the MP for Rugby to congratulate all Olympic and Paralympic athletes on competing in their respective sports.
- 1.7. The recognition of the local Olympians and Paralympians supports the Council's aspirations to celebrate local people and promote civic pride in line with the Council's Love Rugby vision.

2. Introduction

- 2.1. The Olympic and Paralympic Games take place every four years and are seen as the pinnacle of sport for all those who are selected to represent their country.
- 2.2. Locally, Rugby School have a unique place in history with the modern Olympics through the late Headmaster, Dr Thomas Arnold.
- 2.3. Inspired by his readings of Tom Brown's School Days, a young French student named Pierre de Coubertin ended up visiting Rugby School on several occasions during the 1880's. De Coubertin came to the conclusion that organised sport could be aspirational for young people and helped manifest the ultimate vision for universal amateur athletics, culminating in the 1896 Olympic Games in Athens.
- 2.4. It is therefore important to celebrate Rugby's local athletes who have gone on to represent their country at the Olympic and Paralympic Games respectively.

2.5. Rugby's Olympians

During the Paris Olympics 2024, this Council has eagerly followed local athletes with connections to our Borough. These have included Kimberley Woods, Chelsie Giles and Lauren Henry.

2.6. Kimberley Woods

Kimberley competes in canoe slalom including C1, K1 and KX1 and has represented Team GB at the 2020 and 2024 summer Olympics in Tokyo and Paris respectively.

Kimberley is a well-known Rugby athlete who has seen sporting success in World Championships, European Games and European Championships and has been celebrated at the Rugby Sports Awards for a number of years with Sportswoman of the Year and attending as a special guest to talk about her experiences to all the invited guests.

Kimberley performed superbly across her events and came home with two bronze medals from Paris 2024 in the Women's Slalom K1 and Kayak Cross disciplines.

<https://www.teamgb.com/athlete/kimberley-woods/4DVxJI5iad1rvuL9I8vLjb>

2.7. Lauren Henry

Rugby-born Lauren Henry, a former Rugby High School student, represented Team GB at her first Olympics at the summer Olympics in Paris 2024.

Having started her rowing career at the age of 13 at Leicester Rowing Club, Lauren has gone on to win the gold medal for the Women's Quadruple Sculls alongside her teammates Hannah Scott, Lola Anderson and Georgie Brayshaw, beating the Netherlands on the line.

Paris 2024 was Lauren's first Olympic Games and is sure to continue her success having also claimed World and European crowns.

<https://www.teamgb.com/athlete/lauren-henry/4jw4SMpmGwEPU9Z0fY8CJT>

2.8. **Chelsie Giles**

Wolston based Chelsie Giles is a force to be reckoned with in the sport of Judo. Competing and successfully medalling at European Championships, World Championships.

Chelsie came home from the 2020 Tokyo Olympics with a bronze medal in the women's 52kg event and went on to further Olympic representation in Paris 2024.

Chelsie was beaten on golden score in the opening round in a tense tactical game.

<https://www.teamgb.com/athlete/chelsie-giles/3tuUEI7xHvUfSpm1EczuDZ>

- 2.9. The athletes are an important part of the Borough's sporting story which has seen Rugbeians representing their country, joining the likes of Katharine Merry and Neil Adams who have previously taken to the world's stage in their respective sports.
- 2.10. It is therefore proposed that this Council recognises the sporting achievement of the local sporting talent and celebrates the successes achieved in recent Olympic Games.

3. **Civic Honours**

- 3.1. As part of the Council's civic honours, the Council looks to celebrate local people who have significantly contributed to the borough.
- 3.2. With the Olympic and Paralympic Games providing a global stage to compete at the highest level of sport and inspire millions of people, celebrating local athletes who have achieved this success embodies what this Council strives to promote.
- 3.3. It is proposed that Cabinet approves the nominations of the Borough's Olympians and Paralympians who have achieved medals to receive the civic honour of Freedom of the Borough. The nominations to be automatically approved outside of the Civic Honours Policy to ensure appropriate and timely recognition of the athlete's success and sporting achievement.
- 3.4. At the time of publication, the Paralympic Games has not yet concluded, and further athletes may be recognised to those identified above.

4. Civic Reception

- 4.1. Following the award of civic honours, it is proposed that a civic reception be held for all athletes who competed at the Games with guests including the Mayor of Rugby, Council Cabinet members, Group Leaders and the MP for Rugby.
- 4.2. The civic reception would be outside of the Civic Honours Working Group process that would ordinarily be scheduled to be convened in April 2025. It is proposed to hold a civic reception to congratulate all competing athletes and hear their experiences of the Olympic Games, to celebrate their accomplishments appropriately and support the Council's ambitions to celebrate local people and the vision of Love Rugby.

5. Future Olympians

- 5.1. Recognising the enthusiasm and positive impact the Olympic and Paralympic Games have for both athletes and spectators, it is recommended that Olympic and Paralympic honours are automatically recognised and awarded the civic honour of Freedom of the Borough in the future.
- 5.2. This would support the Council's Love Rugby vision and support the celebration of local people who have excelled in their sport and achieved sporting recognition on the world stage.
- 5.3. The Council wishes to recognise and celebrate all local Olympic and Paralympic athletes who are confirmed as:
 - Currently living or have lived in the borough of Rugby.
 - Attended school/college/sixth form in the borough of Rugby.
 - Represented a community sports club based in the borough of Rugby.

6. Conclusion

- 6.1. Rugby has a rich history of sporting talent, including local athletes reaching the pinnacle of their sports by achieving qualification for the Olympics and Paralympics.
- 6.2. This Council strives to recognise and celebrate local sporting achievements including annual recognition at the Rugby Sports Awards and the proposals set out continue with this important leadership role for Rugby's local athletes.

Name of Meeting: Cabinet

Date of Meeting: 16 September 2024

Subject Matter: Rugby Borough's Olympic and Paralympic Athletes

Originating Department: Leisure and Wellbeing

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:	Finance and Performance Monitoring – Quarter 1 2024/25
Name of Committee:	Cabinet
Date of Meeting:	16 September 2024
Report Director:	Chief Officer - Finance and Performance
Portfolio:	Finance, Performance, Legal and Governance
Ward Relevance:	All Wards
Prior Consultation:	All Group Leaders
Contact Officer:	Paul Conway Finance Manager and Deputy S151 Officer paul.conway@rugby.gov.uk
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): <input checked="" type="checkbox"/> Rugby is an environmentally sustainable place, where we work together to reduce and mitigate the effects of climate change. (C) <input checked="" type="checkbox"/> Rugby has a diverse and resilient economy that benefits and enables opportunities for all residents. (E) <input checked="" type="checkbox"/> Residents live healthy, independent lives, with the most vulnerable protected. (HC) <input checked="" type="checkbox"/> Rugby Borough Council is a responsible, effective and efficient organisation. (O) Corporate Strategy 2021-2024 <input type="checkbox"/> This report does not specifically relate to any Council priorities but
Summary:	This report sets out the 2024/25 Quarter 1 finance and performance position for the Council and other adjustments for approval as required by Financial Standing Orders.
Financial Implications:	As detailed in the main report.

Risk Management/Health and Safety Implications:	This report is intended to give Cabinet an overview of the Council's forecast spending and performance position for 2024/25 to inform future decision-making.
Environmental Implications:	There are no environmental implications arising from this report and no environmental assessment is required for 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 and no Equalities Impact Assessment is required for this report.
Options:	Members can elect to approve, amend or reject the budget virement requests listed at recommendation 3.
Recommendation:	<ol style="list-style-type: none"> 1) The Council's forecast financial position for 2024/25 be considered; 2) Performance information in section 5 be noted; and 3) IT BE RECOMMENDED TO COUNCIL THAT the 2024/25 budget virements as detailed in section 4 to be approved.
Reasons for Recommendation:	A strong financial and performance management framework, including oversight by Councillors and the Leadership Team, is an essential part of delivering the Council's Corporate Strategy.

Cabinet - 16 September 2024

Finance and Performance Monitoring – Quarter 1 2024/25

Public Report of the Chief Financial Officer

Recommendation

- 1) The Council's forecast financial position for 2024/25 be considered;
- 2) Performance information in section 5 be noted; and
- 3) IT BE RECOMMENDED TO COUNCIL THAT the 2024/25 budget virements as detailed in section 4 to be approved.

1. EXECUTIVE SUMMARY

- 1.1. The main purpose of this report is to provide a summary of the 2024/25 forecast position for the General Fund and the Housing Revenue Account. Also included is information on the Council's savings programme, performance measures and a request to approve budget virements.
- 1.2. This is the first report on the financial position of the organisation following the change in the political administration in June. Following the introduction of the new Corporate Strategy and agreeing the priorities for the forthcoming years, there may need to be changes to spending plans, these will feature in future reports.
- 1.3. The key findings of this report are as follows:
 - **General Fund revenue** – in the General Fund there is a forecast pressure of £0.217m. This comprises of a £0.510m pressure across services which is offset by a (£0.293m) saving in the net cost of borrowing.
 - **General Fund capital programme** – the budget for the Capital programme is £8.270m compared to a £7.857m forecast. This reflects (£0.413m) of reprofiling due to scheme changes.
 - **Housing Revenue Account** – there is a forecast pressure of £0.823m across the HRA. This will reduce the contribution to reserves at the end of the year to keep the HRA main account balanced.
 - **Housing Revenue Account capital programme** – the Capital programme is forecast to consume £22.200m. This reflects a saving of (£0.193m).
 - **Savings programme** – the savings target for 2024/25 is (£3.033m). The latest projection is for (£2.990m) to be delivered. There is (£0.043m) at risk of not being achieved.

- **Budget virements** – there are £0.536m of budget virements that are seeking approval.
- **Performance measures** – quarter one (Q1) performance measures are detailed in Section 5.

2. BACKGROUND

- 2.1. Local Authorities have a requirement to account separately for core operational services and the provision of dwellings. This is achieved by creating two reporting functions. The General Fund and the Housing Revenue Account.
- 2.2. The General Fund is the main revenue account of the local authority, which includes day-to-day income and expenditure on the provision of services. Activities within the General Fund include waste and recycling, parks and recreation and regulatory services.
- 2.3. The Housing Revenue Account is a statutory requirement for local authorities with a council housing stock. It contains all the expenditure and income relating to the direct provision of that stock. Included in the Housing Revenue Account are elements such as rent, service charges, maintenance, repairs, and property management.
- 2.4. The Council takes a multiyear approach to its budget planning and monitoring, recognising that the two are inextricably linked. At three-month intervals officers provide their latest forecast expectations for each of the reporting units. This report offers the latest outlook based on the information available at 30 June 2024 (Q1).
- 2.5. Throughout the report, pressures and savings are referred to. A pressure is an instance whereby forecast costs have exceeded budget or forecast income has not met target. This will be shown as a positive value. A saving occurs where forecast expenditure is lower than budget or forecast income is higher than the target. This is displayed using brackets.
- 2.6. This report also contains an update on savings proposals and the performance measures that are seen as fundamental to the Council's continued focus on improving its offering to the local community.

3. GENERAL FUND (GF)

GF Operating Position (Appendix 1)

- 3.1. The 2024/25 General Fund revenue forecast position is summarised below.

Table 1: General Fund 2024/25 Forecast

Type	Budget £000	Q1 Forecast £000	Q1 Variance to Budget £000
Cost of General Fund services	19,640	20,150	510
Corporate items	2,106	1,813	(293)
Total	21,746	21,963	217

- 3.2. Across the Council there is a forecast pressure of £0.217m compared to the budget of £21.746m. The service variance is £0.510m, which is offset from savings in the net cost of borrowing of (£0.293m).
- 3.3. The main contributing factors to the pressures are shown below. Further details of portfolio variances can be found in Appendix 1.
- 3.4. Operations and Traded Services is reporting a pressure of £0.397m:
- £0.223m – External Contractors/Income – expenditure related to the Sherborne facility is currently forecasting a pressure of £0.174m. Recycling materials are selling at less than was predicted and the gate fee is higher than anticipated, this is due to volatility in the market and higher than anticipated contamination levels. The facility is still in its infancy and the Council are working with the site and partner authorities to understand any potential challenges. Further detail will be reported as that work progresses. The use of a third-party haulage company is causing a pressure of £0.096m due to increased haulage required from the waste depot in Rugby to the Sherbourne facility or energy waste plant. The pressure is partly offset from the income reimbursed by Warwickshire County Council for recycling and a rebate from the Sherbourne Facility.
 - £0.280m – Staff and agency costs – the high levels of staff sickness, absence and vacancies have necessitated the need to turn to the agency market to ensure that the service continues to operate. There is also a need to use agency staff to cover holiday periods. The service is working with HR to help manage sickness and absence levels as well as exploring initiatives to deliver efficiencies across working practices.
- 3.5. Finance and Performance, Legal and Governance reports a pressure of £0.345m:
- £0.115m – Audit Fees – as recommended to Council by Audit and Ethics Committee in December 2021, Rugby opted into the national procurement process for the new contract in relation to the external audit of the accounts. Officers expected an increase in the region of 150%, however the contract price was only communicated after the 2024/25 budget was set. Audit fees has risen considerably across the sector, the work has not increased and the Council is no greater risk than it was in previous years but the cost of the 2023/24 audit will be £179,000. The contract has been set and there is no ability to reduce or negotiate this, therefore the pressure will need to form part of the 2025/26 budget setting process.
 - £0.130m – Staff and agency costs – recruitment and retention of key roles continues to be a challenge, this is not unique for Rugby. Agency staff have been brought in to cover for vacant posts within the Portfolio. Experienced agency staff with the right level of skills are highly sought after and come at a premium cost.

3.6. Digital and Communications, Growth and Investment is reporting a saving of (£0.126m):

- (£0.100m) – Staff Costs – vacancies within the Portfolio have persisted through Quarter One. Professional roles have proved challenging to fill and specialist agencies have now been sought to assist with recruitment.

3.7. Corporate Items is reporting a saving of (£0.293m):

- (£0.293m) – Net Cost of Borrowing – the pressures on General Fund services are being alleviated by a saving in the net cost of borrowing. Interest rates were budgeted at a prudent and responsible level. With the Bank of England continuing to keep rates at an elevated level the Council has continued to see a benefit during the first quarter of this year. However, this benefit cannot be relied upon in future periods as the expectation remains that at some point interest rates will begin to fall.

GF Savings Programme (Appendix 1)

3.8. The councils 2024/25 savings programme totalled (£3.033m). 99% of the savings are forecast to be delivered.

Table Two: General Fund Savings Programme

Type	Target £000	£000	£000	£000
Savings target	(3,033)	(2,990)	(43)	-

3.9. The impact of non-delivery of savings plans means that the Councils reserve balances may need to be used to fund the pressures, or Council will be asked to approve additional savings proposals to ensure a balanced Medium Term Financial Plan. Progress on the plans will continue to be reported throughout the 2024/25 financial year.

GF Capital Programme

3.10. The approved General Fund capital programme is £8.270m, there is currently no reported variance.

Table Three: General Fund Capital Programme

Type	Revised Budget £000	Budget Reprofiled £000	Reprofiled Budget £000	Q1 Forecast £000	Variance to Budget £000
GF Capital	8,270	(413)	7,857	7,857	0

3.11. Where project timelines deviate from the original plan, reprofiling of the budget takes place. Currently within the general fund there is (£0.413m) of reprofiling. Of this total, (£0.385m) is related to the Alwyn Road changing rooms project. This is currently at design stage and main works aren't due to begin until April 2025. This is not an issue, however if schemes span multiple years there is a risk of increased costs although this is no projected at this time it will be monitored. As well as pushing costs back, on occasions

schemes will take place quicker than the original plan, in these circumstances there will be a positive balance for reprofiling.

3.12. A detailed summary of all the GF Capital programme for 2024/25 is shown in Appendix 1.

4. HOUSING REVENUE ACCOUNT (HRA)

HRA Operating Position (Appendix 2)

4.1. Housing rents were set by Council on 6 February 2024. Rent increases for 2024/25 were capped at 7.7% as announced in the Autumn Budget Statement on 22 November 2023.

4.2. The 2024/25 HRA revenue forecast position is summarised below.

Table Four: HRA Revenue Outturn Position

Type	Revised Budget £000	2024/25 Forecast £000	Outturn Variance to Budget £000
Income	(19,806)	(19,792)	14
Expenditure	15,422	16,231	809
Cost of HRA services	(4,384)	(3,561)	823
Interest and investment income/expense	(10)	(10)	0
Net cost after interest	(4,394)	(3,571)	823
Contribution to capital expenditure	4,345	3,522	(823)
Contributions to (+) / from (-) reserves	49	49	0
Total	0	0	0

4.3. Although the HRA will report a balanced position, where there are significant variances within function, they are shown below.

4.4. The Housing Repairs Account is reporting a pressure of £1.090m. This is due to the following factors:

- £0.650m – External Contractor spend – the pressure on spend from contractors can be attributed to the following.
- Due to a high volume of work being received that requires major works the service has been required to engage with specialist contractors.
- The Property Repairs team does not employ any roofers within the service, this is due in part to market conditions and the ability of the service to successfully recruit. As a result, roofing works is currently undertaken by a contractor. It is worth noting that if there were an internally employed roofing team to undertake the work, the costs would still be high as a large part of the cost relates to scaffolding where costs have increased across the sector, plus the scope of work required would also remain consistent.

- There are benefits to outsourcing the roofing works which include the reduced risk to the council given the high-risk nature of the work, the resilience an external provider can provide and the specialist skills that the local authority does not possess.
- A further high contractor spend over the past twelve month was on fencing works, this can be attributed to the extreme weather events within the Borough. Given the volume of work reported by tenants, contractors were required to support the direct labour force in the delivery of these services. The service is exploring options to bring fencing works inhouse to reduce costs and a review of all open jobs is underway. Measures taken to reduce spend include reducing the scope of works conducted on voids to minimise costs, while meeting lettable standard and reviewing of tenant and landlord responsibilities for responsive repairs.
- Officers are currently undertaking a review of the costs included in the reported pressure to determine whether any of the activity can be re allocated to the capital programme. Future reports will detail the impact of this.
- £0.263m – Contract Income – a budget was set with the intention to offer more external services. Due to the volume of internal works and pressure on the service to deliver in a timely manner, expansion of the service has not been possible. The service is planning to undertake a review to understand if there may be potential future capacity to offer additional external services.

4.5. Supervision and Management is reporting a (£0.296m) saving:

- (£0.296m) - Staff Costs – there are vacancies within Supervision and Management that have been difficult to recruit to or where recruitment activity has been paused. The service is currently reviewing different options with the intention of readvertising certain roles imminently.

HRA Capital

4.6. The approved HRA capital programme is £23.468m. Reprofiling and expected savings have resulted in a 2024/25 forecast of £22.200m.

Table Five: HRA Capital Programme

Type	Revised Budget £000	Budget Reprofiling £000	Reprofiled Budget £000	Q1 Forecast £000	Variance to Budget £000
HRA Capital Programme	23,468	(1,075)	22,393	22,200	(193)

4.7. The HRA capital programme is forecasting a (£0.193m) of savings. However, on the overall Biart Place scheme there is a 2024/25 forecast pressure of £0.201m. This comprises of a 2024/25 pressure of £0.396m on the construction budget and a saving of (£0.195m) on the design element.

4.8. The value for construction works is higher than originally budgeted, due to inflation in the period between the budget being approved and the final

contract being signed and from onsite compensation events. These costs relate to unexpected changes to the work that was not included in the original contract and include such items as making safe unidentified services and delays associated with extreme weather events in February 2024. The compensation events are difficult to predict, however, as the scheme progresses then the risk profile of these events occurring is diminishing as this is the phase of the project where the abnormal and unknown events tend to materialise.

4.9. Some of the pressures are being mitigated by a saving in the design phase of the scheme. With the design of the scheme complete and the successful novation of the architects and civil/structural engineers to the main contractor, future costs associated with design are included in the construction budget. This saving has occurred as when the budget was approved it included the option of Rugby retaining the design team for the whole scheme rather than them being novated to the main contractor.

4.10. Details of the HRA capital programme can be found in Appendix 2.

5. BUDGET VIREMENT REQUESTS

5.1. Details of the budget virements, where approval is sought, are set out below

Table Six: Budget Virements

Portfolio	Value £	Details
From Growth and Investment to Regulation and Safety	302,180	To realign the Town Centre CCTV budget from Growth and Investment to Regulation and Safety so it is managed by the officers who use the CCTV most frequently.
From Corporate Items/Funding to Communities and Homes	234,040	To realign the Housing Benefit Administration Subsidy grant from Corporate Items to the Housing department where it can directly offset the expenditure incurred within the service.

6. PERFORMANCE SUMMARY

6.1. This section of the report summarises the performance of the organisation against key performance indicators (KPIs) for Q1. It provides a snapshot of key achievements and areas requiring improvement across various service areas.

6.2. For the first quarter of this financial year the Council has been continuing to explore new ways of presenting the performance information, whilst this work continues, the existing Power Bi dashboard continues to be operational and can be found [here](#). Work will continue between officers and members to develop this further, and updates will be reported in the coming months.

Q1 Highlights

6.3. During Q1 there has been a number of instances where performance has exceeded target. They include:

- The number of missed green waste bin collections has continued its downward trajectory, from 223 in the final quarter of 2023/24, to 173 in the first quarter of this financial year. Given that approximately half of the residents are subscribed to the service, the waste collection crews remain ever vigilant, observing whether a bin has been presented for collection.
- Another measure where performance is RAG rated green is the annual Housing Delivery Test where Rugby continues to exceed performance. High recent annual housing completions means that the Borough's performance on the government's metric remains strong
- In the first quarter of this financial year all the reported fly tipping incidents were investigated to identify if further work is required. Within the West Midlands Rugby has the fourth highest incidences of fly tipping for second tier authorities behind Warwick, Nuneaton and Bromsgrove. Additional work and resource allocated has been completed this quarter to tackle urban fly tipping on private land in alleyways.

Areas for Improvement

- 6.4. In certain areas performance has fell below the targets that were set at the beginning of the year. Some examples of this include:
- Although the percentage of major voids completed on time has increased from the final quarter of 2023/24, at 67%, it is still below the target of 80%. Major void receipts continue to be exceptionally high at 42% of all receipts. Despite utilising contractors for support the Council are still below target due to the scope of the work required on the properties handed back in. The service is currently in the final stages of working with Fusion21 framework to procure a larger contractor to provide additional support.
 - The percentage of sundry income outstanding more than 28 days after payment due date is currently below target. The overall debt outstanding is mainly historic with the in-year performance aligned to target. Historic debt will be reviewed to understand what proportion is collectable. The service has implanted new recovery processes and is working with PaymentPlan to establish methods of collecting money earlier in the payment cycle.
 - The percentage of roles offered within 65 days is currently RAG rated Amber. Professional roles including the Lead Accountant, Corporate Assurance Manager and Principal Planning Officers have proved challenging to fill within the 65 days. We are now posting our key roles on targeted job boards directly and purchasing LinkedIn jobs for professional roles.
- 6.5. Over time the performance catalogue will continue to evolve including more detailed trend analysis. New measures could be added, and current ones, that may no longer be viewed as critical, will be replaced.

Name of Meeting: Cabinet

Date of Meeting: 16 September 2024

Subject Matter: Finance and Performance Monitoring – Quarter 1
2024/25

Originating Department: Finance and Performance

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

1) Revenue Forecasts

Portfolio	Current Net Budget	Exp to date plus commitments	Forecast	Employee Variance	Running Cost Variance	Income Variance	Pending Supplementary Budget/Virement	Total Variance
	£000	£000	£000	£000	£000	£000	£000	£000
Finance, Performance, Legal & Governance	3,645	1,399	3,990	87	276	(18)		345
Communities and Homes, Regulation and Safety	5,261	3,908	5,180	(62)	49	(68)		(81)
Growth and Investment, Digital and Communications	1,746	1,159	1,620	3	1,070	(1,199)		(126)
Operations and Traded Services	5,012	579	5,409	275	222	(100)		397
Partnerships and Wellbeing	3,867	820	3,921	(92)	132	14		54
Organisational Change	109	100	31	(261)	1	182		(78)
Chief Executive	(0)	84	(1)	(1)	0	0		(1)
Corporate Items	2,106	763	1,813	0	(293)	(0)		(293)
Total Approved Budget	21,746	8,812	21,963	(51)	1,457	(1,189)	0	217

2) Head Count

Portfolio	Budgeted FTE's	Actual FTE's at Q1	Vacant FTE's
Finance, Performance, Legal & Governance	55.09	43.84	(11.25)
Communities and Homes, Regulation and Safety	96.10	87.43	(8.67)
Growth and Investment, Digital and Communications	79.68	66.81	(12.87)
Operations and Traded Services	125.84	128.26	2.42
Partnerships and Wellbeing	51.93	48.30	(3.63)
Organisational Change	15.40	8.08	(7.32)
Chief Executive	2.00	2.00	0.00
Total	426.04	384.72	(41.32)

3) Reserve Summary

Name of reserve	Balance at 01/04/24	Forecast contribution (to)/from	Balance at 31/03/25	Forecast contribution (to)/from	Balance at 31/03/26	Forecast contribution (to)/from	Balance at 31/03/27	Forecast contribution (to)/from	Balance at 31/03/28
	£000	£000	£000	£000	£000	£000	£000	£000	£000
Gen Fund Revenue Acc	(2,250)	0	(2,250)	0	(2,250)	0	(2,250)	0	(2,250)
Business Rates Equalisation Reserve	(16,740)	(5,173)	(21,913)	(630)	(22,543)	(1,168)	(23,711)	(1,383)	(25,094)
Budget Stability Reserve	(3,013)	194	(2,819)	805	(2,014)	0	(2,014)	0	(2,014)
Town Centre Strategy Reserve	(4,810)	376	(4,434)	400	(4,034)	400	(3,634)	400	(3,234)
Other corporate reserves	(2,340)	(208)	(2,548)	287	(2,261)	103	(2,158)	103	(2,055)
Total corporate reserves	(29,153)	(4,811)	(33,964)	862	(33,102)	(665)	(33,767)	(880)	(34,647)
Finance, Performance, Legal & Governance	(59)	3	(56)	3	(53)	3	(50)	3	(47)
Communities and Homes, Regulation and Safety	(773)	(28)	(801)	(38)	(839)	(43)	(882)	42	(840)
Growth and Investment, Digital and Communications	(376)	0	(376)	0	(376)	0	(376)	0	(376)
Operations and Traded Services	(84)	0	(84)	0	(84)	0	(84)	0	(84)
Partnerships and Wellbeing	(100)	24	(76)	24	(52)	(6)	(58)	(6)	(64)
Organisational Change	0	0	0	0	0	0	0	0	0
Chief Executive	(2,901)	384	(2,517)	50	(2,467)	0	(2,467)	0	(2,467)
Total Portfolio earmarked reserves	(4,293)	383	(3,910)	39	(3,871)	(46)	(3,917)	39	(3,878)
Total Reserves	(33,446)	(4,428)	(37,874)	901	(36,973)	(711)	(37,684)	(841)	(38,525)

4) Delivery of new savings & income targets

PORTFOLIO	Total	Red	Amber	Green
	£000s	£000s	£000s	£000s
Finance, Performance, Legal & Governance	144			144
Growth and Investment, Digital and Communications	321			321
Communities and Homes, Regulation and Safety	369			369
Operation and Traded Services	245			245
Partnerships and Wellbeing	764			764
Organisational Change	0			0
Chief Executive	43			43
Corporate Items	1,147		43	1,104
TOTAL GF	3,033	0	43	2,990
Red and Amber savings- further details				
		£000s	£000s	
Corporate Items	Income related to the PAGOBO initiative		43	

5) Capital Summary

Portfolio	Current Budget	Exp to date plus commitments	Forecast	Pending Refiling Requests	Total Variance
	£000	£000	£000	£000	£000
Finance, Performance, Legal & Governance	30	0	30		0
Communities and Homes, Regulation and Safety	4,288	1,977	4,260	(28)	0
Growth and Investment, Digital and Communications	455	21	440		(15)
Operations and Traded Services	1,619	515	1,619		0
Partnerships and Wellbeing	1,878	108	1,508	(385)	15
Organisational Change	0	0	0		0
Chief Executive	0	0	0		0
Grand Total	8,270	2,621	7,857	(413)	0

7) Revenue variance narrative

PORTFOLIO	Total Q1 Variance to Budget	Item Variances to budget	Pressure/(Saving)	Expenditure Type	Service Area	Description	Root Cause Analysis - When you have found a material variance you must first determine the root cause of the variance.	Impact - Next, quantify the impact. This involves not only understanding the impact to the current month; also if no changes are made, what the go-forward impact to the business is for both favourable and unfavourable budget variances.	Action - The final part of any analysis should include an action for the business. What can be put in place to mitigate the impact.
Finance, Performance, Legal & Governance	345	130	Pressure	Expenditure	Finance & Performance Portfolio	Salaries and Agency costs	<p>Financial Services: A difficult recruiting environment for Finance professionals has resulted in using contractors as an interim measure to fill vacancies within the team.</p> <p>Revenues Team: An agency worker has been brought in to cover a vacant post within the team. Another agency worker has been brought in to provide cover and support to the Senior Systems Officer whilst processes are being reviewed.</p> <p>Corporate Assurance: Vacant Corporate Assurance Manager being filled by consultant until appointed to and a vacant Change Officer post which has resulted in more reliance on an external company so the audit plan for 2024/25 can still be achieved on time.</p>	<p>Financial Services: Experienced agency staff with the right level of skills are highly sought after and come at a premium cost.</p> <p>Revenues Team: This has allowed the team to maintain standard service provision.</p> <p>Corporate Assurance: The posts are being filled by a consultant and external contractor to allow for the Audit Plan 2024/25 to be achieved on time.</p>	<p>Financial Services: Another round of recruitment will commence during August for two roles within the team.</p> <p>Revenues Team: The Agency workers will continue to help with the backlog of work caused by system issues which have now been resolved. The backlog is estimated to take between 3 - 4 months to clear.</p> <p>Corporate Assurance: External spend will continue to be monitored and reviewed</p>
		115	Pressure	Expenditure	General Financial Services	External Audit Fees	The contract price of external audit fees was confirmed after the budget was set.	Impact on 2024/25 budget which was set prior to the announcement of the contract values.	Limited action as the fees are set nationally. Include as part of the 2025/26 budget setting process
Communities and Homes, Regulation and Safety	(81)	(105)	Saving	Expenditure	Regulation & Safety Portfolio	Salaries and Wages	<p>Bereavement Services: There is a vacant Bereavement Services Team Leader</p> <p>Safety and Resilience: There are 2 Safety and Resilience Officer posts currently vacant.</p> <p>Licensing: There are 2 vacant posts with the service. They are a Trainee Licensing Officer and an Enforcement Support Officer.</p>	<p>Bereavement Services: To reduce their gas bill, the service are planning on running two shifts per day. That means they will only have to start one cremator - normally two are switched on during the day to cope with the day's requirements. The cost of running a cremator is primarily the startup costs, once they are at the optimum temperature, they use less gas. Once the Bereavement Services Team Leader has been recruited to, the new shift pattern can start and the service should start to see a reduced gas bill.</p> <p>Safety and Resilience: With two vacant safety and resilience officers, services across the Council are not being exposed to the Safety and Resilience team as they should be.</p> <p>Licensing: Until the Enforcement Support Officer is recruited to, there will be a reliance on the Community Wardens to attend and repair broken machines within our car parks. With their primary focus being community work, it does cause a time lag in getting the machines back up and running.</p>	<p>Bereavement Services: Recruitment has been successful and employee will start September.</p> <p>Safety and Resilience: The posts have both been recruited to with the new employees due to start in August.</p> <p>Licensing: Vacancy estimated to be filled by the start of Quarter 4 once the job description has been reassessed.</p>
Growth and Investment, Digital and Communications	(126)	(100)	Saving	Salaries	Digital and Communications Portfolio	Salaries and Agency Costs	<p>Communications: There is a vacant Marketing Officer.</p> <p>ICT Services: There are 3 vacancies within the services. They are a GIS Specialist, a Senior ICT Officer and a Senior Business Analyst.</p> <p>Customer Services: There are 4 vacant posts within the service. They are a Team Leader, Customer Services Coach, Customer Experience Lead and an apprentice.</p> <p>Apprenticeship Scheme: There is a vacant corporate apprentice post.</p>	<p>Communications: With the vacant post, there is a pressure on the service.</p> <p>ICT Services: Agency workers have been used to cover the vacancies due to the nature of the service.</p> <p>Customer Services: These posts are likely to still be vacant for Quarter 2 whilst the posts are advertised. This is causing pressure on the service with a reduced workforce.</p> <p>Apprenticeship Scheme: There are no impacts on the service to this post being vacant. It has been decided that the corporate apprentice could be moved across to the Grounds Maintenance team.</p>	<p>Communications: If recruitment is successful, the post is estimated to be filled by October.</p> <p>ICT Services: These posts are being advertised through a specialist agency which will incur a recruitment fee with a the posts estimated to be recruitment by December, assuming new recruits notice period.</p> <p>Customer Services: The vacancies are yet to be advertised and there has been a redistribution of hours due to an employee retiring. Internal advertisement has also been considered to offer promotion opportunities.</p> <p>Apprenticeship Scheme: The Grounds Maintenance are reaching out to colleges with the aim of recruiting an apprentice.</p>
Operations and Traded Services	397	223	Pressure	Other Running Expenses/Income	Domestic Waste Collection	External Contractor & Operator	<p>Sherbourne Recycling: £174,000 pressure due to less than expected income received for recycling materials and high gate fees.</p> <p>Bulk Freight: £96,000 pressure due to increased haulage costs for materials from the waste depot in Rugby to the end destinations such as Sherbourne or energy from waste plant.</p> <p>The pressure is offset from the income reimbursed by Warwickshire County Council for Recycling.</p>	<p>Sherbourne Recycling: Recycling materials not selling at the predicted costs, meaning that the income is less than expected. Gate fees are also higher than budgeted for.</p> <p>Bulk Freight: Waste collection crews not currently direct delivering enough loads.</p>	<p>Sherbourne Recycling: Working with Sherbourne and partner authorities to understand why there is a reduction in income and what action needs to be taken.</p> <p>Bulk Freight: More teams to direct deliver to end destinations to reduce the cost of haulage. Potential budget increase for 25/26.</p>
		280	Pressure	Expenditure	Operations & Traded Portfolio	Salaries & Wages	The high levels of staff sickness, absence and vacancies have necessitated the need to turn to the agency market to ensure that the service continues to operate. There is also a need to use agency staff to cover holiday periods.	The service will continue to overspend on agency until staff sickness and absence levels are reduced.	The service is working with HR to help manage sickness and absence levels as well as exploring initiatives to deliver efficiencies across working practices.
PORTFOLIO	Q1 Variance to Budget	Variances to budget	Pressure/(Saving)	Expenditure Type	Service Area	Description	Root Cause Analysis - When you have found a material variance you must first determine the root cause of the variance.	Impact - Next, quantify the impact. This involves not only understanding the impact to the current month; also if no changes are made, what the go-forward impact to the business is for both favourable and unfavourable budget variances.	Action - The final part of any analysis should include an action for the business. What can be put in place to mitigate the impact.
Organisational Change	(78)	(64)	Saving	Expenditure	Transformation Change Unit	Salaries & Wages	There is a vacant Programme Lead within the service. There is a Project Officer post which is filled on a part time basis however, the budget is set as 1 FTE.	The impact on the service is that work is having to be managed within the current establishment until the vacancy is filled.	Advert for the vacant post will be out shortly. This will be on an internal basis to start with to allow for promotion opportunities. If successful, the post is predicted to be filled by September.
Corporate Items	(293)	(293)	Saving	Income		Net cost of Borrowing	The pressures on General Fund services are being alleviated by a saving in the net cost of borrowing. Interest rates were budgeted at a prudent and responsible level. With the Bank of England continuing to keep rates at an elevated level the Council has continued to see a benefit during the first quarter of this year	This benefit can not be relied upon in future periods as the expectation remains that at some point interest rates will begin to fall.	Keep under review

8) Capital variance narrative

PORTFOLIO	Q1 variance	Scheme	Current Budget £000	Expenditure plus commitments £000	Current Forecast £000	Pending Reprofitting Requests £000	Variance £000	Narrative
Finance, Performance, Legal & Governance	0	Income Management System	30	0	30	0	0	The scheme was created because the Council needs to migrate the payment card system over to an upgraded cloud based version to avoid the current system becoming non-compliant with regulations.
			30	0	30	0	0	
Communities and Homes, Regulation and Safety	0	Lawrence Sheriff Almshouses	78	49	50	(28)	0	The final instalment of the grant is not scheduled to be paid until 2025/26
		Corporate Property Enhancements	157	10	157	0	0	This scheme was created to provide funds for enhancement works to take place across all corporate buildings.
		Housing Acquisition Fund	294	0	294	0	0	This scheme is used to purchase properties to add to our Housing Stock.
		Great Central Walk Bridge	371	16	371	0	0	This scheme was created for the refurbishment of bridges on the old railway line.
		Disabled Facilities Grant	768	0	768	0	0	This grant will be passed on in full to the third party responsible for allocating out the funding.
		Rainsbrook Cemetery preparation	2,492	1,911	2,492	0	0	This scheme was created to create a cemetery area at Rainsbrook Crematorium.
		Memorial Safety	60	1	60	0	0	This scheme is on the capital programme to allow for Headstone refurbishments to take place in Cemeteries to make them safe.
		Safer Streets	68	(11)	68	0	This scheme has been created for the purchase of additional CCTV cameras and upgrades around the Rugby area and improved lighting around St Andrews Church and Trinity Graveyard. The scheme is funded through the Safer Street 4 initiative and a joint application with Warwickshire County Council and the Police and Crime Commissioner was successfully approved in 2022/23.	
			4,288	1,977	4,260	(28)	0	
Growth and Investment, Digital and Communications	(15)	UKSPF Capital- Business and Community Hub	200	0	200	0	0	This scheme has been created to provide a physical and virtual space where local businesses, residents and delivery partners can come together.
		ICT Renewal Programme	114	15	114	0	0	This scheme is the annual ICT renewal programme for the replacement of client devices e.g. Laptops.
		ICT refresh programme - Infrastructure	50	(1)	50	0	0	This scheme is the annual ICT renewal programme for the replacement of physical and virtual services, firewalls, backup and business continuity systems.
		ICT refresh programme - AV equipment	18	0	18	0	0	This scheme is the annual ICT renewal programme for the replacement of equipment within meeting rooms, the Council Chamber and other work spaces which require IT equipment e.g. Microsoft Teams devices.
		Digitalisation and Development Programme	58	1	58	0	0	This scheme was created to drive digitalisation across the organisation.
			440	21	440	0	0	
Operations and Traded Services	0	Street Furniture	42	0	42	0	0	This scheme was created to allow for an annual refresh of bins, benches, bus shelters and other items within our Borough.
		Purchase of Waste Bins	88	0	88	0	0	This scheme is for the acquisition of domestic refuse bins for new housing developments. This scheme is financed through S106 contributions and other developer income.
		Purchase of Vehicles	1,489	515	1,489	0	0	This scheme allows for the regular replacement of Vehicles and Equipment for front line services within the General Fund.
			1,619	515	1,619	0	0	
Partnerships and Wellbeing	15	Open Spaces Refurbishment - Safety Improvements	118	0	118	0	0	This scheme has been created to allow for health and safety reviews to be carried out at various Play Area sites.
		Park Connector Network	237	0	237	0	0	This scheme has been created to connect Parks in the Borough with footpaths throughout Rugby.
		New Bilton Recreation Ground Refurbishment	150	0	150	0	0	This scheme has been created to refurbish the Play Area located at New Bilton Recreation Ground.
		Open Spaces Refurbishment - Charwelton Drive	150	0	150	0	0	This scheme has been created to refurbish the Play Area located at Charwelton Drive.
		Alwyn Road Changing Rooms	425	10	40	(385)	0	This is in the design stage of the scheme. The main works will begin in approximately April 2025, so most of the budget will be reprofiled into 25/26
		Open spaces refurbishment - Bawnmore rd play area	150	0	150	0	0	This scheme has been created to refurbish the Play Area located at Bawnmore Road.
		Betony Road Play Area	93	0	93	0	0	This scheme has been created to refurbish the Play Area located at Betony Road.
		Cawston Green Gym	44	0	44	0	0	This scheme has been created to refurbish the Green Gym space at Cawston Green.
		Centenary Park Allotments Newbold	71	0	71	0	0	This scheme has been created to development an allotment site at Centenary Park in Newbold.
		Brindley Road/Lennon Close Play Areas and Hillmorton Recreation Ground	80	0	80	0	0	This scheme has been created to refurbish the play areas at the following locations; Brindley Road, Lennon Close and Hillmorton Recreation Ground.
		play equipment refurbishment and youth provision	50	0	50	0	0	This scheme has been created to refurbish equipment that can be funded from Section 106 monies.
		Swimming Pool Support Fund	185	0	185	0	0	This scheme has been created to pass the grant funding onto our swimming pool operators. The grant was awarded to support with capital improvements to the Leisure Centre, specifically the swimming pool area.
		UKSPF Capital - St. Andrew's Garden Improvements	36	27	36	0	0	This scheme will provide improvements to make the area more secure through landscaping works.
		UKSPF Capital - Newbold Quarry accessibility Improvements	51	56	51	0	0	This scheme will secure the public space which as a disused quarry has health and safety implications.
		UKSPF Capital - Caldecott Park Accessibility Improvements	18	1	18	0	0	This scheme will provide improvements including installing toddler play equipment and improved paths around flowerbeds.
UKSPF Capital - Albert Street Hoarding	13	13	13	0	0	The remaining artist works on the hoarding installed at the site are now complete.		
UKSPF Capital- Pytchley Road Path Improvements	21	0	21	0	0	Approval received in July 2024 for a Park Connector scheme project to improve accessibility from Great Central Walk to Pytchely Road Bridge.		
			1,893	108	1,508	(385)	0	
General Fund Total	0		8,270	2,621	7,857	(413)	0	

Appendix 2 - Housing Revenue Account (HRA) Dashboard - Quarter 1 2024/25

1) Revenue Summary

Service	Current Budget	Total Income/Expenditure	Forecast	Pending Supplementary Budget /Virement	Pending Reserve Movement Requests	Total Variance
	£000	£000	£000	£000	£000	£000
Rent income from dwellings	(18,342)	(3,767)	(18,318)	0	0	24
Rent income from land and buildings	(129)	(26)	(124)	0	0	5
Charges for services	(1,180)	(233)	(1,180)	0	0	0
Contributions towards expenditure	(155)	(29)	(170)	0	0	(15)
Total Income	(19,806)	(4,055)	(19,792)	0	0	14
Transfer to Housing Repairs Account	4,779	1,530	5,869	0	0	1,090
Supervision & Management	6,810	699	6,514	0	0	(296)
Rent, rates, taxes and other charges	125	228	140	0	0	15
Depreciation and impairment	3,324	0	3,324	0	0	0
Provision for bad or doubtful debts	66	0	66	0	0	0
Total Expenditure	15,104	2,457	15,913	0	0	809
HRA share of Corporate/Democratic Core Costs	318	0	318	0	0	0
Net cost of HRA services	(4,384)	(1,598)	(3,561)	0	0	823
Interest payable and similar charges	1,105	0	1,105	0	0	0
Interest and Investment Income	(1,115)	0	(1,115)	0	0	0
Net Operating expenditure	(4,394)	(1,598)	(3,571)	0	0	823
Contributions to (+) / from (-) reserves	49	0	49	0	0	0
Revenue Contributions to Capital Expenditure	4,345	0	3,522	0	0	(823)
(Surplus) / Deficit for the Year on HRA Services	0	(1,598)	0	0	0	0

2) Head Count- Vacancies (HRA)

Service	Budgeted FTE's 24/25	Actual FTE's at Q1	Vacant FTE's at Q1
Housing	48.41	36.00	(12.41)
Property Repairs Service	50.32	44.03	(6.29)
	98.73	80.03	(18.70)

3) Reserves & Balances

Name of reserve / balance	Balance as at 1/04/24	Forecast contribution (to)/from	Forecast balance as at 31/03/25	Forecast contribution (to)/from	Forecast balance as at 31/03/26	Forecast contribution (to)/from	Forecast balance as at 31/03/27
	£000	£000	£000	£000	£000	£000	£000
Housing Revenue Account Balances	(4,085)	0	(4,085)	0	(4,085)	0	(4,085)
HRA Capital Balances	(15,498)	132	(15,366)	(4,795)	(20,161)	(4,225)	(24,386)
HRA Major Repairs Reserve	(5,802)	756	(5,046)	(756)	(5,802)	(512)	(6,314)
Housing Repairs Account	(16)	16	0	0	0	0	0
HRA Climate Change Reserve	(1,512)	1,315	(197)	0	(197)	0	(197)
HRA - Transformation Reserve	(77)	(77)	(154)	0	(154)	0	(154)
Sheltered Housing Rent Reserve	(407)	(49)	(456)	(51)	(507)	(53)	(560)
Right to buy Capital Receipts	(12,040)	2,600	(9,440)	0	(9,440)	0	(9,440)
	(39,437)	4,693	(34,744)	(5,602)	(40,346)	(4,790)	(45,136)

5) Revenue variance narrative

Service	Q1 Variance £000	Item variances to budget	Pressure/(Saving)	Expenditure Type	Service Area	Description	Root Cause Analysis - When you have found a material variance you must first determine the root cause of the variance.	Impact - Next, quantify the impact. This involves not only understanding the impact to the current month; also if no changes are made, what the go-forward impact to the business is for both favourable and unfavourable budget variances.	Action - The final part of any analysis should include an action for the business. What can be put in place to mitigate the impact.
Housing Repairs Account	1,090	650	Pressure	Expenditure	Property Repairs Team	External Contractors	There is a large volume of unplanned works within the service, especially in relation to roofing. The Property Repairs team does not employ any roofers within the service, this is due in part to market conditions and the ability of the service to successfully recruit. As a result, roofing works is currently undertaken by a contractor. It is worth noting that if there were an internally employed roofing team to undertake the work, the costs would still be high as a large part of the cost relates to scaffolding where costs have increased across the sector, plus the scope of work required would also remain consistent. A further high contractor spend over the past twelve months was on fencing works, this can be attributed to the extreme weather events within the Borough. Given the volume of work reported by tenants, contractors were required to support the direct labour force in the delivery of these services.	This work will create a 2024/25 budget pressure.	Work is underway to determine if any of the current expenditure can be capitalised. Scaffold costs and labour costs in this industry continue to rise. A new contractor is being procured and will utilise the NATFED schedule of rates for quoted works. The service are bringing fencing jons back inhouse to reduce costs and a review of all open jobs is underway. Surveys to ensure that we meet our commitments to council requirements but no additional works to be carried out.
		263	Pressure	Income	Property Repairs Team	Contract Income - Internal	Due to the volume of internal works and pressure on the service to deliver in a timely manner, expansion of the service has not been possible	Pressure on this years income target	Income Target to be reviewed during 2024/25
Supervision & Management	(296)		Saving	Expenditure	HRA	Salaries	There are vacancies within Supervision and Management that have been difficult to recruit to or where recruitment activity has been paused.		The service is currently reviewing different options with the intention of readvertising certain roles imminently.

4) Capital Summary

Service	Current Budget £000	Total Expenditure £000	Forecast £000	Pending Supplementary Budget/ Virement/ Reprofiling £000	Total Variance £000	Narrative
Biart Place - Construction	9,455	1,652	13,226	3,375	396	The value for construction works is higher than originally budgeted, largely due to inflation in the period between the budget being approved and the final contract being signed. There is also a pressure arising from onsite change events, submitted by the main contractor under the terms of the NEC3 contract. As construction is getting out of the ground then the risk profile of these events occurring is diminishing as this is the phase of the project where the abnormal and unknown events tend to materialise. £3.375m budget reprofiling required to realign budgets based on the current programme.
Biart Place- Design	221	18	26	0	(195)	With the design of the scheme complete and the successful novation of the architects and civil / structural engineers to the main contractor, future costs associated with design are included in the construction budget. This saving has occurred as when the budget was approved it included the option of RBC retaining the design team for the whole scheme rather than them being novated to the main contractor.
Housing Management System	82	31	82	0	0	
Fire Risk Prevention Works	100	3	100	0	0	Expected to spend all budgets - around 50% actually committed
Rewiring	160	44	160	0	0	Expected to spend all of budget spend currently on track
Lifeline Renewal Programme	46	13	60	0	14	
Finlock Gutter Improvements	100	8	100	0	0	
Rebuilding Retaining Walls	102	5	102	0	0	
Replacement Footpaths	119	(14)	119	0	0	
Driveways	40	(14)	40	0	0	
Fire Risk Prevention works voids	70	24	90	0	20	Virement required between Fire Risk work schemes
Rewiring Unplanned Renewals	100	0	100	0	0	Currently expected to budget.
Fire Risk Unplanned Renewals	60	0	40	0	(20)	Virement required between Fire Risk work schemes
Roofing unplanned renewals	62	0	62	0	0	
Lesley Souter house new boiler and building management system	68	74	74	0	6	
Disabled Adaptations	250	51	250	0	0	Budget currently on track to spend
Kitchen Modifications	859	234	859	0	0	Expected to spend all budgets - around 75% already allocated
Kitchen Modifications Voids	200	15	65	0	(135)	Virement required between Kitchen schemes
Kitchens non voids	52	47	185	0	133	Virement required between Kitchen schemes
Heating Upgrades	60	17	60	0	0	Expected to spend budget - scheme currently on track
Bathroom Modifications	358	36	358	0	0	
Bathroom Modifications - voids	100	19	100	0	0	
Bathrooms non voids	50	(0)	50	0	0	
Carbon Management Plan (HRA)	1,315	547	1,309	0	(6)	Full budget to be spent but will review at Q2
Purchase of Council Houses	7,450	2,138	4,000	(3,450)	0	Following a review of market conditions and specific client requirements it is unlikely that the full £7.450m will be utilised in this financial year.
Rugby Gateway - Cala Homes	0	(3)	0	0	0	
Rounds Gardens Capital	0	1	0	0	0	
Rounds Gardens demolition	522	46	115	0	(407)	Demolition works are completed; final account yet to be agreed. Concrete barriers installed on site. Site is secured, with access only for maintenance vehicles. Low level fencing is in place. Circa £400k saving against original budget
Rounds Gardens- Design and Legal Fees	1,381	0	381	(1,000)	0	£1m to be reprofiled to 25/26- initial design works started in July to be followed by more detailed design. Awaiting further outputs from design before next stage (detailed design) and further contractual commitment.
Property Repairs Team Vehicle	86	0	86	0	0	
Overall Total	23,468	4,992	22,200	(1,075)	(193)	

AGENDA MANAGEMENT SHEET

Report Title: Initial Review of General Fund Budget 2025/26

Name of Committee: Cabinet

Date of Meeting: 16 September 2024

Report Director: Chief Officer - Finance and Performance

Portfolio: Finance, Performance, Legal and Governance

Ward Relevance: All

Prior Consultation: None

Contact Officer: Paul Conway
Finance Manager and Deputy S151 Officer
paul.conway@rugby.gov.uk

Public or Private: Public

Report Subject to Call-In: No

Report En-Bloc: No

Forward Plan: Yes

Corporate Priorities: This report relates to the following priority(ies):
 Rugby is an environmentally sustainable place, where we work together to reduce and mitigate the effects of climate change. (C)
 Rugby has a diverse and resilient economy that benefits and enables opportunities for all residents. (E)
 Residents live healthy, independent lives, with the most vulnerable protected. (HC)
 Rugby Borough Council is a responsible, effective and efficient organisation. (O)
Corporate Strategy 2021-2024
 This report does not specifically relate to any Council priorities but

Summary: The purpose of this report is to provide an initial overview of the Council's financial outlook for 2025/26 and the following four years taking into consideration the risks and challenges faced by the Council, alongside the approach that will be taken over the coming months to ensure a balanced

budget be reported to Full Council in February 2025.

Financial Implications: None as a direct result of this report.

Risk Management/Health and Safety Implications: None as a direct result of this report.

Environmental Implications: There are no environmental implications arising from this report. It may be necessary later in the budget process to carry out a Climate change impact assessment for the options arising.

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

Equality and Diversity: There are no Equality and Diversity implications arising from this report. It may be necessary later in the budget process to carry out Equality Impact Assessments of the implications of any service changes.

Options: There are no options arising from this report.

Recommendation: The information on the budget setting process for 2025/26 be noted.

Reasons for Recommendation: This initial overview of the Council's General Fund revenue budget is for consideration by Cabinet as part of the budget setting process and to ensure its affordability and contribution to the Council's ambition to deliver a balanced medium term financial plan.

Cabinet - 16 September 2024

Initial Review of General Fund Budget 2024/25

Public Report of the Chief Officer - Finance and Performance

Recommendation

The information on the budget setting process for 2025/26 be noted.

1. EXECUTIVE SUMMARY

- 1.1. The budget for 2024/25 and the associated Medium Term Financial Plan (MTFP) was approved on 21 February 2024. Following this there has been a change in political leadership at the Council, this will mean that there will be a change in the Corporate Strategy and strategic direction. This impact of this will feature in future reports.
- 1.2. This is the first 2025/26 General Fund budget setting report and the purpose of this report is to provide:
 - An initial overview of the economic climate, taking into consideration the risks.
 - An update on the latest developments from Ministry Housing and Local Government (MHCLG) which will have an impact on the budget setting process.
 - An update on the current Medium Term Financial Plan risks faced and estimated impact on level of reserves.
 - The strategic timeline for delivering a balanced budget for 2025/26.
- 1.3. The Draft Budget will be considered by Cabinet on 20 January 2025 in preparation for the Final Budget and Medium-Term Financial Strategy (MTFS) which will be presented to Cabinet and Council during February 2025.
- 1.4. The process for setting the Housing Revenue Account (HRA) budgets incorporating Council House Rents is subject to a separate timetable. A draft HRA Medium Term Financial Plan will be considered by Cabinet on 20 January 2025.
- 1.5. Throughout the report there is reference to data as at 30 June 2024, at the time of publication, this is the latest information available and through budget monitoring reports and future budget setting reports and presentations, updates will be provided. The MTFP references are to the approved document as per Council on 22 February 2024.

- 1.6. Based on the existing MTFP and known changes since the budget was approved in February the Council has a savings target of £5.173m to achieve for the financial year 2025/26, rising throughout the period of the MTFP as shown in the table below:

	2025/26	2026/27	2027/28	2028/29
	£000s	£000s	£000s	£000s
Cumulative Savings target/transformation to be achieved as per the approved 2024/25 MTFP	4,992	5,119	5,361	5,403
Decisions made during 2024/25 that have an impact on the future MTFP	7	7	7	7
Technical Adjustments	174	174	174	174
Cumulative Savings target/transformation	5,173	5,300	5,542	5,584
In year savings target	5,173	127	242	42

- 1.7. Dealing with the full pressure in 2025/26 will have a knock-on effect on the remainder of the MTFP and will reduce the savings required each year to balance the budget. Conversely one-off savings or temporary use of reserves will increase the target for future years.
- 1.8. The information in the MTFP and the associated pressure is based on a worst-case scenario, which assumes that the planned Fair Funding Review for Local Government and the reset of the Business Rates system will take place in 2025/26. Following the general election in July and the change of national government, current plans could change which may result in further deferrals meaning that the Council will be able to continue transferring business rates growth to the business rates equalisation reserve (currently £7.573m based on 2024/25 estimates) for a longer period.
- 1.9. The approved MTFP assumes that a number of grants will cease to exist from 2025/26, these identified in the table below. The continuation of the schemes would provide a £2.293m contribution to the savings required to be delivered a balanced budget for 2025/26.

	£000s
New Homes Bonus – grant based on the number of homes developed in the borough in the preceding year	732
Funding Guarantee grant – ensuring that core spending power had a 4% increase between 2023/24 and 2024/25	1,561
Total grants removed from 2025/26 MTFP	2,293

- 1.10. Through the work of the Budget Working Group, Officers and Cabinet have begun the process of understanding the issues and the options for delivering a balanced budget. This will involve consultation with all political groups with the first sessions scheduled to take place during September and throughout the process to the approval of the budget in February 2025.

2. Background

2.1. The 2024-2028 MTFFS was approved by Council at its meeting on 21 February 2024. The detailed papers can be found using the link below.

[2024-02-21 - council - Rugby Borough Council](#)

2.2. Throughout the process there will be opportunities for all members to:

- receive training;
- engage in consultation on options for reducing costs and increasing income; and
- explore strategies for efficient delivery of services.

2.3. Throughout the process Officers will be using PIXEL Financial Management and Link Asset Management, the Council's funding and treasury management advisors, to support future modelling different scenarios to council tax over the MTFP period.

3. Economic Outlook – National Picture

3.1. The Consumer Prices Index (CPI) rose by 2.2% in the 12 months to July 2024, up from 2.0% in June 2024, but well below its recent peak of 11.1% in October 2022. This twelve-month CPI inflation was at the Bank of England's 2% target in May and June.

3.2. GDP has picked up quite sharply so far in 2024, but underlying momentum appears weaker. CPI inflation is expected to increase to around 2.74% in the second half of this year as declines in energy prices last year fall out of the annual comparison, revealing more clearly the prevailing persistence of domestic inflationary pressures. Core CPI (excluding energy, food, alcohol and tobacco) rose by 3.3% in the 12 months to July 2024, down from 3.5% in June. However, inflation is expected to stabilise at around 2% over the next two to three years.

3.3. The bank of England base rate started 2024/25 at 5.25% a level it had held since August 2023. The interest rate reduction predicted for 2024 has been slow to materialise with rates remaining stable through both Q1 and Q2. The Bank of England made the first cut in in base rate in July reducing it by 0.25%. Rates are predicted to be cut again in Q3 followed by a gradual reduction through to 2025.

Interest Rate Forecasts								
Bank Rate	Sep-24	Dec-24	Mar-25	Jun-25	Sep-25	Dec-25	Mar-26	Jun-26
Link	5.00%	4.50%	4.00%	3.50%	3.25%	3.25%	3.25%	3.25%
Cap Econ	5.00%	4.50%	4.00%	3.50%	3.00%	3.00%	3.00%	3.00%
5Y PWLB RATE								
Link	4.70%	4.50%	4.30%	4.10%	4.00%	3.90%	3.90%	3.90%
Cap Econ	4.40%	4.20%	4.10%	4.00%	4.00%	3.90%	3.80%	3.80%
10Y PWLB RATE								
Link	4.80%	4.60%	4.40%	4.30%	4.10%	4.10%	4.10%	4.00%
Cap Econ	4.60%	4.30%	4.30%	4.20%	4.10%	4.10%	4.00%	3.90%
25Y PWLB RATE								
Link	5.20%	5.00%	4.80%	4.70%	4.50%	4.50%	4.40%	4.40%
Cap Econ	5.10%	4.60%	4.50%	4.40%	4.40%	4.30%	4.20%	4.10%
50Y PWLB RATE								
Link	5.00%	4.80%	4.60%	4.50%	4.30%	4.30%	4.20%	4.20%
Cap Econ	4.80%	4.60%	4.60%	4.50%	4.40%	4.30%	4.30%	4.20%

- 3.4. It is expected that the UK four-quarter GDP growth will fall back a little next year but then increase again over the remainder of the forecast period, to around 1.75%

4. Local Context

- 4.1. Within the existing Corporate Strategy there are several core principles that also underline the MTFS as follows:

- Set robust, comprehensive, and achievable budgets, exploring all avenues of income to meet our financial targets.
- Undertake commercial activities in the open market, where it is sustainable and responsible to do so.
- Maintain robust systems of governance that ensure fairness, accountability, and transparency.
- Quality services that demonstrate value for money.

- 4.2. Rugby Borough Council has a strong track record of delivering savings and managing its resources effectively in order to maintain a balanced MTFP. The MTFS will complement the new Corporate Strategy by defining the financial framework within which these priorities will be delivered. It outlines the factors which are expected to drive future costs and sets out the funding projections and our strategy for addressing the transformation/savings targets across the period of the strategy.

- 4.3. Following a process review the MTFP will be undergoing some developments for this round of budget setting, up to 2023/24 the MTFP spanned a four-year period, this was increased to five years for 2024/25. This will be increased to 10 years for the budget setting process for 2025/26 and beyond. Although initially years five onwards may not be as robust as preferred, in extending the life of the plan officers will gain valuable insight into the impact of long-term decision making by both the Councillors of this organisation as well Central Government Policy.

- 4.4. In addition to this, the new administration will be undertaking a financial resilience review of the organisation in collaboration with CIPFA and the Local Government Association and the results of this will be incorporated into future reports.

5. Funding the Council

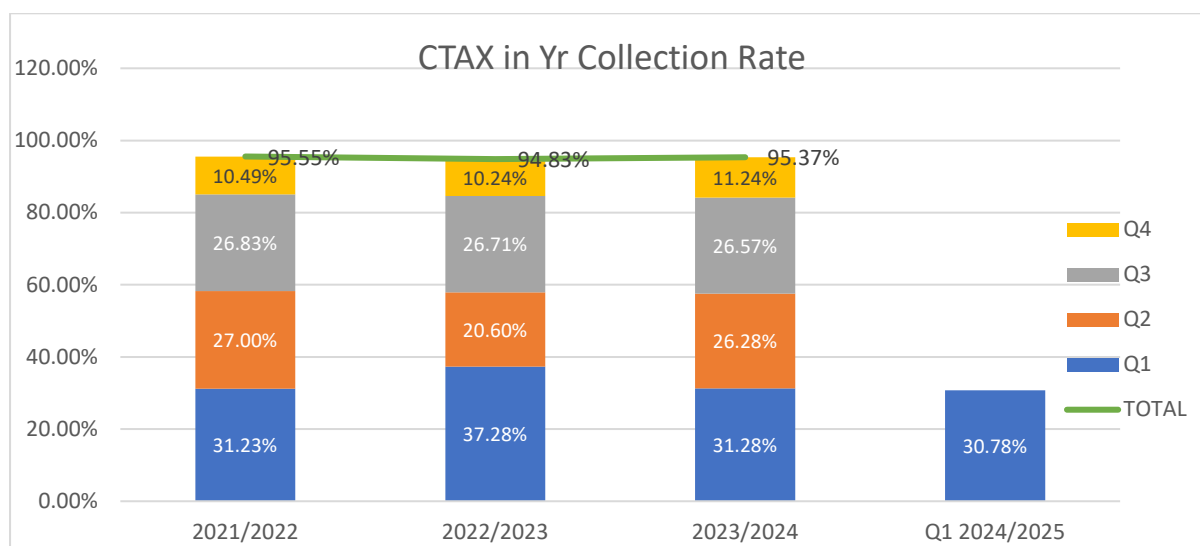
- 5.1. Corporate funding streams that support the General Fund budget are:

- Council Tax
- Retained Business Rates
- Grants

In addition to this the council can generate income through fees and charges Details on these streams can be found within the MTFS.

Council Tax

- 5.2. The general fund budget is set using an estimate of the number of properties that will pay Council tax after considering factors such as discounts and residents in receipt of Council Tax Relief. The current MTFP assumes an estimated Council tax base of 41,570.66 in 2025/26, an increase of 594.75 from 2024/25.
- 5.3. As of 30 June 2024, the Council tax-base is 40,436.45 (99% of the budgeted value for the year of 40,975.91). The tax-base will continue to be monitored as there is still uncertainty around the impact of the current economic climate on council tax collectability, number of support cases and future growth.
- 5.4. Council tax collection rates had seen challenges in recent years. During the pandemic the organisation did not carry out any recovery action for non-payment whilst other priorities were carried out by the organisation. Enforcement was implemented at pre-pandemic levels from 1 April 2023. As a result of this the 2023/24 collection rate was 95.4%.
- 5.5. The table below shows the performance in graphical terms.



- 5.6. The number of Local Council Tax Support cases is relatively stable over the previous three years. On 30 June 2024 there were 3,116 working age and 2,446 pension age council tax support claimants. This is a small increase on the previous financial year. Any increase in council tax support cases reduces the tax-base and the amount of council tax income collectable, which will increase the pressure on the delivery of a balanced budget.

Business Rates

- 5.7. Business Rates income targets are based on the NNDR1 form that is submitted to Government on 31 January each year. The estimated income is shared between Central Government (50%), Rugby Borough Council (40%) and Warwickshire County Council (10%).
- 5.8. It was confirmed in the 2023 Local Government Finance Settlement that the Business Rates reset will not take place until 2025/26 at the earliest, giving

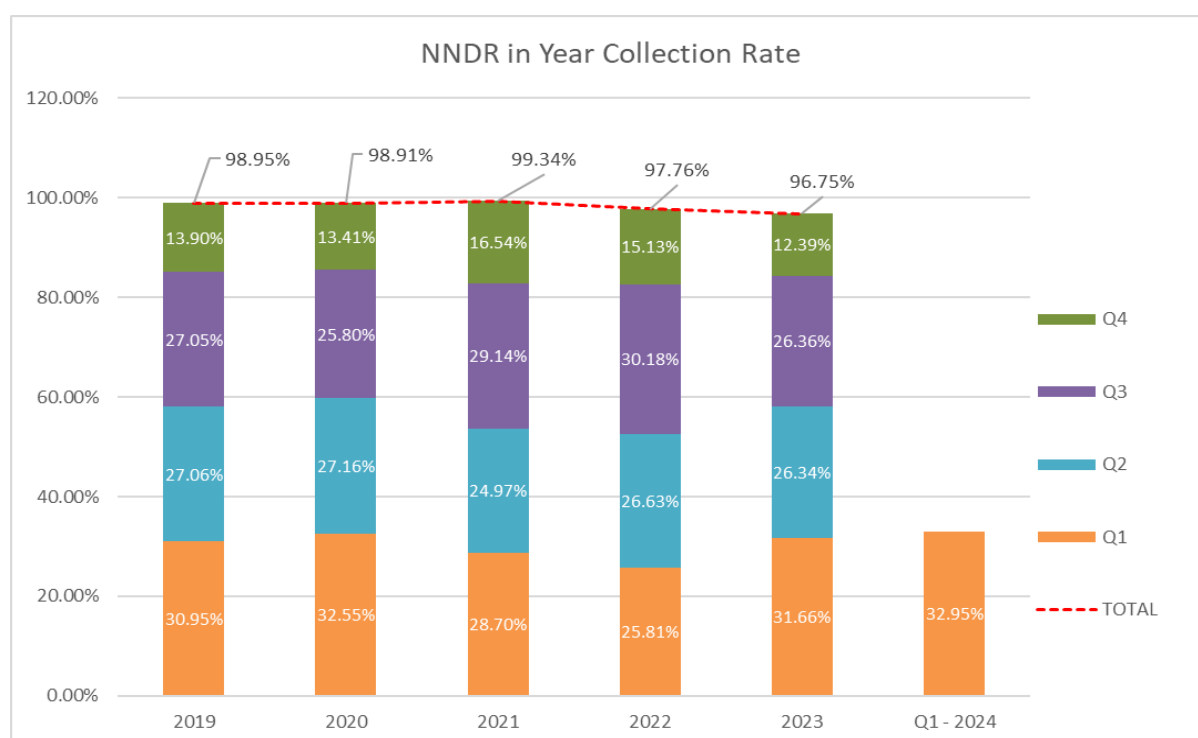
the Council the time to plan for the impact of any changes and the windfall of the increased balance in the business rates equalisation reserve. Through understanding the new Governments approach to this review, the MTFP will be realigned accordingly. Any delay in the reset will result in the Council retaining in the region of £7.573m in growth based on the forecasts for the current year. As per the current MTFs this growth is being contributed to the business rates equalisation reserve and is not being used to fund core services.

5.9. In recent years, the business rates growth has been used to create reserves to support the delivery of the previous Corporate Strategy. (forecast balances at 31 March 2024 shown in brackets)

- Transformation – (£1.417m)
- Climate change – (£1.000m)
- Town centre strategy – (£4.810m)

The costs funded from these reserves have all been able to be delivered without adding pressure to the general fund revenue budget.

5.10. The chart below shows NDR collection since 2019. The average in year collection rate for the last 3 years was 97.95%.



Grants

5.11. The table below identifies the assumed government grants for 2025/26 compared to the current year. At the point of publication, there has been no announcement that this funding will continue into future years. However, if the grants are extended this will have a significant impact on the amount of savings required to balance the budget for 2025/26.

Grant	2024/25 allocated £000s	2025/26 Assumed £000s	Movement £000s
New Homes Bonus	(732)	0	732
Funding Guarantee	(1,561)	0	1,561
Housing Benefit Administration Subsidy	(234)	(211)	23
Revenue Support Grant	(112)	(119)	(7)
Total	(2,639)	(330)	2,309

Fees and charges

- 5.12. It is important that fees and charges are set at an appropriate level to ensure cost recovery to the Council. In 2024/25 the budget for fees and charges was set at £7.265m. The proposed schedule of fees and charges for 2025/26 will form part of the agenda for Council Tax setting in February 2025.
- 5.13. The MTFs outlines that all council set fees and charges will be increased in line with the CPI in September of the preceding year. The CPI calculates the average price increase as a percentage for a basket of 700 different goods and services. This resulted in a 6.7% increase for 2024/25.
- 5.14. Although there is sensitivity around the impact on residents of these increases, linking back to the organisation's commercialisation pillars, council taxpayers paying subsidies for chargeable and often discretionary services is not desirable. With CPI in July being 2.2%, it would be anticipated that the rate of increase will be lower for the 2025/26 financial year.

6. Budget Planning

- 6.1. Following the pattern of previous years, the MTFP assumes a worst-case scenario in that reform takes place from 2025/26 and that all accumulated business rates growth is lost, and the relative needs and resources review does not generate any benefit for the Council. However, it is expected reform would have some form of transitional arrangements which will lessen the initial impact. Modelling of such events will take place as part of the process.
- 6.2. Since setting the budget there has been several areas which will have an impact on the budget setting process and the MTFP which are not currently included.

Extended Producer Responsibility

- 6.3. In the December 2022, the [Local Government Policy Statement 2023/24 to 2024/25](#) central government identified that

“2024/25 brings with it a significant new funding stream, subject to successful delivery of the Extended Producer Responsibility for packaging (pEPR) scheme as soon as is feasible within this financial year; local authorities can expect to receive additional income from the scheme whilst being asked to submit data relevant to their waste collection services. Alongside His Majesty’s Treasury and the Department for Environment, Food and Rural Affairs, we will be assessing the impact of additional pEPR income on the

relative needs and resources of individual local authorities in the coming year.”

- 6.4. The potential knock-on effect this new income stream may have on the Settlement Funding Assessment (SFA) or within Core Spending Power (CSP), for example adjustment to Funding Guarantee Grant, is unknown. Councils are expected to be notified of their allocated amounts by the end of the 2024/25 financial year, with payments commencing in 2025. The potential benefit to the Council is yet to be established, however this will be fed into the budget setting process for the 2025/26 financial year following the release of the appropriate data to make informed strategic decisions.

Food Waste

- 6.5. Following recent government legislation, all local authorities must implement weekly food waste collections by 1 April 2026. To prepare for this transition, the organisation has appointed a food waste project manager, and a dedicated project group is actively working on this initiative. This autumn, a report will be presented to the Cabinet and Council outlining the various options for implementing the food waste collections, along with the expected capital and revenue implications.
- 6.6. The Department for Environment, Food and Rural Affairs (DEFRA) has announced that funding will be available for capital, transitional and revenue needs. While the amount of revenue funding for the organisation has yet to be confirmed, payments are not expected to be received until 1 April 2026. Capital funding has been received; however, it is expected to fall significantly short of the actual capital costs required. The Chief Officer for Operations and Traded Services has actively campaigned for additional funding and will continue these efforts. Nonetheless, any funding shortfall will need to be covered in future budget setting rounds. Further details will be provided in the upcoming report.

Pay Award 2024/25

- 6.7. The local government pay award is set nationally and at the time of approving the 2024/25 budget the negotiations had not concluded. Based on knowledge available at the time an inflationary increase of 4% was built into the 2024/25 budget. Subsequent negotiations have indicated that the offer for staff up to grade K could have an increase of £1,290 which is an average of 3.91% across the pay bands and would require an additional £0.030m to balance the salary budgets for the new year.

Borough Housing Growth

- 6.8. The boroughs is one of the fastest growing in the West Midlands, this has an impact on the tax base and the income generated through Council Tax. The other consequence of this is that demand on services will eventually increase to the point where additional services are required and the increase in income (currently 2.99% per band D with a value of £217.14 per year) does not cover the cost of items such as an additional refuse collection round. Officers will be

completing scenario planning, and this may involve additional growth items being included in the draft budget.

Autumn Statement

- 6.9. On 30 October 2024, Chancellor of the Exchequer will deliver the Autumn Budget, accompanied by a full fiscal statement from the Office of Budget Responsibility (OBR).
- 6.10. Having been elected on a platform of boosting economic stability and growth, the new government has assessed the state of public spending and reported a spending gap in the nation's finances. On the back of an ambitious King's Speech, the first Budget of the new government will seek to announce initiatives for growth, alongside activation of plans to balance the books, across the spectrum of personal and business taxes, as well as employment policy.
- 6.11. Following this, the provisional Local Government Funding Settlement outlining the specifics for the sector will be announced during December which will provide a basis for the final budget which will be presented to Cabinet in February. Announcements which would be welcomed include.
- Flexibility for Council tax increases greater of 2.99% or £5
 - Extension of New homes bonus
 - Funding Guarantee grant to continue.
 - Extended Producer responsibility
 - Multiyear funding settlement
 - Clarity on funding reform (Business rates reset and fair funding)

7. Latest General Fund Revenue Position

- 7.1. Officers have been working closely with Management Team and the Leadership Team to understand the risks and actions to be taken to ensure a balanced budget across the MTFP. The table below summarises the approved MTFP presented to Council in February 2024 but includes decisions made by Cabinet/Council in the new municipal year as well as assumptions based on the latest intelligence. The reported position in the MTFS is as follows:

	2024/25	2025/26	2026/27	2027/28	2028/29
	£000s	£000s	£000s	£000s	£000s
Base budget	20,365	21,753	19,577	20,678	21,245
Growth	3,025	124	606	567	600
Financial Management Adjustments	1,738	(4,453)	512		
Permanent Savings	(1,390)	(148)			
Temporary Savings	(1,643)	1,943			
Corporate Items	(349)	184	(17)		

Decisions made during 2024/25 (see table below) *	7				
Technical Adjustments		174			
Total base budget	21,753	19,577	20,678	21,245	21,845
Business rates**	(9,074)	(3,630)	(4,168)	(4,037)	(4,097)
Council Tax	(10,024)	(10,436)	(10,891)	(11,363)	(11,851)
Government grants	(2,648)	(338)	(319)	(303)	(313)
Total financing	(21,746)	(14,404)	(15,378)	(15,703)	(16,261)
Saving/Transformation Target	7	5,173	5,300	5,542	5,584
Use of reserve – assumed no savings delivered	(7)	(5,173)	(5,300)	(5,542)	(5,584)

*Below is a table highlighting the decisions taken by Cabinet and Council in the current municipal year.

** please note that the 2025/26 business rates assume a reset of the system takes place and the income received from the council will have reduced £7M from the previous year

	2045/25 £000s	Type
Maintenance costs for new car park machines	7	Permanent

7.2. Below is a summary of the impact of using the business rates equalisation reserve to balance the budget across the life of the MTFP.

	2025/26	2026/27	2027/28	2028/29
Impact of using Business rates equalisation reserve to fund budget shortfall	£000s	£000s	£000s	£000s
Opening balance	(21,913)	(17,370)	(13,238)	(9,079)
Forecast Reserve Movement as per MTFP	(630)	(1,168)	(1,383)	(1,462)
Use of reserve to balance MTFP budget shortfall	5,173	5,300	5,542	5,584
Remaining balance of BRER	(17,370)	(13,238)	(9,079)	(4,957)

7.3. The table demonstrates that there are sufficient balances in the business rates equalisation reserve to deal with the annual budget pressure across the MTFP. However, taking this approach to setting the budget significantly impacts on the reserve balances held by the council to deliver its strategic aspirations and exposes the council to not being able to deal with the potential risks facing it.

8. Risk Assessment

8.1. A risk assessment is maintained for the corporate reserves established to respond and manage financial risks in the medium term it also includes the forecast contributions to and from the reserves as identified in the MTFP. The assessment is reviewed and updated throughout the financial year with updates to Members provided periodically. The assessment is not a forecast,

but an identification of the potential risks facing the Council and the financial impact of this.

- 8.2. The Corporate and General Fund reserves considered in this analysis are the General Fund balance, the Budget Stability reserve, and the Business Rates Equalisation reserve.
- 8.3. The risk assessment is designed to incorporate all potential negative outcomes and includes items such as loss of business rates growth, a borough emergency and not delivering in year savings targets (set at 30% per year cumulative). The assessment is RAG rated identifying that some risks are more likely to occur than others. It is not expected that all risks will materialise, and throughout the review process, values, risks and RAG ratings will vary.
- 8.4. Achieving a balanced budget each year will free up reserves, however it also means that failure to achieve a balanced budget will reduce the flexibility that the council has, to manage the impact of the potential risks.
- 8.5. The table below shows the impact on the business rates equalisation reserve if all risks materialise, and the reserve is also used to balance the budget over the life of the MTFP

	2025/26	2026/27	2027/28	2028/29
Impact of using Business rates equalisation reserve to fund budget shortfall	£000s	£000s	£000s	£000s
Balance carried forward	(21,913)	(14,384)	(6,630)	1,817
Reserve Movement	(630)	(1,168)	(1,383)	(1,462)
Budget shortfall as per current projections and no savings generated	5,173	5,300	5,542	5,584
Non achievement of savings already included in assessment	2,986	3,622	4,288	4,148
Remaining balance of BRER	(17,693)	(6,630)	1,817	10,087

9. Capital Programme

- 9.1. The capital programme for Rugby Borough Council consists of schemes and projects that already have members' approval, and these include a range of continuation programmes that occur on an annual basis. The continuation programme budgets were included in the approved Capital Strategy included in the Council Meeting on 20 February 2024 and has a value of £1.752m for 2024/25.
- 9.2. The Council Tax setting report is no longer an approval process for capital schemes. Chief Officers and their budget managers have been asked to identify capital proposals for the next ten years. The proposals returned will be included as a financial planning tool only and budget managers will need to submit Cabinet reports with full appraisals to seek budget approval. When budget approval is granted, schemes will be added to the Capital Programme.

- 9.3. The Programme Board/Budget Working Group appraise the various schemes, with particular emphasis on ongoing revenue implications, including financing costs, in the light of the MTFP. All schemes will need to demonstrate how they align to the Corporate Strategy Delivery Plan.
- 9.4. Capital schemes may run across several financial years and the initial scheme approval will include anticipated profiling of the budget across years. As approved in the Capital Strategy, the Chief Officer for Finance and Performance can approve reprofiling of the expenditure providing the total budget is not exceeded and there is no impact on the availability of external funding (e.g. time restricted grant funding).
- 9.5. During 2023/24 a policy decision was approved as part of the Capital Strategy from 2024/25 any schemes approved prior to 2021/22 for which there is not planned work will be removed from the programme and a new report will be required to be included in the programme.
- 9.6. The Capital Strategy also gives the Chief Financial Officer the authority to review the funding of the capital programme and adjust where appropriate. For example, in carrying out a funding swap of external resources to capital receipts and reserves will generate a revenue saving as MRP and net cost of borrowing will not be required. On the completion of each scheme during 2024/25 officers will review the financing of the scheme to determine whether there is any ability to carry out a funding swap. The results of this exercise will be included in future budget monitoring reports.

10. Budget Planning and Setting

- 10.1. The 2025/26 budget setting process is now underway. The main dates for Cabinet to note in relation to the General Fund are as follows:

Month	Action
September	Report to Cabinet - opening summary of the situation
September-December	Member workshop - how do we set the budget?
October	Autumn Statement (expected 30 October) released
December	Local Government Finance Settlement released which will confirm funding for 2025/26 (and potentially beyond)
January	Draft budget reported to Cabinet
February	Further update report to Cabinet - changes from draft
	Member workshop - the results of the budget setting process
	Council Tax setting report presented - including updated MTFS/Treasury Strategy/Capital Strategy

- 10.2. The organisation aspired for the transition to a three-year rolling budget setting process, the benefits of this include:

- Having up to three years to finalise plans to deliver the target – meaning less pressure for the next financial year.

- Providing some certainty over the whole plan.
- Using/establishing an evidence-based approach for future savings.
- Providing an effective method of budgeting given the uncertainty around funding changes.
- Accountability at an early stage and will use monthly reporting to track progress.
- The greater the uncertainty about future central government policy then the greater the need to demonstrate the long-term financial resilience of the authority given the risks attached to its core funding.
- Demonstrates long term financial resilience.
- Aligns with best practice as identified in the CIPFA Financial Management code.

10.3. With the absence of clarity on the future funding of the sector this will be a challenge, however officers will continue to work with elected members to look financial years beyond year 1 of the MTFP.

11. Conclusion

11.1. The landscape for the sector remains a challenging one and although the organisation is in a position to use business rates growth to deal with short term pressures in the long term this is not a stable situation and this could cause issues if business rates reform has the negative impact that the organisation has been planning for.

11.2. Looking at the budgets across the MTFP will minimise the shock of a negative impact of reform and reduce the requirement to make significant or drastic savings in a single year, but it would not be accurate to report that the Council is immune to having to make these decisions.

11.3. The new Corporate Strategy will identify the strategic aspirations of the new administration and having a robust understanding of the budgets for the period of the MTFP will support its delivery.

Name of Meeting: Cabinet
Date of Meeting: 16 September 2024
Subject Matter: Initial Review of General Fund Budget 2025/26
Originating Department: Finance and Performance

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

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: Treasury Management 2023/24 – Annual Report

Name of Committee: Cabinet

Date of Meeting: 16 September 2024

Report Director: Chief Officer – Finance and Performance

Portfolio: Finance, Performance, Legal and Governance

Ward Relevance: All wards

Prior Consultation: None

Contact Officer: Chris Raymakers, Lead Accountant Treasury and Capital.
Chris.Raymakers@rugby.gov.uk

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):
 Rugby is an environmentally sustainable place, where we work together to reduce and mitigate the effects of climate change. (C)
 Rugby has a diverse and resilient economy that benefits and enables opportunities for all residents. (E)
 Residents live healthy, independent lives, with the most vulnerable protected. (HC)
 Rugby Borough Council is a responsible, effective and efficient organisation. (O)
[Corporate Strategy 2021-2024](#)
 This report does not specifically relate to any Council priorities but

(C) Climate
(E) Economy
(HC) Health and Communities
(O) Organisation

Summary: The report sets out the Treasury Management activities for 2023/24.

Financial Implications: The capital finance and treasury management indicators are set to ensure that the Council is

guided into making prudent decisions on treasury management activities

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 arising from this report.

Equality and Diversity:

There are no equality and diversity implications arising from this report.

Options:

As this report complies with the Prudential and Treasury Management Codes of Practice, which have been approved by Council, no other options have been considered.

Recommendation:

The Treasury Management report for 2023/24 be noted.

Reasons for Recommendation:

To provide Members with relevant information to make informed decisions around Treasury Management Activity and, in line with best practice, comply with the Code of Practice

Cabinet- 16 September 2024

Treasury Management 2023/24 – Annual Report

Public Report of the Chief Finance Officer

RECOMMENDATION

The Treasury Management report for 2023/24 be noted.

1. EXECUTIVE SUMMARY

Throughout the 2023/24 financial year the Council's Treasury management Strategy was carried out according to the principals outlined in it. During the year:

- Long term borrowing stayed at the same level throughout the year
- £7m in short-term borrowing was taken out for cashflow purposes in March of 2024, this was repaid by the end of April.
- The Council's surplus cash was invested to maximise yield while adhering to the principals of security and liquidity.
- Two breeches in the Treasury Strategy did occur during 2023/24 and are detailed in Section 10 of this report.
- The Lothbury Property Fund is terminating in 2024/25 details of which are included in section 9.3

2. INTRODUCTION

The Annual Treasury Management Report for 2023/24 was presented to the Audit and Ethics Committee on 27 June 2024. The main points brought out in the report are in the Executive Summary above. The full report (agenda item 5 on the below link) can be found by accessing the following link:

<https://www.rugby.gov.uk/documents/20124/7290907/AGENDA+Audit+and+Ethics+Committee+27+June+2024.pdf/2a1435cc-1fc0-0e0f-04c8-b32599510fb8?version=1.0&t=1718805993470>

Name of Meeting: Cabinet

Date of Meeting: 16 September 2024

Subject Matter: Treasury Management 2023/24 - Annual Report

Originating Department: Finance and Performance

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.

AGENDA MANAGEMENT SHEET

Report Title:	Appointments to Working Groups 2024/25
Name of Committee:	Cabinet
Date of Meeting:	16 September 2024
Report Director:	Chief Officer – Legal and Governance
Portfolio:	Finance and Performance, Legal and Governance
Ward Relevance:	N/A
Prior Consultation:	All Group Leaders
Contact Officer:	Claire Waleczek Democratic and Support Services Manager claire.waleczek@rugby.gov.uk
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): <input type="checkbox"/> Rugby is an environmentally sustainable place, where we work together to reduce and mitigate the effects of climate change. (C) <input type="checkbox"/> Rugby has a diverse and resilient economy that benefits and enables opportunities for all residents. (E) <input type="checkbox"/> Residents live healthy, independent lives, with the most vulnerable protected. (HC) <input checked="" type="checkbox"/> Rugby Borough Council is a responsible, effective and efficient organisation. (O) Corporate Strategy 2021-2024 <input type="checkbox"/> This report does not specifically relate to any Council priorities but
Summary:	Cabinet on 1 July 2024 decided to appoint to key working groups to ensure their business could continue. Cabinet is now requested to consider which other Working Groups be re-constituted for 2024/25 and appoint the membership of each group.

Financial Implications:	There are no direct financial implications arising from this report.
Risk Management/Health and Safety Implications:	There are no direct risk management implications arising from this report.
Environmental Implications:	There are no direct environmental implications arising from this report.
Legal Implications:	There are no direct legal implications arising from this report.
Equality and Diversity:	There are no direct equality and diversity implications arising from this report.
Options:	N/A
Recommendation:	<ol style="list-style-type: none"> (1) The Working Groups for the 2024/25 municipal year, as detailed in paragraph 3.1 of the report, be approved; (2) Delegated authority be given to the Chief Officer – Legal and Governance, in consultation with the Chair and political Group Leaders, to determine the composition of, and appoint to, the working groups; (3) Members of all working parties note that they represent the views of their Group at meetings and provide regular feedback to them on workstreams; (4) Each working group review its terms of reference at its first meeting of the municipal year; and (5) the Grants Working Group, the Asset Management Member Working Group and the Gypsies and Travellers Working Group be disestablished.
Reasons for Recommendation:	Cabinet is required to determine which Working Groups are required to carry out business in 2024/25.

Cabinet - 16 September 2024

Appointments to Working Groups 2024/25

Public Report of the Chief Officer – Legal and Governance

Recommendation

- (1) The Working Groups for the 2024/25 municipal year, as detailed in paragraph 3.1 of the report, be approved;
- (2) Delegated authority be given to the Chief Officer – Legal and Governance, in consultation with the Chair and political Group Leaders, to determine the composition of, and appoint to, the working groups;
- (3) Members of all working groups note that they represent the views of their Group at meetings and provide regular feedback to them on workstreams;
- (4) Each working group review its terms of reference at its first meeting of the municipal year; and
- (5) The Grants Working Group and the Gypsies and Travellers Working Group be disestablished.

1. EXECUTIVE SUMMARY

- 1.1 Cabinet on 1 July 2024 approved preliminary key working groups. The proposed recommendation confirms further working groups to be re-constituted for 2024/25.

2. DISESTABLISHMENT OF WORKING GROUPS

- 2.1 There is no longer an annual allocation of grants to voluntary and community groups. It is therefore proposed that the Grants Working Group be disestablished.
- 2.2 It is also recommended that the Gypsies and Travellers Working Group be disestablished, and the function be transferred to the Planning Services Working Group. This is based upon an overlap between the functions of both groups.

3. WORKING GROUPS FOR 2024/25

- 3.1 It is proposed that the following working groups be re-constituted for the remainder of the 2024/25 municipal year, with delegated authority being granted to the Chief Officer – Legal and Governance, in

consultation with the Chair and political Group Leaders, to determine their composition and membership.

- Civic Honours Working Group
- Constitution Review Working Group
- Economic Strategy Working Group

4. ROLE OF GROUP REPRESENTATIVES ON WORKING GROUPS

- 4.1 Members are appointed to represent their Group's views and ideas at working groups within their respective terms of reference. It is important, therefore, that Members provide feedback to their relevant Group about working groups on which they sit to ensure all Members are kept informed of progress on workstreams.

5. REVIEW OF TERMS OF REFERENCE FOR EACH WORKING GROUP

- 5.1 It is proposed that the first item of business for each working group for each municipal year be to review its terms of reference. This review will require the Chair and the Working Group to set clear objectives and accordingly formulate working streams based upon the terms of reference. It is important that such terms of reference are kept under review, and this takes places on an annual basis.
- 5.2 In conclusion the proposed recommendation seeks to retain key working groups to enable cross party collaboration relating to various workstreams.

Name of Meeting: Cabinet

Date of Meeting: 16 September 2024

Subject Matter: Appointment of Working Groups 2024/25

Originating Department: Legal and Governance

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:	Regulatory of Investigatory Powers Act 2000 (RIPA) Policy
Name of Committee:	Cabinet
Date of Meeting:	16 September 2024
Report Director:	Chief Officer - Legal and Governance
Portfolio:	Finance and Performance, Legal and Governance
Ward Relevance:	All Wards
Prior Consultation:	Regulatory Services
Contact Officer:	Aftab Razzaq Chief Officer - Legal and Governance aftab.razzaq@rugby.gov.uk
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): <input type="checkbox"/> Rugby is an environmentally sustainable place, where we work together to reduce and mitigate the effects of climate change. (C) <input type="checkbox"/> Rugby has a diverse and resilient economy that benefits and enables opportunities for all residents. (E) <input checked="" type="checkbox"/> Residents live healthy, independent lives, with the most vulnerable protected. (HC) <input type="checkbox"/> Rugby Borough Council is a responsible, effective and efficient organisation. (O) Corporate Strategy 2021-2024 <input type="checkbox"/> This report does not specifically relate to any Council priorities but
Summary:	This updated policy is in accordance with up-to-date Codes of Practice and legislation. This will ensure that Council is operating in accordance with its legal obligations as detailed within this report.

Financial Implications:	There are no direct financial implications as a result of this report.
Risk Management/Health and Safety Implications:	The Council is required to comply with its statutory obligations as detailed within this report.
Environmental Implications:	None
Legal Implications:	The Regulation of Investigatory Powers Act 2000 ('RIPA') provides a statutory mechanism for authorising covert directed surveillance operations or the use of a 'Covert Human Intelligence Source' (CHIS). A failure to comply with RIPA could result in the exclusion by a court of evidence needed to convict a criminal. A failure to comply with RIPA can result in claims from individuals seeking compensation for alleged breaches of privacy.
Equality and Diversity:	In line with the Public Sector Equality Duty, public bodies must, in the exercise of their functions, give due regard to the need to eliminate discrimination, harassment, victimisation, to advance equality of opportunity and foster good relations between those who share a protected characteristic and those who do not. The Council has had due regard to this duty in accordance with the Equality Act 2010. There are no direct implications arising from this report.
Options:	To approve the updated policy as per the recommendation or not approve the proposed updated policy.
Recommendation:	<ol style="list-style-type: none"> 1) The RIPA Policy attached at Appendix 1 be approved. 2) Delegated authority be granted to the Chief Officer for Legal and Governance to make any non-material amendments to the approved RIPA Policy and this shall include any necessary updates to the officers/roles as listed.
Reasons for Recommendation:	<p>The recommendations are supported by the following reasons:</p> <ol style="list-style-type: none"> a) In order to ensure that the Council complies with the legal obligations under RIPA and national guidance.

- b) To update RIPA policy and procedures.
- c) To help in giving transparency about the use of RIPA in this Council.

Cabinet - 16 September 2024

Regulation of Investigatory Powers Act 2000 (RIPA) Policy

Public Report of the Chief Officer – Legal and Governance

Recommendation

- 1) The RIPA Policy attached at Appendix 1 be approved.
- 2) Delegated authority be granted to the Chief Officer for Legal and Governance to make any non-material amendments to the approved RIPA Policy and this shall include any necessary updates to the officers/roles as listed.

1. Executive Summary

- 1.1. This report seeks approval to the Council's updated RIPA Policy.
- 1.2. The Regulation of Investigatory Powers Act 2000 (RIPA) governs the acquisition and disclosure of communications data and the use of covert surveillance by local authorities.
- 1.3. The Council uses powers under the statutory act to support its core functions for the purpose of prevention and detection of crime where an offence may be punishable by a custodial sentence of 6 months or are related to the underage sale of alcohol and tobacco. There are three processes available to local authorities under RIPA: the acquisition and disclosure of communications data; directed surveillance; and covert human intelligence sources ("CHIS").
- 1.4. The statutory guidance relating to the legislation is the Covert Surveillance Code of Practice. This guidance recommends that Elected Members should approve the Council's policies outlining its exercise of the relevant statutory powers.

2. Background

- 2.1. As detailed above the Council uses powers under RIPA for the purposes of prevention and detection of crime.
- 2.2. There are three processes available to local authorities under RIPA: the acquisition and disclosure of communications data; directed surveillance; and covert human intelligence sources ("CHIS"). The Act sets out the procedures that the Council must follow if it wishes to use directed surveillance techniques or acquire communications data.
- 2.3. By requiring directed covert surveillance operations or the proposed use of a Covert Human Intelligence Source (CHIS) to be authorised in advance and kept

under review by a limited number of senior officers; RIPA seeks to ensure that any interference with an individual's right to privacy under Article 8 of the Convention on Human Rights and Fundamental Freedoms, is both necessary and proportionate.

- 2.4. The Investigatory Powers Commissioner's Office (IPCO) provides regulatory oversight of the way in which public authorities use RIPA. As with all regulatory bodies the IPCO carries out periodic inspections of local authorities.
- 2.5. In addition to the approval of this updated policy the Council has now undertaken a training programme with key officers on the updated policy, and the requirements of the RIPA framework. There will also be an implementation of the topic of RIPA into the staff training programme. This will ensure a comprehensive awareness amongst key staff and the Council of the requirements under RIPA.
- 2.6. In addition to the updating of the policy the Council has now undertaken refresher RIPA training with key officers on the legislation and codes of practice as per the RIPA legislative.

3. Conclusion

- 3.1. This report reflects various changes to ensure the Council's RIPA Policy remains up to date and fit for purpose. As set out within national guidance it is important that such policy is approved by Council Members.

Name of Meeting: Cabinet

Date of Meeting: 16 September 2024

Subject Matter: Regulatory of Investigatory Powers Act 2000 (RIPA) Policy

Originating Department: Legal and Governance

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



Rugby Borough Council

Regulation of Investigatory Powers Act 2000 Corporate Policy & Procedures

Statement of Intent: Rugby Borough Council attaches a high value to the privacy of citizens. It will adhere to the letter and to the spirit of the Act and will comply with this policy.

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1 Introduction

- 1.1 The Regulation of Investigatory Powers Act 2000 (“RIPA”) is designed to ensure that public bodies respect the privacy of members of the public when carrying out investigations, and that privacy is only interfered with where the law permits and where there is a clear public interest justification.
- 1.2 The purpose of this policy is to explain the scope of RIPA and the circumstances where it applies to the Council. It provides guidance on the authorisation procedures to be followed in the event that surveillance is needed. This policy sets out the correct management of the process by the Council.
- 1.3 This policy also ensures that activities that should be subject to RIPA authorisation are recognised as such and that appropriate authorisation is sought. It also seeks to ensure that any activity which should be carefully monitored, but which is not subject to RIPA authorisation, is still given correct authority and scrutiny.
- 1.4 The Protection of Freedoms Act 2012 imposes restrictions on the circumstances in which the Council is permitted to use Directed Surveillance and this policy has been updated to take into account these new restrictions. Separate guidance has been issued by the Home Office which specifies the procedure for the consideration and approval of applications by Magistrates and this policy must be read in conjunction with that procedure and documents issued by the Office of the Surveillance Commissioner.
- 1.5 The Chief Officer Legal & Governance is the Senior Responsible Officer for the RIPA process for the Council. The SRO is also responsible for:
 - the integrity of the process in place within the public authority to authorise Directed Surveillance;
 - compliance with Part II of the 2000 Act, and with this code;
 - engagement with the Commissioners and inspectors when they conduct their inspections, and
 - where necessary, overseeing the implementation of any post inspection action plans recommended or approved by a Commissioner.
- 1.6 All staff involved in the process must take their responsibilities seriously in order to assist with the integrity of the Council’s processes and procedures.

In preparing this policy the Council has followed the current RIPA Codes of Practice produced by the Home Office and the IPCO Procedures and Guidance 2018 and 2023.
- 1.7 In the case of any uncertainty, advice should be sought from an Authorising Officer or the Chief Officer Legal and Governance ,who is the Council’s RIPA Monitoring Officer.
- 1.8 Copies of the Codes of Practice can be found at the following links:

<https://www.gov.uk/government/collections/ripa-codes>

- 1.9 Further guidance can also be obtained from the Investigatory Powers Commissioner's Office (IPCO) website:

<https://www.ipco.org.uk/>

2 Background

- 2.1 The Human Rights Act 1998 requires the Council to have respect for the private and family life of citizens. Article 8 specifically requires the Council to have respect for people's private and family lives, their homes, and their correspondence. These subjects can be referred to as "Article 8 rights".
- 2.2 The Human Rights Act makes it unlawful for any local authority to act in a way which is incompatible with the European Convention on Human Rights. However, these are not absolute rights and are qualified by the ability of the Council to interfere with a person's Article 8 rights if :-
- such interference is in accordance with the law
 - is **necessary**; and
 - is **proportionate**
- 2.3 "*In accordance with the law*" means that any such interference is undertaken in accordance with the mechanism set down by RIPA and the Home Office Covert Surveillance Codes of Practice. The Codes of Practice deal with the use of Covert Surveillance and the use of persons such as informants and undercover officers who gather information in a covert capacity, known as a **Covert Human Intelligence Source or "CHIS"**. Any covert activity must also meet the test of necessity and proportionality and these are dealt with later in this policy.
- 2.4 A considerable amount of observations are carried out in an overt capacity by Council employees carrying out their normal functions. These activities are general and routine and do not involve the systematic surveillance of an individual. RIPA is not designed to prevent these activities or regulate them.
- 2.5 The Investigatory Powers Act 2016 provides the framework for the lawful acquisition of **Accessing of Communications Data**. The Council is not permitted under the legislation to access communications data under the Single Point of Contact ("SPOC") provisions.
- 2.6 The Council has numerous statutory duties and powers to investigate the activities of private individuals and organisations within its jurisdiction for the benefit and protection of the greater public. Some of these investigations may require surveillance or the use of a CHIS. These may include:
- environmental health
 - housing
 - planning
 - audit

- fraud

2.7 RIPA provides a framework to control and supervise covert activities such as surveillance and the use of a covert human intelligence source (CHIS) in these criminal investigations. It aims to balance the need to protect the privacy of individuals against the need to protect others by the Council in compliance with its enforcement functions. Covert Surveillance and CHIS are covered by separate Codes of Practice which can be found on the Council's SharePoint RIPA page.

3 When RIPA applies

- 3.1 For Directed Surveillance, the Regulation of Investigatory Powers (Directed Surveillance and CHIS) (Amendment) Order 2012 ("the 2012 Order") mean that a local authority can only grant an authorisation under RIPA where the local authority is investigating criminal offences which attract a custodial sentence of a minimum term of at least 6 months' imprisonment, or criminal offences relating to the underage sale of alcohol or tobacco under sections 146, 147 or 147A of the Licensing Act 2003 or section 7 of the Children and Young Persons Act 1933.
- 3.2 It should be noted that the provision relating to the prevention of disorder is no longer included for Directed Surveillance and there is no provision for a Local Authority to authorise an urgent oral authorisation as all applications and renewals must be approved by a Magistrate.
- 3.3 The lawful criteria for CHIS is **prevention and detection of crime and prevention of disorder** and the offence does not have to have a sentence of 6 months imprisonment.
- 3.4 The RIPA authorisation process can only be used for and in connection with the Council's core functions.
- 3.5 Using the RIPA application process helps protect the Council from legal challenges and provides the lawful authority for Officers to conduct Directed Surveillance and use CHIS. Rugby Borough Council and its staff have a responsibility to adhere to the legislation and the Human Rights Act. Any contract staff employed by Rugby Borough Council to undertake such activity are also covered by the codes and this policy.
- 3.6 The RIPA Codes of Practice state where there is an interference by a public authority with the right to respect for private and family life guaranteed under Article 8 of the European Convention on Human Rights, and where there is no other source of lawful authority, the consequence of not obtaining an authorisation under the 2000 Act may be that the action is unlawful by virtue of section 6 of the Human Rights Act 1998.
- 3.7 Public authorities are therefore strongly recommended to seek an authorisation under RIPA where the surveillance is likely to interfere with a person's Article 8 rights to privacy by obtaining private information about that person, whether or not that person is the subject of the investigation or operation. Obtaining an authorisation will ensure that the action is carried out in accordance with law and subject to stringent safeguards against abuse.

- 3.8 In some instances, it is not possible to obtain RIPA authorisation for surveillance activities due to the limited grounds set in the legislation where authorisation can be granted. It may be, however, that covert surveillance is still necessary and proportionate. This is dealt with later in this Policy in section 6.

4 Surveillance Definitions

4.1 Surveillance

- 4.1.1 Surveillance is defined in paragraph 2.2 of the Codes of Practice as:

“Surveillance, for the purpose of the 2000 Act, includes monitoring, observing or listening to persons, their movements, conversations or other activities and communications. It may be conducted with or without the assistance of a surveillance device and includes the recording of any information obtained.”

4.2 Covert Surveillance

- 4.2.1 Covert Surveillance is defined in paragraph 2.3 of the Codes of Practice as:

“Surveillance is covert if, and only if, it is carried out in a manner calculated to ensure that any persons who are subject to the surveillance are unaware that it is or may be taking place.”

- 4.2.2 If activities are open and not hidden from the persons subject to surveillance such as Officers conducting Council business openly, e.g. a market inspector walking through markets, the RIPA framework does not apply because that is overt surveillance. Equally, if the subject is told that surveillance will be taking place, the surveillance is overt. This would happen, for example, where a noise maker is informed that noise will be recorded if it continues. RIPA does not regulate overt surveillance.

- 4.2.3 RIPA regulates only two types of Covert Surveillance which are:

- Directed Surveillance
- Intrusive Surveillance

4.3 Directed Surveillance

- 4.3.1 Surveillance is Directed Surveillance (paragraph 3.1 of the Codes of Practice) if the following are all true:

it is covert, but not intrusive surveillance;

it is conducted for the purposes of a specific investigation or operation;

it is likely to result in the obtaining of private information about a person (whether or not one specifically identified for the purposes of the investigation or operation);

it is conducted otherwise than by way of an immediate response to events or circumstances the nature of which is such that it would not be reasonably practicable for an authorisation under Part II of the 2000 Act to be sought.

- 4.3.2 The planned covert surveillance of a specific person, where not intrusive, would constitute Directed Surveillance if such surveillance is likely to result in the obtaining of private information about that, or any other person.
- 4.3.3 Remember that the offence must be capable of having a 6-month maximum custodial sentence or relate to the sale of alcohol and tobacco to children.
- 4.3.4 It is important that all activity that may constitute surveillance is recognised as such and correctly authorised, either as Directed Surveillance or, in some instances, as surveillance outside of RIPA (see section 6) as governed by this policy. Anything involving the use of concealed cameras or anything involving keeping covert observation on premises or people should be considered as potentially amounting to Directed Surveillance. In the case of uncertainty advice should be sought from the Chief Officer Legal and Governance.

4.4 Private information

- 4.5 Private information includes any information relating to a person's private or family life. Private information should be taken generally to include any aspect of a person's private or personal relationship with others, including family and professional or business relationships.
- 4.6 Whilst a person may have a reduced expectation of privacy when in a public place, covert surveillance of that person's activities in public may still result in the obtaining of private information. This is likely to be the case where that person has a reasonable expectation of privacy even though acting in public and where a record is being made by a public authority of that person's activities for future consideration or analysis. Surveillance of publicly accessible areas of the internet should be treated in a similar way, recognising that there may be an expectation of privacy over information which is on the internet, particularly where accessing information on social media websites.

Example: Two people holding a conversation on the street or in a bus may have a reasonable expectation of privacy over the contents of that conversation, even though they are associating in public. The contents of such a conversation should therefore still be considered as private information. A directed surveillance authorisation would therefore be appropriate for a public authority to record or listen to the conversation as part of a specific investigation or operation

Example: Accessing a public website once to gather information would not require an authorisation. However, regular monitoring of the website or attempting to purchase or gather information via a private website (e.g. Facebook) where the user is required to provide their details and this requires personal account (not council) or false details, this is likely to require authorisation.

- 4.7 Private life considerations are particularly likely to arise if several records are to be analysed together in order to establish, for example, a pattern of behaviour, or if one or more pieces of information (whether or not available in the public domain) are covertly (or in some cases overtly) obtained for the purpose of making a permanent record about a person or for subsequent data processing to generate further information. In such circumstances, the totality of information gleaned may constitute private information even if individual records do not. Where such conduct includes surveillance, a Directed Surveillance authorisation may be considered appropriate.

Example: Rugby Borough Officers wish to drive past a café for the purposes of obtaining a photograph of the exterior. Reconnaissance of this nature is not likely to require a directed surveillance authorisation as no private information about any person is likely to be obtained or recorded. However, if the authority wished to conduct a similar exercise, for example to establish a pattern of occupancy of the premises by any person, the accumulation of information is likely to result in the obtaining of private information about that person and a directed surveillance authorisation should be considered.

- 4.8 Private information may include personal data, such as names, telephone numbers and address details. Where such information is acquired by means of covert surveillance of a person having a reasonable expectation of privacy, a directed surveillance authorisation is appropriate.

Example: A surveillance officer intends to record a specific person providing their name and telephone number to a shop assistant, in order to confirm their identity, as part of a criminal investigation. Although the person has disclosed these details in a public place, there is nevertheless a reasonable expectation that the details are not being recorded separately for another purpose. A directed surveillance authorisation should therefore be sought.

5 Risks of not having a RIPA Authorisation

- 5.1 If Investigators undertake covert activity to which this legislation applies without the relevant authority being obtained and the case progressed to criminal proceedings the defence may challenge the validity of the way in which the evidence was obtained under Section 78 of the Police and Criminal Evidence Act 1984. Should the evidence then be disallowed by a court, the prosecution case may be lost with a financial cost to the Council.
- 5.2 The person who was the subject of surveillance may complain to an independent tribunal who may order the Council to pay compensation. The activity may also be challenged through the civil courts under the Human Rights Act 1998 for breach of privacy.

- 5.3 A properly obtained and implemented authorisation under RIPA will provide the Council with lawful authority to interfere with the rights of the individual. It is not simply enough that an authorisation for surveillance is obtained. It must be properly obtained, implemented, managed, reviewed and cancelled.

6 Surveillance Outside of RIPA

- 6.1 The Council has duties where the use of RIPA is no longer permitted. In order to meet these duties and legal obligations there may be a necessity for the Council to undertake surveillance which does not meet the criteria to use the RIPA legislation such as, in cases of serious disciplinary investigations. The Council must still meet its obligations under the Human Rights Act and therefore any surveillance outside of RIPA must still be necessary and proportionate, having taken account of the intrusion issues. The decision-making process and the management of such surveillance will mirror that of RIPA-authorized surveillance, except that the activity will not require approval from a Magistrate.
- 6.2 An application will be made using the current RIPA application forms published on GOV.UK, but will be altered to show that this is a non-RIPA authorisation.
- 6.3 The Authorising Officer will be required to give the application the same degree of consideration and copies of all forms will be passed to the RIPA Monitoring Officer, who will keep a record of all activity separately from the records of RIPA-authorized surveillance.

7 Immediate Response to Events

- 7.1 There may be occasions when officers come across events unfolding which were not pre-planned which then require them to carry out some form of observation. This will not amount to Directed Surveillance under RIPA. However, as the Council is no longer able to grant urgent oral authority to conduct surveillance, if it is carried out the officer must be prepared to explain their decisions in court should it be necessary. Therefore, they should document their decisions, why it was necessary, what took place and what evidence, or information was obtained and why it was proportionate to the incident or offence under investigation.

8 Recording of Telephone Conversations

- 8.1 The recording of telephone conversations connected to criminal investigations outside of the Councils monitoring at work policy for its own equipment, falls under RIPA. Where one party to the communication consents to the interception, it may be authorised as Directed Surveillance.
- 8.2 There may be occasions where this is required such as a witness who has text or voicemail evidence on their mobile telephone and the Council require to examine the phone.

Intrusive surveillance

- 8.3. Rugby Borough Council has no authority in law to carry out Intrusive Surveillance or activity under the Police Act 1997.
- 8.3 Intrusive surveillance is defined in section 26(3) of the 2000 Act as covert surveillance that:
- is carried out in relation to anything taking place on any residential premises or in any private vehicle; and*
- involves the presence of an individual on the premises or in the vehicle or is carried out by means of a surveillance device.*
- 8.4 Where surveillance is carried out in relation to anything taking place on any residential premises or in any private vehicle by means of a device, without that device being present on the premises, or in the vehicle, it is not intrusive unless the device consistently provides information of the same quality and detail as might be expected to be obtained from a device actually present on the premises or in the vehicle. Thus, an observation post outside premises, which provides a limited view and no sound of what is happening inside the premises, would not be considered as intrusive surveillance.
- 8.5 A risk assessment of the capability of equipment being used for surveillance on residential premises and private vehicles should be carried out to ensure that it does not fall into Intrusive Surveillance.
- 8.6 Commercial premises and vehicles are excluded from the definition of intrusive surveillance. However, they are dealt with under the heading of Property Interference contained within the Police Act 1997. The Council has no lawful authority to carry out any activity under this Act.

9 Covert Human Intelligence Source (CHIS)

9.1 Definition

- 9.1.1 A CHIS could be an informant or an undercover officer carrying out covert enquiries on behalf of the council. However, the provisions of the 2000 Act are not intended to apply in circumstances where members of the public volunteer information to the Council as part of their normal civic duties, or to contact numbers set up to receive information such as the Fraud Hotline. Members of the public acting in this way would not generally be regarded as sources.
- 9.1.2 Under section 26(8) of the 2000 Act a person is a source if:

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- (a) he establishes or maintains a personal or other relationship with a person for the covert purpose of facilitating the doing of anything falling within paragraph (b) or (c);
 - (b) he covertly uses such a relationship to obtain information or to provide access to any information to another person; or
 - (c) he covertly discloses information obtained by the use of such a relationship or as a consequence of the existence of such a relationship.
- 9.1.3 By virtue of section 26(9)(b) of the 2000 Act a purpose is covert, in relation to the establishment or maintenance of a personal or other relationship, if and only if, the relationship is conducted in a manner that is calculated to ensure that one of the parties to the relationship is unaware of the purpose.
- 9.1.4 By virtue of section 26(9)(c) of the 2000 Act a relationship is used covertly, and information obtained as above is disclosed covertly, if and only if it is used or, as the case may be, disclosed in a manner that is calculated to ensure that one of the parties to the relationship is unaware of the use or disclosure in question.
- 9.1.5 Special provisions exist for the conduct in use of sources under 18.
- 9.1.6 A source under 16 cannot be engaged to use a relationship with any person having parental responsibility for them. A source under 16 must have an appropriate adult present during any meetings and a risk assessment must also take place before granting or renewing an authorisation for the conduct and use of a source under 16. This will take account of physical and psychological risks. See the Regulation of Investigatory Powers (Juveniles) Order 2000 for detailed guidance <http://www.legislation.gov.uk/uksi/2000/2793/contents/made>
- 9.1.7 Only the Chief Officer Legal & Governance can authorise the use of a juvenile CHIS (under 18 year of age).
- 9.1.8 Special consideration should also be given to the use of vulnerable individuals as a source. This will require the highest level of Authorising Officer, the Chief Officer Legal & Governance (see the code of practice for further guidance).
- 9.1.9 The use by Rugby Borough Council of a CHIS is expected to be extremely rare and if contemplated advice should be sought from the Chief Officer Legal and Governance.

9.2 Conduct and Use of a Source

- 9.2.1 Rugby Borough Council will ensure that arrangements are in place for the proper oversight and management of sources including appointing a Handler and Controller for each source prior to a CHIS authorisation. The Handler and Controller of the source will usually be of a rank or position below that of the Authorising Officer.

- 9.2.2 The **use of a source** involves inducing, asking or assisting a person to engage in the conduct of a source or to obtain information by means of the conduct of such a source.
- 9.2.3 The **conduct** of a source is any conduct falling within section 29(4) of the 2000 Act, or which is incidental to anything falling within section 29(4) of the 2000 Act.
- 9.2.4 The **use of a source** is what the Authority does in connection with the source and the **conduct** is what a source does to fulfil whatever tasks are given to them or which is incidental to it. Both the use and conduct require separate consideration before authorisation. However, both are normally authorised on the same application.
- 9.2.5 When completing applications for the use of a CHIS this will include who the CHIS is, what they can do and for which purpose
- 9.2.6 When determining whether a CHIS authorisation is required consideration should be given to the covert relationship between the parties and the purposes mentioned in a, b, and c above.
- 9.2.7 Unlike Directed Surveillance, which relates specifically to private information, authorisations for the use or conduct of a CHIS do not relate specifically to private information, but to the covert manipulation of a relationship to gain any information. Accordingly, any manipulation of a relationship by a public authority (e.g. one party having a covert purpose on behalf of a public authority) is likely to engage Article 8, regardless of whether or not the public authority intends to acquire private information

9.3 **Management of Sources**

- 9.3.1 Within the provisions there has to be;
- (a) a person who has the day to day responsibility for dealing with the source and for the source's security and welfare (**Handler**)
 - (b) at all times there will be another person who will have general oversight of the use made of the source (**Controller**)
 - (c) at all times there will be a person who will have responsibility for maintaining a record of the use made of the source
- 9.3.2 The **Handler** will have day to day responsibility for:
- dealing with the source on behalf of the authority concerned;
 - directing the day to day activities of the source;
 - recording the information supplied by the source; and
 - monitoring the source's security and welfare;
- 9.3.3 The **Controller** will be responsible for the general oversight of the use of the source.

9.4 Tasking

- 9.4.1 Tasking is the assignment given to the source by the Handler or Controller by, asking him to obtain information, to provide access to information or to otherwise act, incidentally, for the benefit of the relevant public authority. Authorisation for the use or conduct of a source is required prior to any tasking where such tasking requires the source to establish or maintain a personal or other relationship for a covert purpose.
- 9.4.2 In some instances, the tasking given to a person will not require the source to establish a personal or other relationship for a covert purpose. For example, a source may be tasked with finding out purely factual information about the layout of commercial premises. Alternatively, a Council Officer may be involved in the test purchase of items which have been labelled misleadingly or are unfit for consumption. In such cases, it is for the Council to determine where, and in what circumstances, such activity may require authorisation.
- 9.4.3 Should a CHIS authority be required, all of the staff involved in the process should make themselves fully aware of all of the aspects relating to tasking contained within the CHIS codes of Practice.

9.5 Security and Welfare

- 9.5.1 The Council has a responsibility for the safety and welfare of the source and for the consequences to others of any tasks given to the source. Before authorising the use or conduct of a source, the Authorising Officer should ensure that a risk assessment is carried out to determine the risk to the source of any tasking and the likely consequences should the role of the source become known. The ongoing security and welfare of the source, after the cancellation of the authorisation, should also be considered at the outset.

10.6 Records

- 10.6.1 Proper records must be kept of the authorisation and use of a source as required by the Regulation 3 of the Regulation of Investigatory Powers (Source Records) Regulations 2000 (SI no 2725) namely:
- a) the identity of the source;
 - b) the identity, where known, used by the source;
 - c) any relevant investigating authority other than the authority maintaining the records;

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- d) the means by which the source is referred to within each relevant investigating authority;
 - e) any other significant information connected with the security and welfare of the source;
 - f) any confirmation made by a person granting or renewing an authorisation for the conduct or use of a source that the information in paragraph (e) has been considered and that any identified risks to the security and welfare of the source have where appropriate been properly explained to and understood by the source;
 - g) the date when, and the circumstances in which, the source was recruited;
 - h) the identities of the persons who, in relation to the source, are discharging or have discharged the functions mentioned in section 29(5)(a) to (c) of the 2000 Act or in any order made by the Secretary of State under section 29(2)(c);
 - i) the periods during which those persons have discharged those responsibilities;
 - j) the tasks given to the source and the demands made of him in relation to his activities as a source;
 - k) all contacts or communications between the source and a person acting on behalf of any relevant investigating authority;
 - l) the information obtained by each relevant investigating authority by the conduct or use of the source;
 - m) any dissemination by that authority of information obtained in that way; and
 - n) in the case of a source who is not an undercover operative, every payment, benefit or reward and every offer of a payment, benefit or reward that is made or provided by or on behalf of any relevant investigating authority in respect of the source's activities for the benefit of that or any other relevant investigating authority.
- 10.6.2 The records kept by public authorities should be maintained in such a way as to preserve the confidentiality, or prevent disclosure of the identity of the CHIS, and the information provided by that CHIS.
- 10.6.3 The Council will comply with the Lord Chancellor's Code of Practice on the management of records issued under section 46 of the Freedom of Information Act 2000. The Council is obliged to meet the legal requirements for the retention and disposal of records in accordance with relevant legislation, particularly the Public Records Act 1958 (PRA 1958), the Freedom of Information Act 2000 (FOIA 2000), the Data Protection Act 2018 (DPA 2018) and the General Data Protection Regulation (GDPR).

10 RIPA Application and Authorisation Process

10.1 *Application, Review, Renewal and Cancellation Forms*

- 10.1.1 No covert activity covered by RIPA should be undertaken at any time unless it has been authorised by an Authorised Officer and approved by a Magistrate.
- 10.1.2 All the relevant forms for authorisation through to cancellation must be in writing using the standard forms which are available on the Council's SharePoint site or directly from GOV.UK, but officers must ensure that the circumstances of each case are accurately recorded on the application form (see Application Process).
- 10.1.3 If it is intended to undertake both Directed Surveillance and the use of a CHIS on the same surveillance subject the respective applications form and procedures should be followed and both activities should be considered separately on their own merits.
- 10.1.4 An application for an authorisation must include an assessment of the risk of any Collateral Intrusion or interference. The Authorising Officer will take this into account, particularly when considering the proportionality of the Directed Surveillance or the use of a CHIS.

10.2 *Applications*

- 10.2.1 All the relevant sections on an application form must be completed with sufficient information for the Authorising Officer and then the Magistrate to consider Necessity, Proportionality and the Collateral Intrusion issues. Risk assessments should take place prior to the completion of the application form. Each application should be completed on its own merits of the case. Cutting and pasting or using template entries should not take place as this would leave the process open to challenge.
- 10.2.2 All applications will be submitted to the Authorising Officer via the Line Manager of the appropriate enforcement team in order that they are aware of the activities being undertaken by the staff. The Line Manager will perform an initial quality check of the application. However, they should not be involved in the sanctioning of the authorisation. Completed application forms are to be initialled by Line Managers to show that the quality check has been completed.
- 10.2.3 Applications whether authorised or refused will be issued with a unique number by the Authorising Officer and copies will be sent to the Legal Services Team who will maintain a central register.
- 10.2.4 The procedure for submitting applications to Magistrates for consideration is set out in the procedure issued by the Home Office for this purpose.

10.3 *Duration of Applications*

Directed Surveillance	3 Months
Renewal	3 Months
Covert Human Intelligence Source	12 Months
Juvenile Sources	1 Month
Renewal	12 Months
Juvenile Sources	1 Month

11.3.1 The three-month commencement date is the date approved by a Magistrate.

11.3.2 All Authorisations must be cancelled by completing a cancellation form. They must not be left to simply expire.

10.4 *Reviews*

10.4.1 Regular reviews of authorisations should be undertaken to assess the need for the surveillance to continue. The results of a review should be recorded on the central record of authorisations. Particular attention is drawn to the need to review authorisations frequently where the surveillance provides access to confidential information or involves Collateral Intrusion.

10.4.2 In each case, the Authorising Officer should determine how often a review should take place. This should be as frequently as is considered necessary and practicable and they will record when they are to take place on the application form. This decision will be based on the circumstances of each application. However, reviews will be conducted on a monthly or less basis to ensure that the activity is managed. It will be important for the Authorising Officer to be aware of when reviews are required following an authorisation to ensure that the applicants submit the review form on time.

10.4.3 Applicants should submit a review form by the review date set by the Authorising Officer. They should also use a review form for changes in circumstances to the original application so that the need to continue the activity can be reassessed. However, if the circumstances or the objectives have changed considerably, a new application form may be more appropriate which will need authorising and approval by a Magistrate. The applicant does not have to wait until the review date if it is being submitted for a change in circumstances.

10.4.4 Managers or Team Leaders of applicants should also make themselves aware of when the reviews are required to ensure that the relevant forms are completed on time.

10.5 *Renewal*

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- 10.5.1 If at any time before an authorisation would cease to have effect, the Authorising Officer considers it necessary for the authorisation to continue for the purpose for which it was given, they may renew it in writing for a further period of three months. Like applications, all renewals must also be approved by a Magistrate.
- 10.5.2 An application for renewal should not be made until shortly before the authorisation period is drawing to an end but the applicant must consider the need to allow sufficient time for consideration by the Authorising Officer and any potential delay in getting the matter before a Magistrate for consideration. A renewal for three months takes effect on which the authorisation would have ceased.
- 10.5.3 Authorising Officers should examine the circumstances with regard to Necessity, Proportionality and the Collateral Intrusions issues before making a decision to renew the activity.
- 10.5.4 A CHIS application should not be renewed unless a thorough review has been carried out covering the use made of the source, the tasks given to them and information obtained.
- 10.5.5 The Authorising Officer must consider the results of the review when deciding whether to renew or not. The review and the consideration must be documented.

10.6 Cancellation

- 10.6.1 The cancellation form is to be submitted by the applicant or another investigator in their absence as soon as it is no longer necessary or proportionate to continue with the covert activity. The Authorising Officer who granted or last renewed the authorisation must cancel it if they are satisfied that the Directed Surveillance no longer meets the criteria upon which it was authorised. Where the Authorising Officer is no longer available, this duty will fall on the person who has taken over the role of Authorising Officer or the person who is acting as Authorising Officer
- 10.6.2 As soon as the decision is taken that Directed Surveillance should be discontinued, the applicant or other investigating officer involved in the investigation should inform the Authorising Officer. The Authorising Officer will formally instruct the investigating officer to cease the surveillance, noting the time and date of their decision. This will be required for the cancellation form. The date and time when such an instruction was given should also be recorded in the central record of authorisations.
- 10.6.3 It will also be necessary to detail the amount of time spent on the surveillance as this is required to be retained by the Central Register maintained by the Legal Services Team.
- 10.6.4 The officer submitting the cancellation should complete in detail the relevant sections of the form and include the period of surveillance and detail any images etc. that were obtained. The Authorising Officer should then take this into account and issue instructions regarding the management and disposal of the images etc.

10.6.5 The cancellation process should also be used to evaluate whether the objectives have been achieved and whether the applicant carried out what they stated was necessary in the application form. This check will form part of the oversight function. Where issues are identified they will be brought to the attention of the line manager and the Senior Responsible Officer (SRO). This will assist with future audits and oversight.

10.7 Retention of records

10.7.1 The Council will comply with the Lord Chancellor's Code of Practice on the management of records issued under section 46 of the Freedom of Information Act 2000. The Council is obliged to meet the legal requirements for the retention and disposal of records in accordance with relevant legislation, particularly the Public Records Act 1958 (PRA 1958), the Freedom of Information Act 2000 (FOIA 2000), the Data Protection Act 2018 (DPA 2018) and the General Data Protection Regulation (GDPR).

10.8 Authorising Officers

10.8.1 Officers who are designated "Authorising Officers" may authorise written applications for the use of Directed Surveillance or the use of a CHIS, and non-RIPA surveillance.

10.8.2 Please refer to Appendix 1 for the list of Authorising Officers, to show name, departmental details, contact number and levels of Authority.

10.8.3 The Chief Officer Legal & Governance or in their absence the Chief Officer Regulation & Safety will authorise cases where confidential information is likely to be gathered or in the case of a juvenile or vulnerable CHIS.

10.8.4 The Chief Officer Legal and Governance should be informed of any changes to the list of Authorising Officers and will amend the policy accordingly. The Council's SharePoint will also be updated appropriately.

10.9 Urgent Oral Authorisations

10.9.1 The provision for urgent oral authorisations is no longer available to local authorities. All RIPA applications now have to be put before a Magistrate for consideration.

10.10 Local Sensitivities

10.10.1 Authorising Officers and Applicants should be aware of particular sensitivities in the local community where the Directed Surveillance is taking place, or of similar

activities being undertaken by other public authorities which could impact on the deployment of surveillance. This should form part of the risk assessment.

- 10.10.2 It should be noted that although this is a requirement there is no provision made within the application form for this information. Therefore, applicants should cover this where they feel it is most appropriate such as, when detailing the investigation or proportionality, or within the separate risk assessment form. However, it must be brought to the attention of the Authorising Officer when deciding whether to authorise the activity.

10.11 Authorising Officers Responsibility

- 10.11.1 Authorising Officers should not be responsible for authorising investigations or operations in which they are directly involved, although it is recognised that this may sometimes be unavoidable. Where an Authorising Officer authorises such an investigation or operation, the Central Record of Authorisations should highlight this and it should be brought to the attention of a Commissioner or Inspector during their next inspection.
- 10.11.2 Authorising Officers must treat each case individually on its merits and satisfy themselves that the authorisation is **necessary**, the surveillance is **proportionate** to what it seeks to achieve, taking into account the **Collateral Intrusion** issues, and that the level of the surveillance is appropriate to achieve the objectives. If any equipment, such as covert cameras, video cameras are to be used the Authorising Officer should know the capability of the equipment before authorising its use. This will have an impact on Collateral Intrusion, necessity and proportionality. They should not rubber-stamp a request. It is important that they consider all the facts to justify their decision. They may be required to justify their actions in a court of law or some other tribunal.
- 10.11.3 Authorising Officers are responsible for determining when reviews of the activity are to take place.
- 10.11.4 Before authorising surveillance, the Authorising Officer should also take into account the risk of intrusion into the privacy of persons other than those who are directly the subjects of the investigation or operation (Collateral Intrusion). Measures should be taken, wherever practicable, to avoid or minimise unnecessary intrusion into the lives of those not directly connected with the investigation or operation.
- 10.11.5 In the absence of the Head of Department, the application should be submitted to another Authorising Officer for authorisation.

10.12 Necessity and Proportionality

- 10.12.1 Obtaining a RIPA authorisation will only ensure that there is a justifiable interference with an individual's Article 8 rights if it is necessary and proportionate

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for these activities to take place. It must be necessary for the prevention and detection of crime with a 6 months sentence or relate to the sale of alcohol and tobacco to children. It must also be shown the reasons why the requested activity is necessary in the circumstances of that particular case. Can the same end result be achieved without the surveillance?

- 10.12.2 If the objectives could be achieved by methods other than covert surveillance, then those methods should be used unless it can be justified why they cannot be used.
- 10.12.3 Then, if the activities are **necessary**, the person granting the authorisation must believe that they are **proportionate** to what is sought to be achieved by carrying them out. This involves balancing the intrusiveness of the activity on the subject and others who might be affected by it against the need for the activity in operational terms. The activity will not be proportionate if it is excessive in the circumstances of the case or if the information which is sought could reasonably be obtained by other less intrusive means. All such activity should be carefully managed to meet the objective in question and must not be arbitrary or unfair. The interference with the person's right should be no greater than that which is required to meet the aim and objectives.
- 10.12.4 The onus is on the Authorising Officer to ensure that the surveillance meets the tests of **necessity and proportionality**.
- 10.12.5 The codes provide guidance relating to proportionality which should be considered by both applicants and Authorising Officers:
- balancing the size and scope of the proposed activity against the gravity and extent of the perceived crime or offence;
 - explaining how and why the methods to be adopted will cause the least possible intrusion on the subject and others;
 - considering whether the activity is an appropriate use of the legislation and a reasonable way, having considered all reasonable alternatives, of obtaining the necessary result;
 - evidencing, as far as reasonably practicable, what other methods had been considered and why they were not implemented.
- 10.12.6 It is important that the staff involved in the surveillance and the Line Manager manage the enquiry and operation and evaluate the need for the activity to continue.

10.13 Collateral Intrusion

- 10.13.1 Collateral Intrusion is an integral part of the decision-making process and should be assessed and considered very carefully by both applicants and Authorising Officers.

- 10.13.2 The Codes state that Collateral Intrusion is intrusion into the privacy of persons other than those who are directly the subjects of the investigation or operation such as neighbours or other members of the subject's family. Where it is proposed to conduct surveillance activity, specifically against individuals who are not suspected of direct or culpable involvement in the overall matter being investigated, interference with the privacy or property of such individuals should not be considered as Collateral Intrusion but rather as intended intrusion. Any such surveillance activity should be carefully considered against the necessity and proportionality criteria.
- 10.13.3 Intended intrusion could occur if it was necessary to follow a person not committing any offences but by following this person it would lead to the person who is committing the offences.
- 10.13.4 Where such Collateral Intrusion is unavoidable, the activities may still be authorised, provided this intrusion is considered proportionate to what is sought to be achieved. The same proportionality tests apply to the likelihood of Collateral Intrusion as to intrusion into the privacy of the intended subject of the surveillance.
- 10.13.5 Prior to and during any authorised RIPA activity, a risk assessment should take place to identify the likely intrusion into the subject and any Collateral Intrusion. Officers should take continuing precautions to minimise the intrusion where possible. The Collateral Intrusion, the reason why it is unavoidable, and the precautions taken to minimise it will have to be detailed on any relevant application forms. This will be considered by the Authorising Officer.
- 10.13.6 Before authorising surveillance, the Authorising Officer should take into account the risk of Collateral Intrusion detailed on the relevant application forms as it has a direct bearing on the decision regarding proportionality.
- 10.13.7 The possibility of Collateral Intrusion does not mean that the authorisation should not be granted, but the Authorising Officer must balance this with the importance of the activity to be carried out in operational terms.

10.14 Unexpected Interference with Third Parties

- 10.14.1 When carrying out covert Directed Surveillance or using a CHIS, the Authorising Officer should be informed if the investigation unexpectedly interferes with the privacy of individuals who are not the original subjects of the investigation or covered by the authorisation in some other way. It will be appropriate in some circumstances to submit a review form and in other cases the original authorisation may not be sufficient, and consideration should be given to whether a separate authorisation is required.

10.15 Confidential Information

- 10.15.1 Confidential information consists of matters subject to Legal Privilege, confidential personal information or confidential journalistic material. Where there is a likelihood of acquiring such information, it must be authorised by the Chief Executive, or in their absence by their deputy.
- 10.15.2 No authorisation should be given if there is any likelihood of obtaining legally privileged material without consulting the Chief Officer Legal and Governance
- 10.15.3 Confidential personal information is information held in confidence relating to the physical or mental health or spiritual counselling concerning an individual (whether living or dead) who can be identified from it. Such information, which can include both oral and written communications, is held in confidence if it is held subject to an express or implied undertaking to hold it in confidence or it is subject to a restriction on disclosure or an obligation of confidentiality contained in existing legislation. Examples might include consultations between a health professional and a patient, or information from a patient's medical records. Journalistic material is also mentioned in the codes, however, it is highly unlikely that this will be obtained. The definition should it be required can be obtained from the Codes of Practice at Chapter 4.
- 10.15.4 The following general principles apply to confidential material acquired under authorisations:

Those handling material from such operations should be alert to anything which may fall within the definition of confidential material. Where there is doubt as to whether the material is confidential, advice should be sought from the Chief Officer Legal and Governance before further dissemination takes place

- Confidential material should not be retained or copied unless it is necessary for a specified purpose;
- Confidential material should be disseminated only where an appropriate officer (having sought advice from the Legal & Governance Manager) is satisfied that it is necessary for a specific purpose;
- The retention or dissemination of such information should be accompanied by a clear warning of its confidential nature. It should be safeguarded by taking reasonable steps to ensure that there is no possibility of it becoming available, or its content being known, to any person whose possession of it might prejudice any criminal or civil proceedings related to the information;
- Confidential material should be destroyed as soon as it is no longer necessary to retain it for a specified purpose.

10.16 Documentation and Central Record

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- 10.16.1 Authorising Officers or Managers of relevant enforcement departments may keep whatever records they see fit to administer and manage the RIPA application process. However, this will not replace the requirements under the Codes of Practice for the Council to hold a centrally held and retrievable record. The original application and relevant approval by the Magistrate will be forwarded to Chief Officer Legal and Governance for filing and to complete the central register (see below).
- 10.16.2 A centrally retrievable record of all authorisations will be held by the Chief Officer Legal and Governance who requires the original application and Magistrates approval etc to be submitted to complete the central register. This will regularly be updated whenever an authorisation is refused, granted, renewed or cancelled. The record will be made available to the relevant Commissioner or an Inspector from the Office of Surveillance Commissioners, upon request. These records should be retained for at least three years from the ending of the authorisation or for the period stipulated by the Council's document retention policy, whichever is greater, and should contain the following information:
- if refused, that the application was not authorised and a brief explanation of the reason why. The refused application should be retained as part of the Central Record of Authorisation;
 - if granted, the type of authorisation and the date the authorisation was given;
 - date approved by a magistrate;
 - name and rank/grade of the Authorising Officer;
 - the unique reference number (URN) of the investigation or operation;
 - the title of the investigation or operation, including a brief description and names of subjects, if known;
 - frequency and the result of each review of the authorisation;
 - if the authorisation is renewed, when it was renewed and who authorised the renewal, including the name and rank/grade of the Authorising Officer;
 - whether the investigation or operation is likely to result in obtaining confidential information as defined in this code of practice;
 - the date the authorisation was cancelled;
 - the date and time when any instruction was given by the Authorising Officer.
- 10.16.3 As well as the Central Record the Legal and Governance Manager will also retain:

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- the original of each application, review, renewal and cancellation together with any supplementary documentation of the approval given by the Authorising Officer;
- a record of the period over which the surveillance has taken place.

10.16.4 For CHIS applications the Codes state;

In addition, records or copies of the following, as appropriate, should be kept by the relevant authority:

- the original authorisation form together with any supplementary documentation and notification of the approval given by the Authorising Officer;
- the original renewal of an authorisation, together with the supporting documentation submitted when the renewal was requested;
- the reason why the person renewing an authorisation considered it necessary to do so;
- any authorisation which was granted or renewed orally (in an urgent case) and the reason why the case was considered urgent;
- any risk assessment made in relation to the source;
- the circumstances in which tasks were given to the source;
- the value of the source to the investigating authority;
- a record of the results of any reviews of the authorisation;
- the reasons, if any, for not renewing an authorisation;
- the reasons for cancelling an authorisation;
- the date and time when any instruction was given by the Authorising Officer to cease using a source.

10.16.5 The Chief Officer Legal and Governance will be responsible for maintaining the Central Record of Authorisations and will ensure that all records are held securely with no unauthorised access.

10.16.6 The only persons who will have access to these documents will be the Chief Officer Legal and Governance, the Legal and Governance Manager and Authorising Officers.

10.16.7 The records kept by public authorities should be maintained in such a way as to preserve the confidentiality of the source and the information provided by that

source. There will, at all times, be a designated person within the Council who will have responsibility for maintaining a record of the use made of the source. The designated officer is the Legal and Governance Manager

11 Use of CCTV

- 11.1.1 The use of the CCTV systems operated by the Council do not normally fall under the RIPA regulations as in most cases it is overt (e.g. signs saying that the area is under CCTV surveillance). However, it does fall under the General Data Protection Regulations (GDPR) and the Council's CCTV policy. Should there be a requirement for the CCTV cameras to be used for a specific purpose to conduct surveillance it is likely that the activity will fall under Directed Surveillance and therefore require an authorisation under RIPA or not under RIPA.
- 11.1.2 On the occasions when the CCTV cameras are to be used in a Directed Surveillance situation either by enforcement officers from relevant departments within the Council or outside law enforcement agencies such as the Police, the partner agencies are to have a copy of the application form in a redacted format, or a copy of the authorisation page. If it is an urgent oral authority a copy of the applicant's notes are to be retained or at least some other document in writing which confirms the authorisation and exactly what has been authorised. It is important that the staff check the authority and only carry out what is authorised. A copy of the application or notes is also to be forwarded to the Legal & Governance Manager for recording in the Central Register. This will assist the Council to evaluate the authorisations and assist with oversight.
- 11.1.3 Operators of the Council's CCTV system, who are and are not Council employees, need to be aware of the RIPA issues associated with using CCTV and that continued, prolonged systematic surveillance of an individual may require an authorisation.

12 Joint Agency Surveillance

- 12.1.1 In cases where one agency is acting on behalf of another, it is usually for the tasking agency to obtain or provide the authorisation. For example, where surveillance is carried out by Council employees on behalf of the Police, authorisation would be sought by the Police. If it is a joint operation involving both agencies, the lead agency should seek authorisation.
- 12.1.2 Council staff involved with joint agency surveillance are to ensure that all parties taking part are authorised on the authorisation page of the application to carry out the activity. When staff are operating on another organisation's authorisation they are to ensure they see what activity they are authorised to carry out and make a written record. They should also inform the Chief Officer Legal and Governance of the unique reference number, the agencies involved and the name of the officer in charge of the surveillance. This will assist with oversight of the use of Council staff carrying out these types of operations.

13 Activities Which May Constitute Surveillance or Require Authorisation Outside of RIPA

13.1 Definition

- 13.1.1 Some investigative activities may not be easily recognised as constituting surveillance which requires authorisation. Any action that is likely to reveal private information¹ may constitute surveillance if it includes:
- monitoring, observing, listening to persons, their movements, conversations, other activities or communications;
 - recording anything monitored, observed or listened to in the course of surveillance;
 - surveillance, by or with, assistance of a surveillance device.
- 13.1.2 This policy requires RIPA authorisation to be sought in cases where an authorisation can be sought (as per Part 3 of the Policy). Where RIPA authorisation cannot be sought, for instance where an investigation is not into a criminal offence or the offence threshold in Part 3 is not met, the activity should still be authorised as per Part 6 of this policy.

13.2 Social Networks and the Internet

- 13.2.1 Online open source research is widely regarded as the collection, evaluation and analysis of material from online sources available to the public, whether by payment or otherwise to use as intelligence and evidence.
- 13.2.2 The use of online open source internet and social media research techniques has become a productive method of obtaining information to assist the council with its regulatory and enforcement functions. It can also assist with service delivery issues and debt recovery. However, the use of the internet and social media is constantly evolving and with it the risks associated with these types of enquiries, particularly regarding breaches of privacy under Article 8 Human Rights Act (HRA) and other operational risks. The activity may also require a RIPA authorisation for Directed Surveillance or CHIS. Where this is the case, the application process and the contents of this policy is to be followed.

- 13.2.3 Where the activity falls within the criteria of surveillance or CHIS outside of RIPA, again this will require authorising on a non RIPA form which will be authorised internally.
- 13.2.4 The Home Office Revised Code of Practice on Covert Surveillance and Property Interference, published in August 2018, provides the following guidance in relation to online covert activity and examples below that are relevant to Rugby Borough Council are given:

The growth of the internet, and the extent of the information that is now available online, presents new opportunities for public authorities to view or gather information which may assist them in preventing or detecting crime or carrying out other statutory functions, as well as in understanding and engaging with the public they serve. It is important that public authorities are able to make full and lawful use of this information for their statutory purposes. Much of it can be accessed without the need for RIPA authorisation; use of the internet prior to an investigation should not normally engage privacy considerations. But if the study of an individual's online presence becomes persistent, or where material obtained from any check is to be extracted and recorded and may engage privacy considerations, RIPA authorisations may need to be considered. The following guidance is intended to assist public authorities in identifying when such authorisations may be appropriate.

The internet may be used for intelligence gathering and/or as a surveillance tool. Where online monitoring or investigation is conducted covertly for the purpose of a specific investigation or operation and is likely to result in the obtaining of private information about a person or group, an authorisation for directed surveillance should be considered, as set out elsewhere in this code. Where a person acting on behalf of a public authority is intending to engage with others online without disclosing his or her identity, a CHIS authorisation may be needed (paragraphs 4.10 to 4.16 of the Covert Human Intelligence Sources code of practice provide detail on where a CHIS authorisation may be available for online activity).

In deciding whether online surveillance should be regarded as covert, consideration should be given to the likelihood of the subject(s) knowing that the surveillance is or may be taking place. Use of the internet itself may be considered as adopting a surveillance technique calculated to ensure that the subject is unaware of it, even if no further steps are taken to conceal the activity. Conversely, where a public authority has taken reasonable steps to inform the public or particular individuals that the surveillance is or may be taking place, the activity may be regarded as overt and a directed surveillance authorisation will not normally be available.

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As set out below, depending on the nature of the online platform, there may be a reduced expectation of privacy where information relating to a person or group of people is made openly available within the public domain, however in some circumstances privacy implications still apply. This is because the intention when making such information available was not for it to be used for a covert purpose such as investigative activity. This is regardless of whether a user of a website or social media platform has sought to protect such information by restricting its access by activating privacy settings.

Where information about an individual is placed on a publicly accessible database, for example the telephone directory or Companies House, which is commonly used and known to be accessible to all, they are unlikely to have any reasonable expectation of privacy over the monitoring by public authorities of that information. Individuals who post information on social media networks and other websites whose purpose is to communicate messages to a wide audience are also less likely to hold a reasonable expectation of privacy in relation to that information.

Whether a public authority interferes with a person's private life includes a consideration of the nature of the public authority's activity in relation to that information. Simple reconnaissance of such sites (i.e. preliminary examination with a view to establishing whether the site or its contents are of interest) is unlikely to interfere with a person's reasonably held expectation of privacy and therefore is not likely to require a directed surveillance authorisation. But where a public authority is systematically collecting and recording information about a particular person or group, a directed surveillance authorisation should be considered. These considerations apply regardless of when the information was shared online.

Example: A Rugby Borough Council officer undertakes a simple internet search on a name, address or telephone number to find out whether a person has an online presence. This is unlikely to need an authorisation. However, if having found an individual's social media profile or identity, it is decided to monitor it or extract information from it for retention in a record because it is relevant to an investigation or operation, authorisation should then be considered.

Example: A Rugby Borough Council officer makes an initial examination of an individual's online profile to establish whether they are of relevance to an investigation. This is unlikely to need an authorisation. However, if during that visit it is intended to extract and record information to establish a profile including information such as identity, pattern of life, habits, intentions or associations, it may be advisable to have in place an authorisation even for that single visit.

Example: Rugby Borough Council undertakes general monitoring of the internet in circumstances where it is not part of a specific, ongoing investigation or operation

to identify themes, trends, possible indicators of criminality or other factors that may influence operational strategies. This activity does not require RIPA authorisation. However, when this activity leads to the discovery of previously unknown persons of interest, once it is decided to monitor those individuals as part of an ongoing operation or investigation, authorisation should be considered.

13.3 Visits and Observing Properties and Vehicles

- 13.3.1 Surveillance which is overt does not require authorisation. A visit to a property by an RBC officer will not normally constitute surveillance if the intention is to speak to the occupier.
- 13.3.2 In some cases, repeated visits may be made to a property in connection with an investigation without the intention of speaking to the occupier, for example driving past the property to obtain details of vehicles or to look for signs of occupation. Such activity could become surveillance, as per 13.1 above and RIPA or non-RIPA authorisation should be sought if this is the case. This will be the case where the activity is intended to identify a pattern of behaviour, such as the movements of a vehicle at a particular location. A visit to obtain details of a vehicle is unlikely to constitute surveillance. Each case must be treated on its own merits.
- 13.3.3 If an officer plans to conduct a visit such as drive by visits (other than a routine visit to the occupier as per 13.3.1 above) detailed notes must be made explaining the purpose of the visit, why it is necessary and proportionate and why RIPA or non-RIPA authorisation has not been sought.

13.4 Aerial covert surveillance

- 14.4.1 Where surveillance using airborne crafts or devices, for example helicopters or unmanned aircraft (colloquially known as 'drones'), is planned, the same considerations outlined in this policy should be made to determine whether a surveillance authorisation is appropriate. In considering whether the surveillance should be regarded as covert, account should be taken of the reduced visibility of a craft or device at altitude. If these devices are used in a covert and pre-planned manner as part of a specific investigation or operation, for the surveillance of a specific person or group of people, a directed surveillance authorisation should be considered. Such covert surveillance is likely to result in the obtaining of private information about a person (namely, a record of their movements and activities) and therefore falls properly within the definition of directed surveillance.

14 Annual Report to Office of Surveillance Commissioners

- 14.1 The Council is required to provide statistics to the Investigatory Powers Commissioner's Office (IPCO) every year in March for the purposes of Annual Report. The Chief Officer for Legal and Governance shall be responsible for completing the return and providing the statistics.

15 Storage and Retention of Material

- 15.1 All material obtained and associated with an application will be subject to the provisions of the Criminal Procedures Investigations Act 1996 (CPIA) Codes of Practice which state that relevant material in an investigation has to be recorded and retained and later disclosed to the prosecuting solicitor in certain circumstances. It is also likely that the material obtained as a result of a RIPA application will be classed as personal data for the purposes of the GDPR. All officers involved within this process should make themselves aware of the provisions within this legislation and how it impacts on the whole RIPA process. Material obtained together with relevant associated paperwork should be held securely. Extra care needs to be taken if the application and material relates to a CHIS.
- 15.2 Material is required to be retained under CPIA should be retained until a decision is taken whether to institute proceedings against a person for an offence or if proceedings have been instituted, at least until the accused is acquitted or convicted or the prosecutor decides not to proceed with the case.
- 15.3 Where the accused is convicted, all material which may be relevant must be retained at least until the convicted person is released from custody, or six months from the date of conviction, in all other cases.
- 15.4 If the court imposes a custodial sentence and the convicted person is released from custody earlier than six months from the date of conviction, all material which may be relevant must be retained at least until six months from the date of conviction.

16 Training

- 16.1 There will be an ongoing training programme for Council Officers who will need to be aware of the impact and operating procedures with regards to this legislation. The Chief Officer for Legal and Governance will be required to retain a list of all those officers who have received training and when the training was delivered, and it is for Departments to consider what their training needs are in this area.
- 16.2 Authorising Officers must have received formal RIPA training before being allowed to consider applications for Directed Surveillance and CHIS.

17 Oversight

17.1 Responsibilities

- 17.1.1 It is important that all staff involved in the RIPA application process take seriously their responsibilities. Overall oversight within the Council will fall within the responsibilities of the Senior Responsible Officer (SRO) for the Council. However careful management and adherence to this policy and procedures will assist with maintaining oversight and reduce unnecessary errors.

17.2 Reporting to Members

- 17.2.1 Quarterly returns of all surveillance activity undertaken by Council staff will be made to the Council's Audit and Corporate Governance Committee by the Senior Responsible Officer in line with the Constitution. The Audit and Ethics Committee will review the policy annually and amend the policy where necessary.

17.3 Scrutiny and Tribunal

- 17.3.1 RIPA was overseen by the Office of Surveillance Commissioners (OSC). However, from 1 Sept 2017 oversight is now provided by the Investigatory Powers Commissioner's Office (IPCO) which has been set up as an independent inspection regime to monitor Investigatory Powers which relate to covert activity currently under RIPA. They will periodically inspect the records and procedures of the Authority to ensure the appropriate authorisations have been given, reviewed, cancelled, and recorded properly.
- 17.3.2 It is the duty of any person who uses these powers to comply with any request made by a Commissioner to disclose or provide any information he requires for the purpose of enabling him to carry out his functions.
- 17.3.3 A tribunal has been established to consider and determine complaints made under RIPA if it is the appropriate forum. Persons aggrieved by conduct, e.g. Directed Surveillance, can make complaints. The forum hears application on a judicial review basis. Claims should be brought within one year unless it is just and equitable to extend that period.

Complaints can be addressed to the following address:

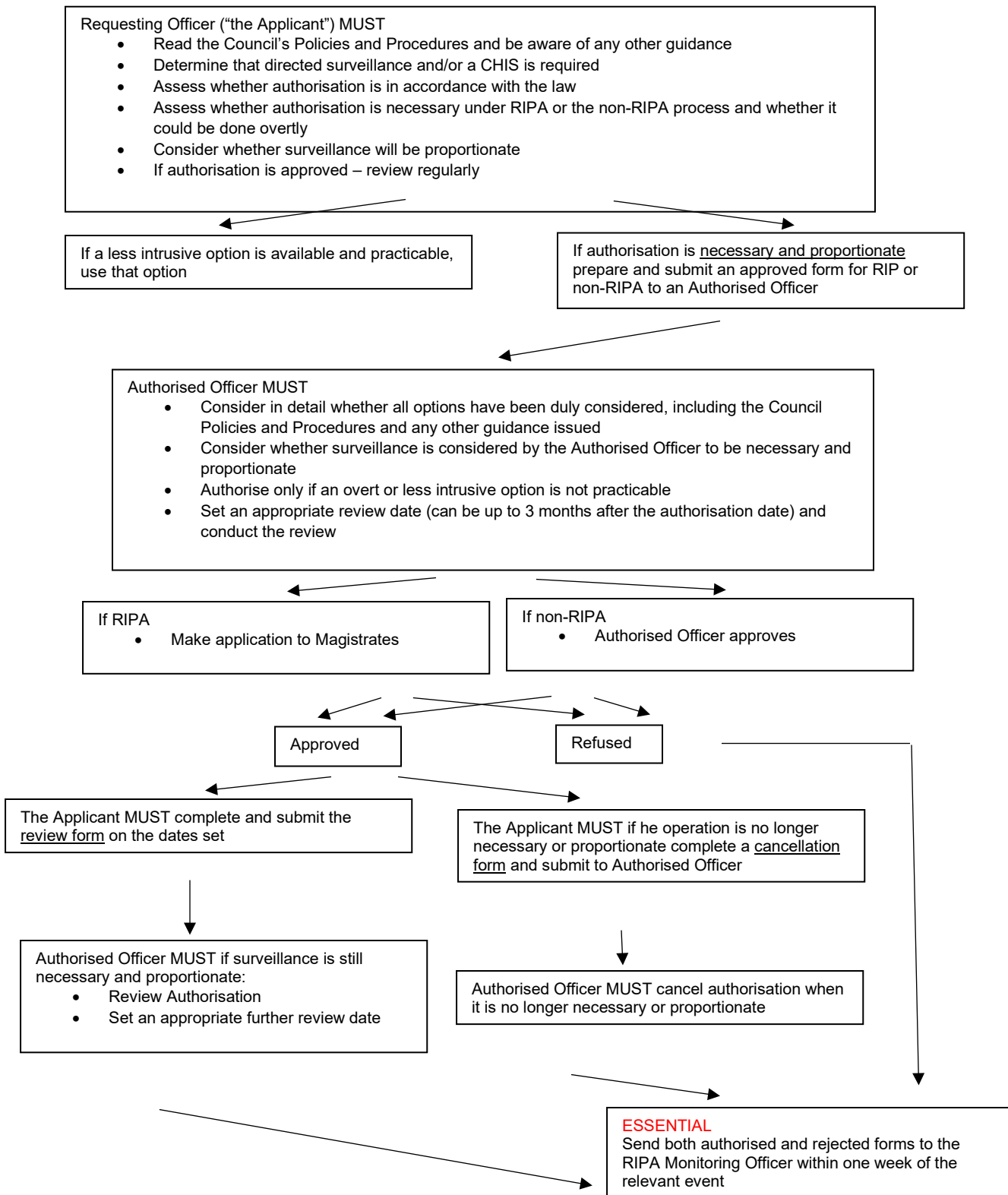
Investigatory Powers Tribunal
PO Box 33220
London
SW1H9ZQ

Tel 0207 035 3711

Appendix 1: LIST OF AUTHORISING OFFICERS AND AUTHORISING LEVELS

Senior Responsible Officer:	Chief Officer Legal & Governance
Deputy Senior Responsible Officer:	Chief Officer Regulation & Safety
RIPA Monitoring Officer:	Chief Officer Legal and Governance
Deputy RIPA Monitoring Officer:	Legal and Governance Manager
Authorising Officer:	Environmental Health & Community Safety Manager
Authorising Officer:	Development & Enforcement Manager
Authorising Officer:	Corporate Assurance and Improvement Manager
Authorising Officer:	Human Resources Manager

Appendix 2: Flow Chart for Directed Surveillance and CHIS



AGENDA MANAGEMENT SHEET

Report Title: The Regulatory Framework for Social Housing

Name of Committee: Cabinet

Date of Meeting: 16 September 2024

Report Director: Chief Officer - Communities and Homes

Portfolio: Communities and Homes, Regulation and Safety

Ward Relevance: All Wards

Prior Consultation: Political Group representatives

Contact Officer: Mary Jane Gunn
Communities and Projects Manager
maryjane.gunn@rugby.gov.uk

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):
 Rugby is an environmentally sustainable place, where we work together to reduce and mitigate the effects of climate change. (C)
 Rugby has a diverse and resilient economy that benefits and enables opportunities for all residents. (E)
 Residents live healthy, independent lives, with the most vulnerable protected. (HC)
 Rugby Borough Council is a responsible, effective, and efficient organisation. (O)
[Corporate Strategy 2021-2024](#)
 This report does not specifically relate to any Council priorities but

Summary: This report sets out details of the:

- new regulatory framework in place for providers of social housing
- the expectations and new powers of the Regulator of Social Housing

- the expectations and new powers of the Housing Ombudsman Service.
- the work in progress by officers, in response to the new regulatory framework.

Financial Implications: Activities associated with administering the Housing Revenue Account are exempt from the New Burdens doctrine, established by government in 2010. Consequently, the costs of compliance with the new regulatory requirements are to be met direct from HRA revenue, derived from rents and service charges.

Risk Management/Health and Safety Implications: This report sets out the actions being taken to respond to the new requirements of the Regulator of Social Housing and the Housing Ombudsman.

Environmental Implications: None needed for this report.

Legal Implications: The Housing and Regeneration Act 2008 (HRA2008) sets out the fundamental objectives for the Regulator (of social housing).

The Social Housing (Regulation) Act 2023 sets out the new regulatory regime for social housing. The purpose of the Act is to “reform the regulatory regime to drive significant change in landlord behaviour”. The Act lays the foundations for changes to how social housing is managed. It includes increased regulation of social landlords and new rules for protecting tenants from serious hazards in their homes.

In addition, the Social Housing (Regulation) Act 2023 introduced new provisions to strengthen the respective roles and improve the relationship between the Regulator of Social Housing and the Housing Ombudsman. The aim is to ensure a more joined up approach to regulation and the handling of complaints for the benefit of tenants and to strengthen powers that enable the Regulator of Social Housing and the Housing Ombudsman to exchange information.

Equality and Diversity: An Equality Impact Assessment has been carried out and is attached as Appendix 1 to this report.

Options: This report is for information.

Recommendation: The new regulatory framework introduced by the Social Housing (Regulation) Act 2023 and the resulting requirements of the Regulator of Social

Housing and the Housing Ombudsman Service be noted.

**Reasons for
Recommendation:**

This is an opportunity to ensure that Members are aware of the:

- significant changes to the regulatory and legislative framework for social housing and the increased rights of tenants; and
- work in progress in response to these requirements.

Cabinet - 16 September 2024

The Regulatory Framework for Social Housing

Public Report of the Chief Officer – Communities and Homes

Recommendations

The new regulatory framework introduced by the Social Housing (Regulation) Act 2023 and the resulting requirements of the Regulator of Social Housing and the Housing Ombudsman Service be noted.

1. Executive Summary

- 1.1 This report is an update to Members on the impact of the Social Housing (Regulation) Act 2023 and the implications for the effective delivery of the housing service.
- 1.2 The report also provides a summary of the work in progress to respond to the requirements of the new regulatory regime.
- 1.3 The Social Housing (Regulation) Act 2023 lays foundations for changes to how social housing is managed. It includes increased regulation of social landlords and new rules for protecting tenants from serious hazards in their homes. The Act itself describes its purpose as being to “reform the regulatory regime to drive significant change in landlord behaviour”.
- 1.4 Many of the provisions in the Act are responses to the tragedies of the 2017 Grenfell Tower fire and the death of two-year old Awaab Ishak, who died in 2020 from exposure to serious mould.
- 1.5 The Social Housing (Regulation) Act 2023 reintroduces proactive inspection of providers of social housing by the Regulator of Social Housing. Inspection for large social landlords (over 1000 homes) will take place at least every four years.
- 1.6 The Social Housing (Regulation) Act 2023 introduces new penalties for landlords who fail to meet regulatory standards. Penalties include performance improvement plans, enforcement notices, the appointment of advisors to local authorities, potentially unlimited fines and compensation orders.
- 1.7 The Social Housing (Regulation) Act 2023 introduces new provisions to improve the relationship between the Regulator of Social Housing and the Housing Ombudsman Service, with the intention that they should be able to exchange information more quickly, to better protect tenants.

1.8 The Social Housing (Regulation) Act introduces the concept of “professionalism”. The Act amends the Housing & Regeneration Act 2008 to allow the Regulator of Social Housing to introduce an additional regulatory standard for landlords in relation to the competence and conduct of individuals involved in the provision of services in connection with the management of social housing.

2. Background

2.1 The Social Housing (Regulation) Act 2023 has three core objectives:

- Facilitate a new, proactive consumer regulation regime.
- Refine the existing economic regulatory regime.
- Strengthen the Regulator of Social Housing’s powers to enforce the consumer and regulatory regimes.

2.2 The Act facilitates a new proactive regulatory regime. To achieve this the Regulator of Social Housing’s statutory objectives will now include safety and transparency and it will have new powers to support this. Significantly the “serious detriment” test will be removed paving the way for action to be taken by the Regulator of Social Housing in a greater number of cases of breaches of the consumer standards. The “serious detriment” test placed a very high threshold on the ability of the Regulator of Social Housing to use its powers when a breach of the consumer standards was identified.

2.3 Refining the existing economic regulatory regime - the economic regulatory regime differs for housing associations and local authorities; the Regulator of Social Housing is not responsible for overseeing the governance and financial viability of local authorities. For this reason, we will not examine the economic regulatory regime in the report.

2.4 The Act strengthens the Regulator of Social Housing by giving it new enforcement powers, seeking to ensure it can effectively intervene when required. This is particularly the case in relation to the consumer standards in order to underpin the importance of these.

3. Reform of the Consumer Regulatory Regime

3.1 The Regulator of Social Housing introduced new consumer standards on 1 April 2024. The consumer standards are:

- **The Neighbourhood and Community Standard** – Sets out outcomes about how landlords work with other organisations to help ensure tenants live in safe neighbourhoods.
- **The Safety and Quality Standard** – Sets out outcomes about the safety and quality of people’s homes.
- **The Tenancy Standard** – Sets out outcomes about how landlords allocate and let homes and manage tenancies.

- **The Transparency, Influence and Accountability Standard** – Sets out outcomes about how landlords provide information, listen to tenants and act on their views.

The consumer standards set out what tenants can expect from their landlord in each of the areas and the proactive inspections of landlords by the Regulator of Social Housing will examine if the consumer standards are being met.

4. The Inspection Regime

- 4.1 The last inspection of a social landlord was carried out by the Audit Commission in 2010, before the agency was abolished under the Localism Act 2011. In February 2024 the Regulator of Social Housing set out its Inspection Plan which is published under statute. This confirms programmed inspections for landlords with over 1000 properties will take place every four years.
- 4.2 Housing Associations will be inspected on a wider range of matters than local authorities, this is because the Regulator of Social Housing is not responsible for overseeing the financial and governance viability of local authorities.
- 4.3 The inspection focus for local authorities will be:
- Delivery of outcomes relating to stock quality, repairs and maintenance, health and safety compliance, local co-operation, anti-social behaviour and hate incidents, the management of domestic abuse and tenancy sustainment.
 - The extent to which the landlord treats all tenants with fairness and respect, takes action to meet the diverse needs of tenants provides meaningful opportunities for tenant led engagement, collects, and uses performance information (including the tenant satisfaction measures) and handles complaints.
- 4.4 Local authorities can also be subject to inspection on the implementation of the Rent Standard. The Rent Standard sets out the required outcomes for how registered providers set and increase rents for all their social housing stock in line with government policy.
- 4.5 The Regulator of Social Housing will be allocating grades to landlords as an assessment of how landlords are delivering against the consumer standards. The gradings for the consumer standards are described thus:

Grading	Description
C1	The RSH judgement is that overall, the landlord is delivering the outcomes of the consumer standards. The landlord has demonstrated that it identifies when issues occur and puts plans in place to remedy and minimise reoccurrence.
C2	The RSH judgement is that there are some weaknesses in the landlord delivering the outcomes of the consumer standards and improvement is needed.

C3	The RSH judgement is that there are serious failings in the landlord delivering the outcomes of the consumer standards and significant improvement is needed.
C4	The RSH judgement is that there are very serious failings in the landlord delivering the outcomes of the consumer standards. The landlord must make fundamental changes so that improved outcomes are delivered.

5. Intervention, Enforcement and Penalties

5.1 The Social Housing (Regulation) Act 2023 removed the “serious detriment” test for landlords. Prior to the Act the Regulator of Social Housing had been required to have reasonable grounds to suspect that a breach of the consumer standards had caused or could cause serious detriment to tenants before it could exercise its intervention powers.

5.2 The serious detriment test has been removed and the Regulator of Social Housing is now allowed to exercise its enforcement powers for any breach, or potential breach of the consumer standards, this will allow the regulator to be more proactive in its regulation of the consumer standards.

5.3 The Regulator of Social Housing can now require landlords to prepare and implement a performance improvement plan where that landlord is failing to meet regulatory standards, or there is a risk, if no action is taken, that a landlord will fail to meet a regulatory standard.

- Failure to comply with a performance improvement plan notice or implement a performance improvement plan approved by the Regulator of Social Housing are grounds for an enforcement notice.
- Failure to comply with a performance improvement plan notice and failure to provide a copy of a performance improvement plan to a tenant who requests one are grounds for the Regulator of Social Housing to impose a financial penalty on the landlord and to award compensation to the tenant.
- Failure to comply with a performance improvement plan notice is grounds for the Regulator of Social Housing to appoint an advisor to a local authority.

5.4 Enforcement notices

The Regulator of Social Housing can issue an enforcement notice on a landlord if a standard has been breached.

Grounds for serving an enforcement notice include when the landlord has failed to:

- meet a consumer standard
- comply with a performance improvement notice
- comply with an order made by the Housing Ombudsman
- comply with an earlier enforcement notice

The Regulator of Social Housing can also serve an enforcement notice on other grounds, including when the interests of tenants require protection, or the provider has mismanaged its affairs.

An enforcement notice must:

- specify the grounds on which it is served
- state the action required by the provider
- state when any action must be completed

- 5.5 The Regulator of Social Housing can issue a fine to a landlord if it fails to comply with an enforcement notice. The Regulator of Social Housing can also award compensation to affected tenants if a landlord fails to meet a consumer or economic standard.

The Social Housing (Regulation) Act 2023 makes amendments such that the RSH has the power to issue fines to all landlords including local authority providers. The cap on the level of penalty that the Regulator of Social Housing can impose has also been removed having previously been limited to £5,000.00. The Regulator of Social Housing could therefore potentially issue a penalty of an unlimited amount.

- 5.6 The Regulator of Social Housing publishes the results of the Tenant Satisfaction Measures, both the results of the Tenants Satisfaction Survey and the accompanying performance data and the regulatory judgements that it makes. Publication of the sector wide results of the Tenant Satisfaction Measures will give us the opportunity to benchmark our performance against the rest of the sector and Cabinet will be informed through a further report when the sector wide performance is available.

6. The Housing Ombudsman Service

- 6.1 The Housing Ombudsman Service investigates complaints and resolves disputes involving the tenants (and leaseholders) of social housing. Their vision is to improve residents' lives and landlords' services through housing complaints.
- 6.2 There has been significant changes in the Housing Ombudsman Service and the requirements of landlords when handling complaints. For example, the Housing Ombudsman Service Complaint Handling Code became statutory on 1 April 2024 meaning that landlords are obliged by law to follow its requirements.
- 6.3 Landlords are required to assess their compliance with the requirements of the Complaint Handling Code. Landlords will submit their annual assessment to the Housing Ombudsman Service and will publish it.
- 6.4 The Social Housing (Regulation) Act 2023 introduced new provisions to strengthen the relationship between the Regulator of Social Housing and the Housing Ombudsman Service, with the intention that they should be able to exchange information more quickly to better protect tenants. The Housing Ombudsman will now be consulted by the Secretary of State when setting

standards and giving direction to the Regulator of Social Housing and the Housing Ombudsman Service is required to consult with the Regulator of Social Housing when making amendments to its scheme.

- 6.5 The Housing Ombudsman Service can make findings of maladministration and severe maladministration, it can require landlords to compensate tenants where there has been maladministration and severe maladministration. Their findings are published.

7. Professionalism and Competency

- 7.1 The RSH is widely expected to introduce a new standard relating to the competence and conduct of staff within the landlord service. In particular individuals involved in the management of social housing will be required to obtain specific qualifications.

- 7.2 “Senior housing executives” will require a foundation degree or level 5 qualification whilst “senior housing managers” will require a level 4 qualification in housing management. A “senior housing executive” is defined as an employee or officer of a landlord who has responsibility for the day-to-day management of the provision of services and is part of the senior management team. “Senior housing managers are defined by reference to the Institute for Apprentices and Technical Education definition of “senior housing and property managers” which lists the following as examples:

- Property Manager
- Neighbourhood Housing Manager
- Resident Involvement Manager

8. The Rugby Borough Council Response to the Regulatory Framework

- 8.1 Appendix 2 provides a summary of works in progress and planned in respect of the requirements of the new regulatory regime.

9. Conclusion

- 9.1 The new regulatory requirements are a prescriptive tool to ensure that the whole social housing sector refocuses activities to deliver high quality housing services, responsive to the needs of service users.

Name of Meeting: Cabinet

Date of Meeting: 16 September 2024

Subject Matter: The Regulatory Framework for Social Housing

Originating Department: Communities and Homes

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

LIST OF BACKGROUND PAPERS

Doc No	Title of Document and Hyperlink
1	Appendix 1 Equality Impact Assessment
2	Appendix 2 Planned and In Progress Actions

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 - 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:

Corporate Equality & Diversity Team

Equality Impact Assessment

Service Area	Communities & Homes
Policy/Service being assessed	<p>This Eqia relates to the new regulatory framework in place for providers of social housing including:</p> <ul style="list-style-type: none"> • The expectations and new powers of the Regulator of Social Housing. • The expectations and new powers of the Housing Ombudsman Service. • The work in progress by officers, in response to the new regulatory framework.
<p>Is this a new or existing policy/service?</p> <p>If existing policy/service, please state date of last assessment</p>	New
EqIA Review team – List of members	Michelle Dickson Mary Jane Gunn
Date of this assessment	30 May 2024
Signature of responsible officer (to be signed after the EqIA has been completed)	

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

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)?	<p>The new regulatory framework introduced by the Social Housing (Regulation) Act 2023 and the resulting requirements of the Regulator of Social Housing and the Housing Ombudsman Service are significant developments in social housing.</p> <p>The Social Housing (Regulation) Act 2023 lays foundations for changes to how social housing is managed. It includes increased regulation of social landlords and new rules for protecting tenants from serious hazards in their homes. The Act itself describes its purpose as being to “reform the regulatory regime to drive significant change in landlord behaviour.”</p> <p>The report that accompanies this provides a summary of the work in progress to respond to the requirements of the new regulatory regime.</p>
(2) How does it fit with Rugby Borough Council’s Corporate priorities and your service area priorities?	<p>This report demonstrates Rugby Borough Council is a responsible, effective, and efficient organisation.</p>
(3) What are the expected outcomes you are hoping to achieve?	<p>Compliance with the requirements of the Regulator of Social Housing and the Housing Ombudsman Service.</p> <p>Improved offers to our tenants and equitable outcomes for our tenants.</p>
(4) Does or will the policy or decision affect: <ul style="list-style-type: none"> • Customers • Employees • Wider community or groups 	<p>This report will affect:</p> <p>RBC Tenants RBC Employees – the requirement for mandatory qualifications</p>

<u>Stage 2 - Information Gathering</u>	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).		
(1) What does the information tell you about those groups identified?	The population affected are RBC tenants and we have good quality data available on this population available through our CX system.		
(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?	The report describes regulatory requirements.		
(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>In April 2023, the RSH introduced the Tenant Satisfaction Measures Standard. The Tenant Satisfaction Measures Standard requires us to undertake a comprehensive annual Tenant Satisfaction Survey using standardised questions formulated by the RSH in consultation with providers of social housing.</p> <p>RBC undertook this significant consultation with all our tenants commencing in October 2023 and our results are now available and are being used in determining our service offer.</p> <p>In line with the requirements of the Regulator of Social Housing we will undertake this consultation annually.</p>		
<u>Stage 3 – Analysis of impact</u>			
<u>(1) Protected Characteristics</u> From your data and consultations is there any positive, adverse, or negative impact	RACE No adverse impact	DISABILITY No adverse Impact	GENDER No adverse impact

<p>identified for any particular group, which could amount to discrimination?</p> <p>If yes, identify the groups and how they are affected.</p>	<p>MARRIAGE/CIVIL PARTNERSHIP No adverse impact</p>	<p>AGE No adverse impact</p>	<p>GENDER REASSIGNMENT No adverse impact</p>
	<p>RELIGION/BELIEF No adverse impact</p>	<p>PREGNANCY MATERNITY No adverse impact</p>	<p>SEXUAL ORIENTATION No adverse impact</p>
<p><u>(2) Cross cutting themes</u></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 provision of good quality social housing has a significant positive impact on social inequalities.</p> <p>The Social Housing (Regulation) Act 2023 sets out the new regulatory regime for social housing. The purpose of the Act is to “reform the regulatory regime to drive significant change in landlord behaviour.” The Act lays the foundations for changes to how social housing is managed. It includes increased regulation of social landlords and new rules for protecting tenants from serious hazards in their homes.</p>		
<p>(3) If there is an adverse impact, can this be justified?</p>	<p>No adverse impacts have been identified.</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>N/A</p>		
<p>(5) How does the strategy/service/policy contribute to the promotion of equality? If not, what can be done?</p>	<p>Our positive and proactive response to the changes in the regulatory framework demonstrates our commitment to tackling social inequalities by providing high quality social housing for all of our tenants.</p>		

(6) How does the strategy/service/policy promote good relations between groups? If not, what can be done?	N/A
(7) Are there any obvious barriers to accessing the service? If yes, how can they be overcome?	N/A

<u>Stage 4 – Action Planning, Review & Monitoring</u>																										
<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>EqlA Action Plan</p> <table border="1"> <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> </tbody> </table>	Action	Lead Officer	Date for completion	Resource requirements	Comments																				
Action	Lead Officer	Date for completion	Resource requirements	Comments																						
(2) Review and Monitoring State how and when you will monitor policy and Action Plan	This EqlA will be reviewed in June 2025																									

Please annotate your policy with the following statement:

An Equality Impact Assessment on this policy was undertaken on 30 May 2024 and will be reviewed on 1 June 2025

	Action	How this demonstrates compliance	Action owner	Timescales	Progress as at May 2024
1.	A comprehensive Stock Condition Survey is currently underway, surveying 100% of communal areas and 60% of our homes in year 1. The resulting data will inform for the future HRA Business Plan.	Using data to inform our improvement programmes and continue to deliver high quality, safe homes.	Asset Manager	Initial Survey Jan 2024 – Oct 2024 then rolling programme of 20% of stock per annum	Stock Condition Survey on track.
2.	Review and refresh of policies and procedures, prioritising those that will drive compliance with the consumer standards.	Ensuring our policy framework drives good outcomes for tenants and applicants.	Housing Services Manager / Communities & Projects Manager	Rolling programme of review and update as required	Currently in progress: <ul style="list-style-type: none"> • Pet Policy • Infestation Policy • ASB • Former Tenant Arrears • Rent Arrears • Allocations policy • Approach to lettings
3.	The introduction of tenancy health checks – all council homes inspected every 2 years (as a minimum) Utilising data (i.e. no reporting of repairs; opting out of property improvements) to identify priority/vulnerable households to prioritise for tenancy health checks.	Ensuring we understand our tenants and their needs so that we can continue to provide high quality housing management support. Using our data intelligently to drive service delivery.	Housing Services Manager	Rolling programme from Q2 2024/25 (Q1 has been testing pilot and ensuring IT systems are aligned to support storage and effective interrogation of data)	Letters have gone out to all tenants to introduce the initiative and visits commenced June 2024.
4.	Implementation of the new Service Level Agreement between Communities and Homes and the Property Repairs Service.	Ensuring compliance with the Safety and Quality Standard of the Regulator of Social Housing.	Asset Manager	April 2023 and training rolled out January 2024	All staff in both Teams have received training to understand the objectives of the SLA and the wider regulatory framework of social housing. SLA to be monitored monthly and reviewed annually.

5.	Digital Platform for mutual Exchange to be introduced.	Ensuring compliance with the Tenancy Standard of the Regulator of Social Housing in respect of the service offer for tenants wanting to exchange homes.	Housing Services Manager	Ongoing from Q1 2024/25	This is now live and can be accessed via: Homeswapper.co.uk
6.	Integration of (previously remote working) Independent Living Co-ordinators within the main Housing Services Team.	Improving services to our tenants and ensuring compliance with the Neighbourhood and Community Standard of the Regulator of Social Housing.	Housing Services Manager	December 2023	Completed – operating from their main base within the housing services team. Integration of joint team meetings so part of 'one service'.
7.	Comprehensive review of our services utilising the best practice toolkits produced by the Housing Quality Network Toolkits to identify immediate areas for improvement.	Understanding our current service offer and our priorities for further improvement.	Communities & Projects Manager	February 2024	Review completed and will be a tool to help with the planned mock inspection. Will be updated on an annual basis.
8.	Mock Inspection to be carried out including an audit of our statutory compliance (gas, asbestos etc) to provide insight and opportunities for further service improvement and development.	Testing our compliance with the Consumer Standards and ensuring service planning is focused on outcomes for tenants and applicants. The mock inspection will enable us to develop a detailed action plan to further develop our offers.	Communities & Projects Manager /Asset Manager	September 2024	A suitably qualified provider has been appointed. The Mock Inspection will commence September 2024.
9.	A refreshed offer for tenant engagement, including the tenant panel, to be launched.	Ensuring compliance with the Transparency, Influence and Accountability Standard. Ensuring that tenants have an opportunity to influence the development of our policies, processes and practice	Communities & Projects Manager	June 2024	Refreshed Tenant Engagement Offer will be launched in July 2024. ToR and Code of Conduct for Tenants Panel agreed in February 2024.
10.	Production and distribution of hard copy newsletter for all tenants.	Ensuring compliance with the Transparency, Influence and Accountability Standard.	Communities & Projects Manager	Summer 2024 and quarterly thereafter.	Content and format will be generated in house, whilst the printing and distribution will be via an external contractor.

		<p>Ensuring our tenants are provided with good quality information about our services and how to access them.</p> <p>Ensuring our tenants receive information about how we are performing including tenant satisfaction with our services.</p>			
11.	Website review and refresh.	<p>Ensuring our tenants are provided with good quality information about our services and how to access them.</p> <p>Ensuring our tenants receive information about how we are performing including tenant satisfaction.</p>	Communities & Projects Manager	May 2024 – May 2025	A review of website has taken place, and we are providing new content and materials to the Comms Team to upload including an updated Tenants Handbook.
12.	Mandatory annual collection of tenant satisfaction measures (TSM) data.	Ensuring compliance with the Tenant Satisfaction Measures Standard of the Regulator of Social Housing.	Communities & Projects Manager	Rolling programme	<p>Data gathered for 2023/24 and will be reported to the Regulator in June. Has been shared with the Leaders Steering Group. Data being interrogated to identify potential areas for improved performance.</p> <p>Arrangements progressing for 2024/25 data collection.</p>
13.	Industry wide TSM data will be published in late 2024, allowing benchmarking of performance across the sector. When this has been produced, a report will be prepared for Cabinet, offering insight into our comparative performance.	Enabling us to benchmark with the sector.	Communities & Projects Manager	Autumn 2024 (date to be determined by the Regulator of Social Housing)	Horizon scanning for confirmation of when this data will be available.

14.	<p>Audit of senior staff and their relevant qualifications. Those who require additional qualifications are enrolling on them currently.</p> <p><i>*the full detail of the mandatory requirements has not yet been confirmed</i></p>	<p>Ensuring staff have the right skills, knowledge, and experience to deliver high quality services.</p>	<p>Housing Services Manager / HR Business Partner</p>	<p>July 2024</p>	<p>Staff impacted by these requirements are investigating appropriate qualifications and will be enrolling during the Summer & Autumn 2024.</p>
15.	<p>Focus on complaints including:</p> <ul style="list-style-type: none"> • Self-assessment against the Complaints Handling Code 2024. • Production and publication of Complaints Annual Report • Staff Training • Establishment of quarterly Lessons Learnt Clinic which will review complaints and serious incidents. 	<p>Ensuring compliance with the requirements of the Housing Ombudsman Service.</p> <p>We will use complaints as a source of intelligence to identify issues and introduce positive changes in service delivery.</p> <p>Demonstrates a learning organisation.</p>	<p>Communities & Projects Manager</p>	<p>Rolling programme with annual requirements</p>	<p>Staff Training 10 & 11 June 2024.</p> <p>Self-Assessment and Complaints Annual Report published in June 2024.</p> <p>ToR have been agreed for Communities and Homes Lessons Learnt Clinic, quarterly meetings are taking place</p>
16.	<p>Warwickshire Heads of Housing working collaboratively to share learning, best practice and ensure continuous horizon scanning in this fast-paced area of work.</p>	<p>Learning from others and seeking professional challenge.</p>	<p>Chief Officer C&H</p>	<p>A rolling programme of meetings are in place</p>	<p>Has helped inform the priority of policies and procedures under development.</p> <p>Has shaped the specification for the forthcoming mock inspection and compliance audit.</p>

AGENDA MANAGEMENT SHEET

Report Title: Support for council tenants in paying their rent

Name of Committee: Cabinet

Date of Meeting: 16 September 2024

Report Director: Chief Officer - Communities and Homes

Portfolio: Communities and Homes, Regulation and Safety

Ward Relevance: All

Prior Consultation: Portfolio Holder

Contact Officer: Marie Barlow
Housing Services Manager
marie.barlow@rugby.gov.uk

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):
 Rugby is an environmentally sustainable place, where we work together to reduce and mitigate the effects of climate change. (C)
 Rugby has a diverse and resilient economy that benefits and enables opportunities for all residents. (E)
 Residents live healthy, independent lives, with the most vulnerable protected. (HC)
 Rugby Borough Council is a responsible, effective and efficient organisation. (O)
[Corporate Strategy 2021-2024](#)
 This report does not specifically relate to any Council priorities but

Summary: The report summarises the support that is provided to tenants that are potentially having difficulties in maintaining their rent payments.

Financial Implications: There are none directly arising from this report.

Risk Management/Health and Safety Implications:	There are none directly arising from this report.
Environmental Implications:	There are none directly arising from this report.
Legal Implications:	There are none directly arising from this report.
Equality and Diversity:	An equality impact assessment was carried out as part of the rent setting process for 2024/25. This formed an appendix to the report to Council on 6 February 2023.
Options:	The report is a presentation of facts.
Recommendation:	The report be noted.
Reasons for Recommendation:	This report is in response to a friendly amendment agreed at Special Council on 6 February 2024. The amendment requested assurances as to the support available to tenants that are potentially facing difficulties in paying their rent.

Cabinet - 16 September 2024

Support for council tenants in paying their rent

Public Report of the Chief Officer - Communities and Homes

Recommendation

The report be noted.

1. EXECUTIVE SUMMARY

- 1.1. The report is in response to a friendly amendment agreed at Special Council on 6 February 2024, requesting assurances as to the support available to tenants that are potentially facing difficulties in paying their rent.
- 1.2. As well as setting out the support available to tenants, the report also draws on the regulatory requirements laid down by the Regulator for Social Housing in respect of both rent setting and collection.

2. Introduction

- 2.1. This report has been written in response to a Friendly Amendment agreed at Council on 6 February 2024 when an increase in rents for the financial year 2024/25 was agreed. It stated:

(4) the Council recognises the challenges faced by our tenants in light of this increase and will investigate options to build on the assistance provided by the Government's Household Support Fund, the Warwickshire Local Welfare Scheme, our partnership work with other organisations and our existing use of Discretionary Housing Payments for our most vulnerable tenants. This work will be particularly targeted at those people who are not in receipt of Universal Credit."

- 2.2. Rent levels in social housing are directed by the Department for Levelling Up, Housing and Communities' Rent Policy Statement and The Rent Standard issued by the Regulator for Social Housing. Current directions state that providers can increase their rents up to CPI in the September of the previous year +1%.
- 2.3. On an approximate rent of £120 per week for a three-bedroom house, the 7.7% rent increase has added around £9.24 per week to the rent. That said, Council rents remain cheaper than what is available in the private sector or, in general, from Housing Associations in the area.

- 2.4. As well as the restriction on maximum increases, rents are also capped as follows:

Social Rent – the rent caps apply as a maximum ceiling on the formula rent and depend on the size of the property.

Affordable Rents – the rent for affordable rent housing (inclusive of service charges) must not exceed 80% of gross market rent.

- 2.5. All rents go into the Housing Revenue Account which is ringfenced. Rental income is used to pay for the landlord service, including repairs and maintenance. It is also utilised for the long-term investment in the quality of homes, their regeneration and new council homes for rent. Rents are not used to generate a profit.
- 2.6. It is recognised that there are many reasons why tenants do not pay all or some of their rent.
- 2.7. The Housing Services Team manages the tenancies of Council tenants in Rugby. The team follows instructions from the Regulator for Social Housing which has recently published its new Consumer Standard which states:

“Registered providers must provide services that support tenants to maintain their tenancy or licence and prevent unnecessary evictions”.

Tenants who are struggling to pay their rent are supported in a variety of ways, with legal action to regain tenancies only being taken as a last resort.

- 2.8. The Housing Services Team also follows the Pre Court Protocol which came into force in January 2020. It describes action social landlords should take prior to pursuing a claim for possession of a property. It encourages strong communication and exchange of information between landlords and tenants to enable the parties to avoid litigation where possible.

3. Context

- 3.1. The Council manage approximately 3300 tenancies. Of these tenancies, around 1000 of these are believed to be self-funding. The definition of self-funding can be problematic as the Universal Credit system encourages tenants to receive funds to cover housing costs directly.
- 3.2. We are only aware of those tenants who have their rent paid to the Council via either Housing Benefit or Universal Credit. Therefore, self-funding could include tenants receiving full benefit directly, partial benefits or no benefits at all. Rent increases should only impact those who are truly self-funding, as those claiming benefit will see a proportional rise in their entitlement. Those who are deemed to be on a low income, as defined by Government thresholds will be entitled to benefits, either fully or partially, to support them.
- 3.3. Of our Independent Living tenancies (generally housing for older people) there was only 2.6% arrears at the end of Quarter 4 2023/24.

- 3.4. Of our General Needs tenancies there was only 6.4% arrears at the end of Quarter 4 2023/24.
- 3.5. It should be noted that some accounts will be temporarily in arrears at some points in our rental cycle pending benefit or other payments made in arrears.
- 3.6. The total rent roll collected for the Financial Year 2023/24 was 97% of the total rent roll.

4. Resourcing within the team to support tenants pay their rent

- 4.1. Council approved a request to increase the resources of the Housing Services Team in October 2023. Amongst others, this made the Lead Officer for Income and Support a permanent post and increased the number of Income Officers from 2.5 to 4 full time equivalent posts. This gave the team the ability to give greater attention to each rent account by decreasing the patch size of each Officer.
- 4.2. The use of specialist Income Officers, as opposed to generic officers who cover all aspects of tenancy management, is of advantage in managing rent accounts. These officers are keenly taking up income and support training being made available to them and have strong relationships with the Department of Work and Pensions (DWP), the Council's Housing Benefit Team and a plethora of support and assistance providers.
- 4.3. The increase in resource across the wider team will also enable the Housing Services Team to begin Tenancy Audits. This will facilitate one to one contact with our tenants and provides an additional opportunity for early identification of potential difficulties tenants may have in managing their home and their tenancy.
- 4.4. The wider Communities and Homes Team are also seeking to make every contact with our tenants meaningful. This includes awareness during estate inspections, gas and electrical safety inspections, repairs, property improvements and the upcoming stock condition surveys.
- 4.5. The effective use of information technology systems, Rent Sense and CX, enables officers to identify any tenants who are struggling to pay their rent at an early stage. Officers can then look at support options, income maximisation and repayment plans, before the situation escalates. The aim to avoid evictions through the provision of quality advice and support at the earliest opportunity resulted in only one eviction for rent arrears taking place during 2023/24.
- 4.6. The team run a well-attended rent drop-in session twice a week in the Town Hall. During quarter 1 of 2024/25, these drop-in sessions were attended by 137 tenants. In addition, all rent letters encourage tenants to contact the team if they have any concerns regarding paying their rent. The team also proactively contacts tenants whose rent accounts they have concerns about.

5. The Tenant Journey

- 5.1. It is more cost effective and socially beneficial to employ preventative strategies rather than reactive strategies. During the sign-up process, officers look at the new tenant's income information and other factors to determine whether a referral to the tenancy support service would be beneficial. This builds on the work conducted by the Housing Advice and Benefits Team at the point of submitting an application for housing.
- 5.2. Officers will explain the tenancy agreement, including the obligation to pay rent on time. They are clear with tenants that if there are issues with paying the rent, they should make contact with the Income Team sooner rather than later so they can offer assistance.
- 5.3. As soon as a new tenancy is set up on the housing management system, the Income Officers can contact the tenant, if appropriate.
- 5.4. Housing Officers will carry out settling in visits in person to a tenant's new home within the first few weeks of the commencement of tenancy. This is an opportunity to identify any early difficulties in their managing their home and tenancy, It is also an opportunity to verify that the property is being occupied and is not being sub-let. Regular visits will continue during the first year of a new tenancy.
- 5.5. An advantage of being locally based landlord is the level of personal contact with tenants. If there is a need to serve a notice for a tenancy management issue, including rent arrears, this will be hand delivered by an officer who will seek to speak to the tenant. If the notice needs to be left at the property, as the tenant is out, they will be invited to make contact. If not contact is received, within 14 days, a further home visit is automatically booked.
- 5.6. Officers configure office cover to enable them to take calls from tenants including during lunchbreaks. They will also arrange conversations after office hours, into the early evening to accommodate those that find it difficult to contact the team during office hours.
- 5.7. Officers will also work with tenants to complete income and expenditure forms and agree a realistic repayment plan for rent arrears.

6. Tenancy Support

- 6.1. The team have a Tenancy Support Officer and, thanks to the recent increase in resources, a Tenancy Support Assistant. Both provide support to residents on budgeting and benefit entitlements. Tenants do not have to be in receipt of benefits to work with the Tenancy Support Officers.
- 6.2. One of the key functions of the support service is to provide specific advice to all tenants on maximising their income. They can refer to local charities and welfare schemes as well as those run by specific providers such as the utility companies.

- 6.3. A referral can be completed by any member of the Housing Services Team, with current waiting times less than a week. In total for 2023/24 the Tenancy Support Team worked on 252 referrals.
- 6.4. The Team also make referrals to the Bedworth, Rugby and Nuneaton Citizens Advice Bureau (BRANCAB) who services in assisting our tenants, the Council part fund – currently at £73,000 per annum. BRANCAB can offer more specialist services such as applying for Breathing Space and Debt Recovery Orders that it would not be appropriate for Officers to advise on.

7. Conclusion

- 7.1. As the Housing Services Team is increasingly focused on being community based and getting to know their customers, they are better placed to identify vulnerabilities – including financial ones.
- 7.2. Additional opportunities to support tenants have been created – the twice weekly drop in sessions at the Town Hall and the roll out of the new tenancy health checks.
- 7.3. This approach enables bespoke interventions and strategies to be put in place to ensure timely support when it is needed and with an emphasis on avoiding tenants falling into crisis.

Name of Meeting: Cabinet

Date of Meeting: 16 September 2024

Subject Matter: Support for council tenants in paying their rent

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

AGENDA MANAGEMENT SHEET

Report Title: The impact of the Voluntary and Community Sector organisations funded by the Council in 2023/24

Name of Committee: Cabinet

Date of Meeting: 16 September 2024

Report Director: Chief Officer - Communities and Homes

Portfolio: Communities and Homes, Regulation and Safety

Ward Relevance: All Wards

Prior Consultation: Warwickshire Community and Voluntary Action
6 Community Associations (CA) – Brownsover CA, Benn Partnership Centre, Overslade CA, Newbold on Avon Community Partnership, New Bilton CA, Long Lawford CA
Bedworth, Rugby and Nuneaton Citizens Advice Bureau
The Food Bank

Contact Officer: Mary Jane Gunn
Communities and Projects Manager
maryjane.gunn@rugby.gov.uk

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):
 Rugby is an environmentally sustainable place, where we work together to reduce and mitigate the effects of climate change. (C)
 Rugby has a diverse and resilient economy that benefits and enables opportunities for all residents. (E)
 Residents live healthy, independent lives, with the most vulnerable protected. (HC)
 Rugby Borough Council is a responsible, effective, and efficient organisation. (O)
[Corporate Strategy 2021-2024](#)
 This report does not specifically relate to any Council priorities but

Summary:	The Impact Report, attached as Appendix 1 to this report, demonstrates the positive impact and achievements of the voluntary and community sector organisations funded by the council during 2023/24.
Financial Implications:	There are no financial implications arising from this report.
Risk Management/Health and Safety Implications:	The report is a mechanism to highlight the positive contribution made by organisations in receipt of funding from the council and how their work contributes to supporting the council in achieving its outcomes as set out in the corporate strategy.
Environmental Implications:	No specific issues identified.
Legal Implications:	<p>The Council has a wide power within Section 2 of the Local Government Act 2000. This is known as the “wellbeing power” and seeks to promote or improve the economic, social, and environmental wellbeing of the Council’s area. This includes the power to provide financial assistance to achieve this purpose.</p> <p>In addition to the “wellbeing power” the council is also able to utilise the General Power of Competence under the Localism Act 2011. This represents a more recent statutory power and further strengthens the ability of the Council to provide financial assistance as set out within this report.</p>
Equality and Diversity:	An Equality Impact Assessment has been carried out and is attached as Appendix 2 to this report.
Options:	The report is for information.
Recommendation:	<ol style="list-style-type: none"> 1) The content of the report be noted and; 2) the achievements of the organisations supported through Council grant funding during 2023/24 be commended.
Reasons for Recommendation:	To ensure that Members are aware of the positive outcomes achieved by voluntary and community sector organisations in receipt of grant funding during 2023/24, and the resulting valuable contribution to supporting the outcomes of the corporate strategy.

Cabinet - 16 September 2024

The impact of the Voluntary and Community Sector organisations funded by the Council in 2023/24

Public Report of the Chief Officer – Communities and Homes

Recommendation

- 1) The content of the report be noted; and
- 2) the achievements of the organisations supported through Council grant funding during 2023/24 be commended.

1. Executive Summary

- 1.1. The report (Appendix 1) demonstrates the achievements of voluntary and community organisations in receipt of grant funding from the Council and how their work has contributed to supporting the delivery of the corporate strategy outcomes during 2023/24.

2. Background

- 2.1. The report highlights the work of the voluntary and community sector groups, in receipt of funding from the council during 2023/24 and demonstrates the:
 - scope and range of services, as well as support that they offer;
 - number of residents who have benefited from their services and support;
 - positive impact of those services and support on residents including tackling social isolation, mental wellbeing, maximising income and increasing access to healthy nutrition.

The funding provided was as follows:

- Community Associations - £45,000.00 (total)
- Bedworth, Rugby and Nuneaton Citizens Advice Bureau (BRANCAB) - £73,000.00
- Warwickshire Community and Voluntary Action (WCAVA) - £39,600
- The Rugby Foodbank - £8,000.00

- 2.2 It should be noted that the funding for the Foodbank and the community associations is in the form of grants, whilst the WCAVA and BRANCAB funding arrangements are contractual, with their services having been procured. A copy of the grant agreement for the community associations is included as Appendix 3.

3. Data Quality

- 3.1 Whilst the data provides an impressive narrative about the valued work of the sector, it does identify that more specific measures, demonstrating impact, would be helpful.
- 3.2 This is something that will form part of the proposals for the Council's support of the sector in 2025/26. It is recognised that any such measures will need to be proportionate and not too onerous for groups.

4. Conclusion

- 4.1 The groups can demonstrate how they have utilised grant to support communities during 2023/24.
- 4.2 It should be noted that the provision of grant is only one of the ways that the council supports the wider voluntary and community sector in Rugby.
- 4.3 Additional support provided by the Council includes the Rugby Lotto, as a means of fundraising, and a procured infrastructure contract with WCAVA, for the provision of support and advice to enable organisational development and sustainment.

Name of Meeting: Cabinet

Date of Meeting: 16 September 2024

Subject Matter: The impact of the Voluntary and Community Sector organisations funded by the Council in 2023/24

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

Voluntary and Community Sector Impact Report 2023-24



Contents

- 1. Introduction**
- 2. Community Associations:**
 - 2.1 Benn Partnership Centre
 - 2.2 New Bilton Community Association
 - 2.3 Brownsover Community Association
 - 2.4 Long Lawford Community Association
 - 2.5 Newbold on Avon Community Partnership
 - 2.6 Overslade Community Association
- 3. Rugby Warwickshire Community & Voluntary Action (WCAVA)**
- 4. Rugby Foodbank**
- 5. Bedworth, Rugby and Nuneaton Citizens Advice (BRANCAB)**



In 2023/24 the Council continued to provide funding to the voluntary and community sector, with the aim to help develop community capacity, and to provide local services, that are easily accessible by Rugby residents. By working closely with the sector, the Council is better placed to understand challenges that are faced by our communities, and effectively tailor services to support them in the most efficient way.

The organisations provide activities that contribute to the following Rugby Borough Council Corporate Priorities 2021-24:

- Rugby is an environmentally sustainable place, where we work together to reduce and mitigate the effects of climate change.
- Rugby has a diverse and resilient economy that benefits and enables opportunities for all residents.
- Residents live healthy, independent lives, with the most vulnerable protected.

Organisation	Notes	Funding for 2023/24
Community Associations	<p>6 Community Associations, which operate in the most deprived areas in the borough, provide various activities, largely focusing on tackling social isolation and loneliness, as well as addressing economic inequalities.</p> <p>In 2023/24 they each received £7,500:</p> <ul style="list-style-type: none"> • Benn Partnership Centre (BPC) • Brownsover Community Association (BCA) • Long Lawford Community Association (LLCA) • New Bilton Community Association (NBCA) • Newbold on Avon Community Partnership (NOACP) • Overslade Community Association (OCA) 	£45,000
Rugby Foodbank	Support for emergency food donations	£8,000
Bedworth, Rugby and Nuneaton Citizens Advice Bureau (BRANCAB)	Provision of advice to the residents of the borough	£73,000
Warwickshire Community and Voluntary Advice (WCAVA)	Community and voluntary infrastructure support	£39,600

Benn Partnership Centre

Christmas Day Dinner

Every year the Benn Partnership Centre organises a free Christmas Day Dinner for some of Rugby's most vulnerable residents. There are many people in our community who are homeless, lonely, or who would not be able to afford a meal on that day otherwise.

RBC Housing Services officers also refer our vulnerable tenants to the centre to spend this important day, for many, in company.

This year 38 volunteers gave up their time to serve Christmas dinners to 79 people at the Centre and delivered packed dinners to 18 people who were unable to come.

The impact has been: tackling isolation and loneliness, combating food poverty and financial exclusion by providing nutritious meals for those on low income and promoting community cohesion



Benn Partnership Centre

Gardening – Everyone is welcome to join the team of gardening volunteers to do some weeding and planting. The Centre worked with the Prince's Trust to transform the garden and produced a great area for people to enjoy.

Walking Group – the Centre offers 2 walking groups, depending on the level of physical abilities. The walks take place on a weekly basis (weather permitting), from March to September, usually in the countryside. Last year, on average 7 people attended the weekly sessions.

English lessons (ESOL) 6 sessions a week.

Computer Training

Work Club – the Centre offers support with job search, CV, interview skills and applying for jobs.

The Centre also has regular appointments to help people with applying for visas, universal credit etc. Rugby Citizens Advice, as well as RBC, regularly signpost people, who need help with filling in forms, such as for housing and school admission, to the Centre.

The impact has been: enabling residents to take an active role in their community, working collaboratively with other partners to support residents, providing learning opportunities and activities that positively contribute to improved physical and mental health, supporting more vulnerable groups, improving computer literacy and enhancing green spaces in Benn Ward.



Benn Partnership Centre



Twiggy Crowns made by Express Art Group. They were displayed in Hatty Bakewell's Cafe in Caldecott Park for a Coronation Crown trail organised by Rugby Art Gallery.

Some of the organisations the centre hosted:

Express Art Group on Thursdays run by Rugby Art Gallery and Museum.

OCD Support – an informal support group for sufferers of Obsessive-Compulsive Disorder.

Free Lifestyle Clinic Programme - Project run by Rugby Health Limited (Rugby Primary Care Network). The programme consisted of 3 sessions, whereby Rugby patients were supported in making lifestyle choices, that would improve their physical and mental wellbeing – through exercise and healthier eating.

Warwickshire Pride – LGBT+ charity meets once a week at the centre.

The impact has been: working collaboratively with other partners and agencies to deliver activities that contribute to improved physical and mental wellbeing of the community, tackle issues of isolation and loneliness and support more vulnerable groups.



New Bilton Community Association

Edible gardens

New Bilton CA and their volunteers look after two sites: Gladstone Green and Jubilee Park. This year, they received another Green Flag Award.

The gardens are sustainable, offering drought-resistant herbs and insect pollinators and bee-friendly fruits and vegetables for residents of New Bilton. NBCA regularly donates vegetables to people in need i.e., to Guru Nanak Gurdwara and Christian Life Centre.

The Community Association has been involved in the development of Community Orchards in Queen's Jubilee Park, which is a project seeking to plant fruit and nut trees in suitable areas across Rugby.

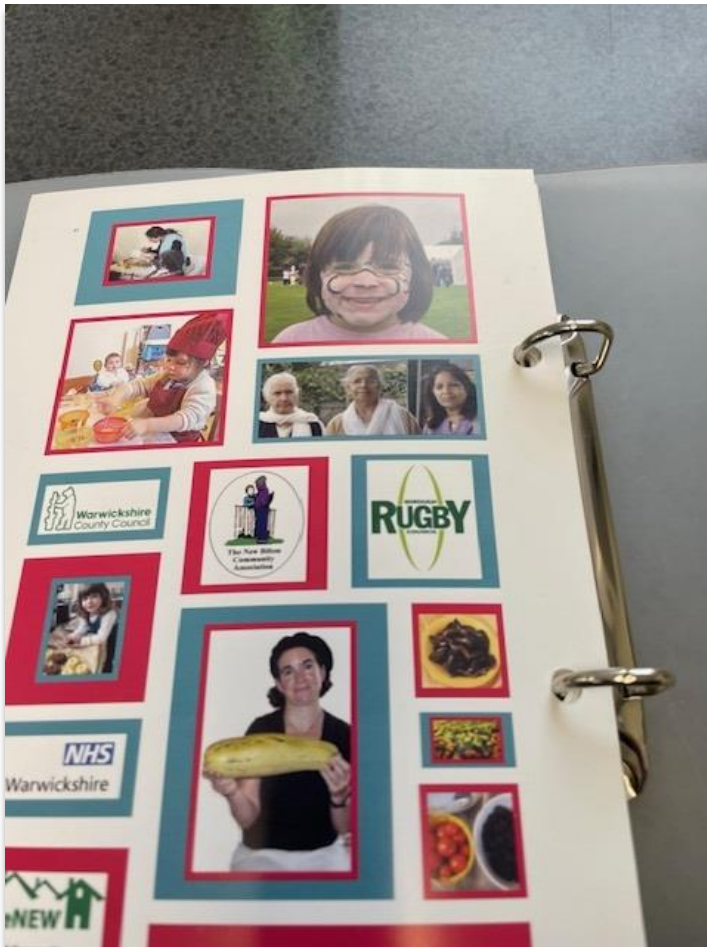
The Community Association secured funding with Warwickshire County Council for a pilot project, an innovative way of growing vegetables called 'Hydro Veg'. The vegetables will then be used for food hampers that will be distributed to residents to help tackle food insecurities.

The impact has been: positive impact on health and wellbeing and climate change, increased supply of fresh food in New Bilton, enhancing, improving and protecting New Bilton's green spaces, increasing variety of planting, providing opportunities for social interaction, engaging with communities and other agencies, combating food poverty.



The New Bilton
Community
Association

New Bilton Community Association



The booklet with budget friendly recipes which NBCA will distribute with the cookers to residents in need

Cooking project

The community association secured a grant with Rugby Borough Council's Community Support Fund, through the UK Shared Prosperity Fund, to purchase and distribute up to 60 slow cookers to residents living in food poverty.

The slow cookers will be provided with recipes for healthy and budget-friendly meals, as well as cost-of-living advice. The project will be delivered in co-operation with Rugby Christian Life Centre, who run a food distribution scheme and have a food distribution network in place.

Since a slow cooker is one of the most energy efficient kitchen appliances, and it uses much less energy than a conventional oven, the project will help reduce costs of preparing a hot and nutritious meal as well as contribute to the reduction of greenhouse gas emissions because of the lower consumption of electricity.

The impact: combating food poverty, helping those on low-income access affordable and nutritious meals, reducing the burden of the cost of living for households within the borough, tackling loneliness, reducing greenhouse gas emissions, increasing take-up of energy efficiency measures by households within the borough.

Benn Partnership Centre

This year the Centre carried out a consultation with residents to understand what activities they would like to take part in, and the results showed that many people struggled with loneliness and social isolation. In response to this, Benn Partnership organised more events to get together, make friends and share a meal in a warm and friendly space. The Centre serves over 600 residents every month.



Meet and Eat Community Café

The Café takes place every Friday. It is run by 6 volunteers and about 30 people come to the centre every week to have a nutritious meal and a chat.

The Winter Warm Hub Cooking Club

The Centre ran 7 sessions with an average of 10 people attending sessions.

World Food Event

The Centre organised World Food event, where people from different countries brought in examples of their national cuisine. Many visitors had the opportunity to try delicious meals from 11 different nations. The Centre paid for the ingredients.

The Centre regularly receives food donations, and they have a community fridge, which can be accessed by anyone in need.

The impact has been: tackling isolation and loneliness particularly for those new to the ward and borough, combating food poverty and financial exclusion, promoting community cohesion in our most diverse ward, providing nutritious meals for those on low incomes.

New Bilton Community Association



Looking for Cost of Living help?

Look after the pennies with
FREE
cost of living workshops



attend 3 sessions and get a £25 Argos voucher

- Shop for Less
- Balancing your budget
- Saving Energy and the Planet

Are you in control of your spending?

Make the most of your money and develop good saving and budgeting habits



Friends Meeting House
28 Regent Place, Rugby, CV21 2PN

1.45pm to 3.15pm

Wednesday 1 November 23
Wednesday 8 November 23
Wednesday 15 November 23

To find out more and to register, go to
<https://cwcda.co.uk/community-services/money-money-maths/>

SKILLS
FOR LIFE
MULTIPLY

MONEY
MONEY
WAYS



Warm Hub / Drop-in on Wednesdays at Rugby Quaker Meeting

It is a warm space to have a friendly chat, a cup of tea and snacks, play games, and make new friends, as a means of reducing social isolation. At the same time, NBCA delivers computer learning and job search. They can help with filling in forms as well as signpost to other supporting organisations such as Rugby CAB. The Community Association hosts charities and supporting organisations to give presentations and advice on debt, benefits, mental and physical wellbeing and volunteering. NBCA also distributed goodie bags, provided by WRCC, to vulnerable residents in New Bilton.

Money Money Maths with Coventry & Warwickshire CDA

The organisations facilitated Cost of Living workshops, at Rugby Quaker Meeting House, on managing budget, shopping for less and developing good saving habits. There were 3 sessions in November 2023, and 9 people, who attended all sessions, received a £25 Argos voucher.

Coffee Morning at Dryden Place

The Community Association supported tenants at Dryden Place to re-start activities at their community room. The tenants are planning Saturday Breakfast, once a month, and Quiz Nights.

The impact has been: reducing the burden of the cost of living for households within the borough, tackling loneliness, tackling issues of financial exclusion and working collaboratively with other partners to deliver that.



Benn and New Bilton Area Action Plans

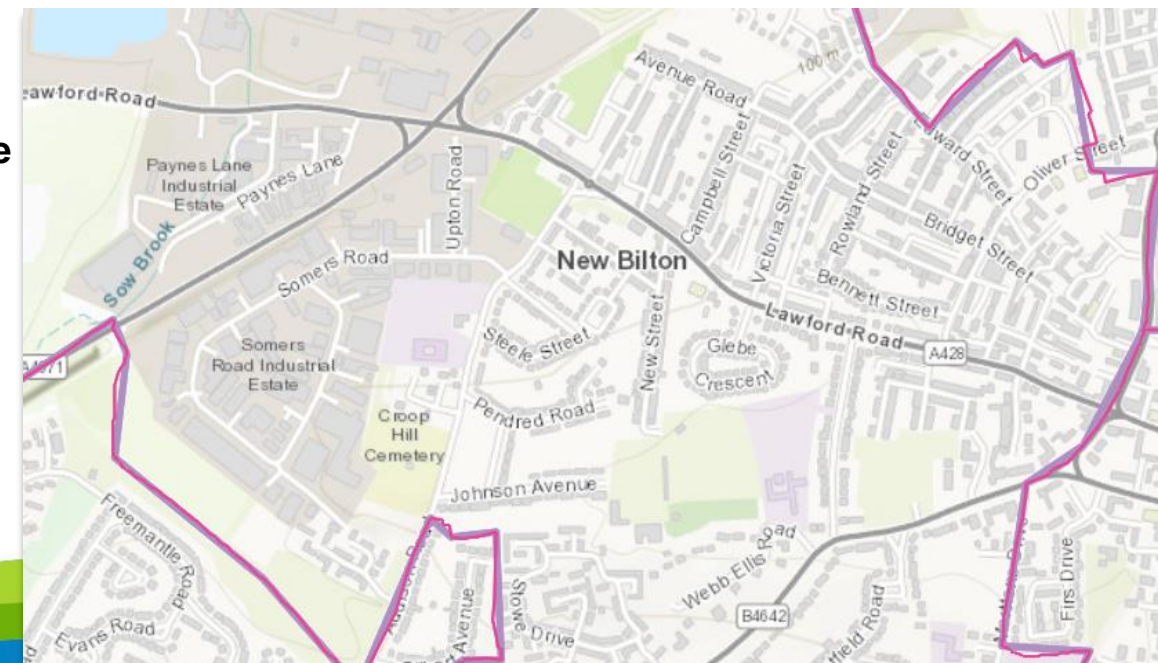
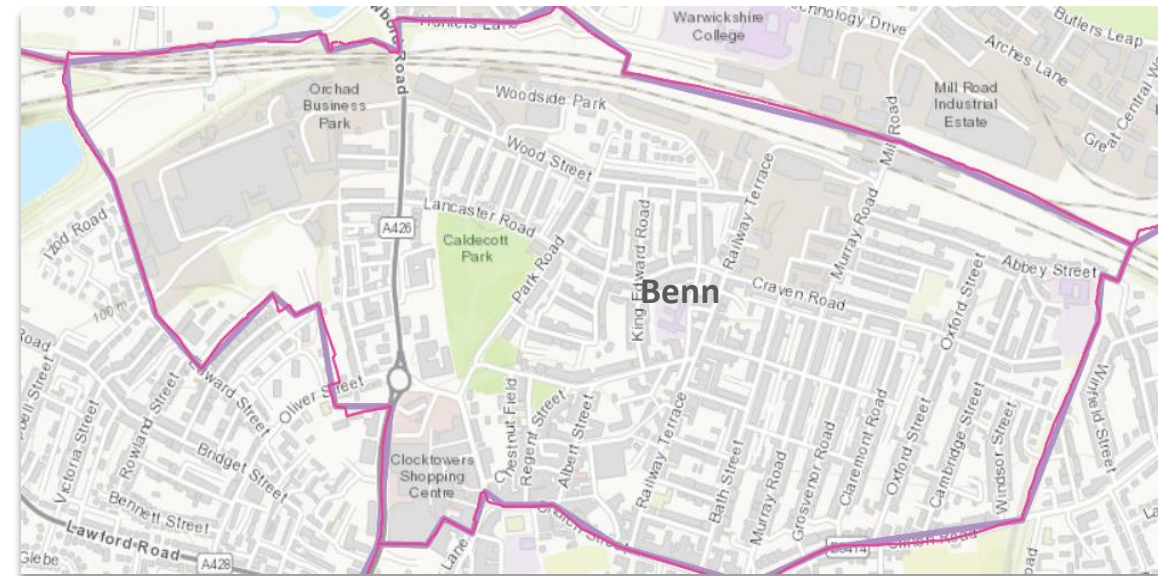
Benn and New Bilton wards are priority areas for the council due to significant disparities when compared with other wards in the borough, including:

- Higher levels of fuel poverty; 20% in Benn and 19% in New Bilton. Warks average of 14%
- Higher levels of Universal Credit; 22% in Benn and 19% in New Bilton. Warks average is 13%
- Children under 16 living in low-income households; 32% in Benn and 30% New Bilton. Warks average is 25%

In order to address the challenges faced by residents in New Bilton and Benn, we developed area action plans, collaboratively with colleagues across the council as well as WCC, Rugby Police, Rugby Health and VCS. The area actions plans were approved at Cabinet on 5 February 2024.

The projects that we will deliver together with the Benn Partnership Centre and New Bilton Community Association as part of the plans include:

- Community Carnival in Millenium Green Park, for Benn Ward residents. The event will help build community cohesion in the ward, provide free entertainment, that would not be affordable for some families to take part in otherwise, as well as community information stalls with supporting organisations such as Rugby Health (Primary Care Network)
- Community Orchards (fruits and nut trees) in New Bilton
- Green Flag Community Awards in New Bilton Parks: Gladstone Green and Jubilee Street Recreation Ground



Brownsover Community Association

Brownsover Community Association (BCA) works closely with the local church, primary schools, smaller community groups and essential service providers. The BCA uses their community room, as well the Christ Church to hold activities. This community centre is also used by local groups, who work towards the same goals as the BCA – to build a healthy and vibrant community in Brownsover.

Teddy Bears – A weekly parent and toddler group which provides a community and support to parents as well as a fun, safe space for children.

Buddy Club – This free service has helped 13 people over the last 3 months. The Buddy Club can help with applying for jobs, visa, benefits etc., learning to use technology, signposting to other services for support, and much more.

Lunch Club – a weekly club aimed at older people to come together for a meal, to socialize and take part in activities. On average they have 30 people who regularly attend.

The impact has been: working collaboratively with partners and agencies to deliver activities that support the wellbeing of the community, support more vulnerable groups, combat food poverty and tackle issues of isolation and loneliness.



Brownsover Community Association



Elmer, Making Connexions – The adapted bus (see picture) visits different areas of Brownsover every week to bring support and company. They provide refreshments, a warm place and activities for children. 10-25 people attend per visit.

On Track Youth Club – Provides a safe and inclusive space for young people to socialize, have fun and make friends.

Monthly litter picking – A group of volunteers who give up their time to litter pick around the area to keep it clean and safe.

The impact has been: working collaboratively with partners and agencies to deliver activities that support the wellbeing of the community, support more vulnerable groups, combat food poverty and tackle issues of isolation and loneliness.

Brownsover Community Association



Warwickshire World

Praise for generous Brownsover residents who provided food and friendship throughout the winter

They were recognised with a special presentation by Brownsover Community Association

By Pat Joyce

Published 7th Apr 2023, 10:45 GMT

Updated 11th Apr 2023, 18:05 GMT



Alan Webb, chair of Brownsover Community Association who presented awards; Mary Webb, Brownsover Community Association and member of project team; Bob (the caretaker of Boughton Leigh Infant School) and member of project team; Brian Clare, treasurer of Brownsover Community Association and member of the project team; Lynne Bone, Brownsover Christ Church and member of project team.

Brownsover Family Winter Project

Over 2000 meals served from 29 October 2023 to 22 March 2024 – a total of 56 nights. This project has been running for two years now.

The Community Association, 23 volunteers from the community, Christ Church and Boughton Leigh Infant School came up with a beautiful initiative to provide a hot meal, a supportive community and a warm place for families who were financially struggling over the winter. Volunteers and families on a low income came together to prepare a hot meal and support each other in the difficult time.

The meals were served 3 nights per week, free of charge. No family was turned away. A total of 18 families came to the project, made of 33 adults and 47 children.

BCA signposts people for further support when needed i.e., to Rugby CAB.

The impact has been: working collaboratively with partners and agencies to deliver activities that support the wellbeing of the community, support more vulnerable groups, combat food poverty and tackle issues of isolation and financial exclusion.



Long Lawford Community Association



Refresh – weekly drop-in coffee stop. Everyone is welcome to come for a friendly chat, cup of coffee and a slice of cake.

Post Office and Mobile Library – the Post Office service is available to Long Lawford residents every week, and mobile library comes every three weeks.

Not in school drop-in group - Every Monday, for parents, carers and school aged children currently not in school due to exclusion, or school unable to meet needs.

The groups that are working with LLCA:

On Track Youth Club - Sport sessions and mentoring for young people. The sessions are attended by children aged 9-16.

Ladies Netball Team - LLCA helped the team set up and bought their kit.

Ladybirds - Weekly stay and play group for parents, mums to be and carers of toddlers and babies.

The impact has been: LLCA provide activities that contribute to the well-being of the community, support more vulnerable groups, tackle social and financial exclusion and combat food poverty. They also work with other partners and agencies to deliver that.

NOT IN SCHOOL
Drop in group

NEW!

Every Monday
 9.15am - 12 midday
 Term time only
 Lawford Light House
 School Street, Long Lawford

Parents, carers and students
 (accompanied by an adult)
 join us for a cuppa, crafts,
 a listening ear and
 signposting for further help...

Long Lawford Community Association



THE LAWFORD
Summer
FESTIVAL

SATURDAY
8th July 2023
12 - 10pm

CIRCUS THEMED FAMILY FUN
FANCY DRESS COMPETITION

CRAFT STALLS
LIVE MUSIC
DOG SHOW
CHARITY STALLS
FOOD AND DRINK

The Lawford Summer Festival

A festival for the Lawford community with live music, entertainment, craft stalls and food and drink.

The event is organised by residents of Long Lawford.

Long Lawford Community Association helped the group with the financial side in the past, but over the years the Festival has become sustainable.

This year the Lawford Summer Festival will take place on Saturday 13 July.

The impact has been: positive impact on community cohesion, enabling residents to take an active role in their community, tackling issues of loneliness and financial exclusion.

Newbold on Avon Community Partnership

Newbold on Avon Community Partnership combines the strengths of local groups, including The Chapel and Newbold Village Hall, and funds services that support wellbeing of Newbold residents.

The Chapel Pantry Newbold

The pantry opened in March 2023.

The pantry serves local people, on a limited income including pensioners and people with disabilities. For £5, Newbold residents can buy 10 items, such as fresh fruit and vegetables, bakery, meat and frozen meals. At the end of 2023, the Pantry had over 30 households using the service.

Apart from the provision of affordable food, Janet, Newbold Wellbeing Enabler, can help people with applying for benefits such as PIP or signpost people to other supporting organisations, including Rugby CAB. The Partnership contributes to the salary of the Wellbeing Enabler who manages the pantry and co-ordinates a few other projects delivered by the Chapel.

The Pantry is there to support people holistically, so it has been encouraging to see some of the new members engaging with other activities, such as Café, and chair exercise, which started in April this year.

The impact has been: combating food poverty, helping those on low-income access affordable and nutritious meals, reducing the burden of the cost of living for households within the borough, tackling loneliness, supporting more vulnerable people.



Rugby
Observer

NEWS SPORT LIFESTYLE ADS EDITIONS CONTACT JOBS

Community Pantry helping Newbold residents spend less on their weekly food shop



Newbold Wellbeing Enabler Janet Timperley with Newbold Pantry member Pam Reynolds.

Newbold on Avon Community Partnership



Trip to Mini Meadows Farm Park

Each year NOACP provides a grant of £1000 which The Chapel and Making Connexions use to organise day trips, for people who are on very low income, and who otherwise would not be able to experience such things. In August 2023, over 40 people went to Mini Meadows Farm Park. The money from NOACP enabled the organisers to subsidise the trip, making it more affordable.

Christmas Lights Switch On

Every year the Partnership supports the community to get together to celebrate the start of Christmas in Newbold. The Christmas lights are switched on by the Mayor and the event is followed by carol singing and hot drinks.

Making Connexions – Elmer the Community Campervan

The campervan provides outreach community activities for residents of Newbold. Elmer also comes to Robotham Close, RBC Independent Living Scheme; In the last year they helped facilitate activities in the community room for the remembrance of our late Queen, a Coronation celebration for the King and a summer cream tea.

Barnardo's toddler session

Stimulating play sessions for children

The impact has been: working collaboratively with partners and agencies to deliver activities that support the wellbeing of the community, support more vulnerable groups, combat food poverty and tackle issues of isolation and loneliness.

Overslade Community Association



Overslade Community Association offers a space for local residents to meet for various events and activities, including:

On Track Youth Group – activities include arts&crafts, multisport, and workshops dealing with issues affecting young people

Barnardo's Overslade Toddler Time – weekly stimulating play sessions for toddlers

Brownies, guides, rangers – weekly activities provided by Girlguiding

Yoga – weekly classes, all levels

Toddler groups – play classes for children

Health visitors – health visiting team comes to the centre three times a week

Take a Break – a supporting group working with children and adults with disabilities

The impact has been: working collaboratively with partners and agencies to deliver activities that support the wellbeing of the community, support more vulnerable groups, and tackle issues of isolation and loneliness.

Warwickshire Community and Voluntary Action



Rugby WCAVA supported over 290 organisations and there were 577 instances of support.

The main types of support in 2023-24 were funding, organisation development and partnership working.



Top outcomes of Rugby WCAVA's support were identifying funding opportunities, supporting committees, information exchange and developing/ amending policies and procedures.



WCAVA helped organisation secure £71,189.78 and helped organisations apply for £865,868.98

100% of organisations rated Rugby WCAVA's support as Good or Very Good

The impact has been: helping our VCS groups develop and thrive, promoting social action and volunteering and providing support to groups, organisations and volunteers who are working to strengthen communities; as a result of volunteering, many people learn new skills, gain more confidence and valuable work experience.



Warwickshire Community and Voluntary Action – impact



£1,405,837.43
Economic value of
volunteering

455
Volunteers recruited

65
Volunteers Recruited for
micro-volunteering (one-
off/ short-term)

420
Volunteers placed



36 Events held
including Family Fun Day at Hill Street Youth & Community Centre
and Rugby Volunteers Awards Evening.

49 Events contributed to
Including Rugby Job Centre - Jobs Fair, King's Coronation Caldecott
Park and WCC Councilors' Grant Drop-In.



3,155
Attendees reached

792
Organisations
upskilled at events

Rugby Foodbank

7089

Food parcels issued
over 12 months



The rise in the cost of living, in terms of utilities and cost of food, and a 34% increase in demand for emergency food parcels, had put a large strain on Foodbank services. In response to that, the Council increased financial support for the organisation, from £2,000 in 2022/23 to £8,000 in 2023/24.

In 2023/24 Rugby Foodbank issued 7089 food parcels, with 2588 being for children and 4501 for adults. This is slightly down on 2022/23 – a decrease of 4%. However, the number of vouchers redeemed remained static year on year, resulting in those presenting were more individuals and couples with no children.

Rugby Foodbank worked with, and received donations from several organisations in Rugby, including 417kg of goods from Nature Trails Day Nursery, 1787kg of food collected at Tesco over a weekend and 8.5 tonnes of donations through Harvest campaign.

In addition to providing emergency food, the foodbank signposts people who are referred to them in crisis, to other local organisations, such as Rugby CAB, for further support where possible. As part of their financial inclusion programme, Rugby Foodbank have made over 450 referrals to Community Associations for support around income maximisation.

The impact has been: provision of nutritious food to residents in difficult situations, supporting people with signposting to other organisations that will help them improve their circumstances, tackling social and financial exclusion





Rugby Citizens Advice Bureau – key statistics

Data provided by Rugby Citizens Advice Bureau through their quarterly performance reports



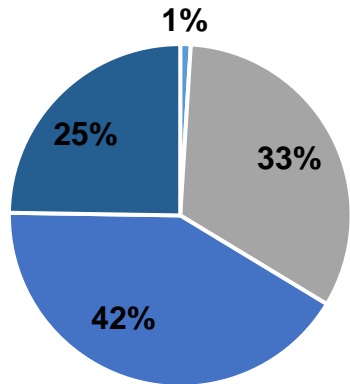
5355 Clients
61% Females
39% Males



53% Long-term health condition
42% No health problems
5% Disabled



Top 3 wards:
Benn
New Bilton
Newbold and Brownover



- Under 20
- 20-39
- 40-59
- 60 and over



84% White
8% Black
5% Asian

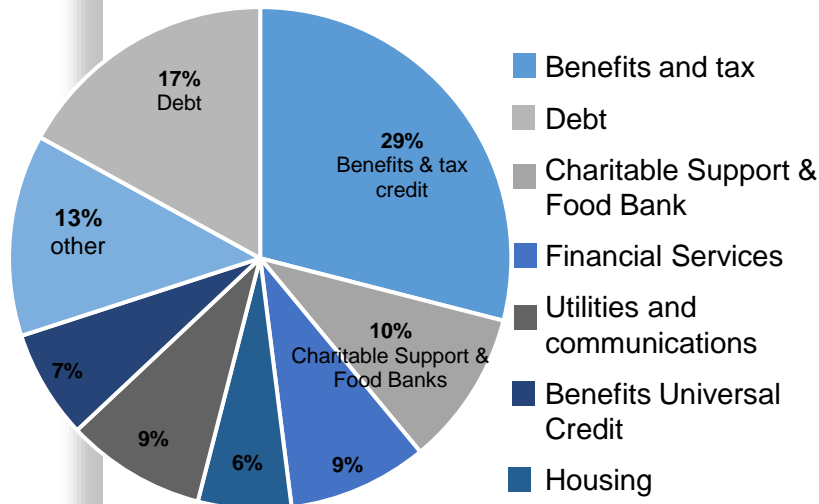


Email: 34%
Telephone: 21%
In person: 28%

Rugby Citizens Advice Bureau – issues

Top issues

Benefits and tax credits were the main advice issues dealt with, making up 29%. Most of the enquires referred to personal independence payment, general benefit entitlement and council tax reduction.



Housing issues

The majority (32%) of the housing issues were about the private sector, mostly around assured shorthold tenancies, tenancy agreements and possession action (not arrears).

In terms of RBC housing, Rugby CAB was contacted about 83 issues, making up 18% of all housing issues.

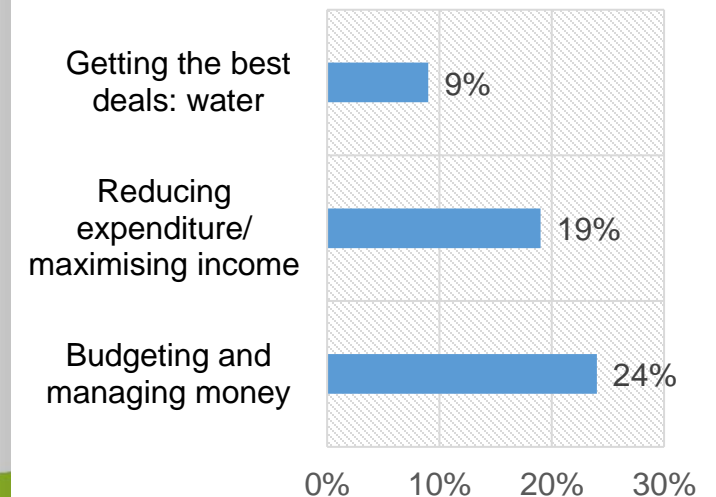
Housing debt issues – top 5

- Fuel debts
- Council tax arrears
- Rent arrears
- Water supply & sewerage debts
- Mortgage & secured loan arrears

Financial capability

469 clients were given financial capability help, with 1317 issues, including budgeting, reducing expenditure, maximising income, banking and getting the best utility deals.

Top 3 largest issues:



Rugby Citizens Advice Bureau – outcomes

Outcomes can be financial or non-financial. Not every clients Rugby CAB help has an outcome, and some clients have more than one outcome. The table below summarizes some of the financial outcomes:



6,358 outcomes

equating to almost 2 outcomes per client



Over £5,000,000

The total value of financial outcomes

£818

The overall average per outcome

£1,525

the overall average per client

Financial outcome category	Unique client count	Number of outcomes	Examples of outcomes	Total value	Average outcome per unique client	Average per outcome
Income gain	1134	2069	<ul style="list-style-type: none"> Benefit / tax credit gain - a new award or increase <ul style="list-style-type: none"> Fuel voucher Other savings achieved 	£3,451,468	£3,035	£1,665
Re- imbursements, services, loans	470	694	<ul style="list-style-type: none"> Food provision / referral Goods or services provided Money saved through challenging incorrect energy bills 	£92,027	£195	£133
Debts written off	68	97	<ul style="list-style-type: none"> Debt write off Debt relief order 	£1,159,656	£16,933	£11,846
Repayments rescheduled	27	38	<ul style="list-style-type: none"> Debt management plan Repayment negotiated Token payments 	£21,308	£609	£473
Other	1712	3460	<ul style="list-style-type: none"> Improved health / capacity to manage Non-financial admin issue resolved 	£460,637	£273	£135

Rugby Citizens Advice Bureau – anonymised case study

The client's situation

Mick received only the basic state pension and was struggling to meet his living costs. Because of this, he became a regular user of the local food bank. Mick was not entitled to any Pension Credit to top up his money. He has multiple health and mobility issues that have a significant effect on his daily living and getting around.

How Rugby CAB helped

Rugby CAB advised Mick to apply for Attendance Allowance because of his health and mobility issues and the impact they have on his life. Mick agreed to a referral to CAB Disability Rights Unit to help him complete an Attendance Allowance application form. Unfortunately, his award was unsuccessful initially, and Rugby CAB helped him challenge the decision by submitting a mandatory reconsideration. The decision was overturned, and Mick was awarded the lower rate of Attendance Allowance, which is worth an extra £68.10 per week and was backdated to when he submitted the original claim.

Another benefit of being awarded Attendance Allowance is that Mick could now submit a claim for Pension Credit for severe disability. Rugby CAB helped Mick to submit this claim and it was awarded immediately. The pension Credit was backdated for three months and is worth an extra £76.40 per month.

Because Mick now receives pension credit, he gets help with the ground rent for his caravan, worth £98 per week, and he received a £500 payment to help him pay for his fuel costs. Rugby CAB also supported Mick by issuing ongoing foodbank vouchers while the benefits claims were being processed.

Outcomes

Mick no longer needs to use the foodbank and is significantly better off financially.

The financial outcomes (showing figures for first 12 months of benefit plus the backdated amounts):

- Attendance Allowance: £4971.30; Pension Credit: £4889.6; Housing Benefit: £5096.00; Fuel payment: £500. **A total of £15,456.90 for the first year of payment.**
- **Mick was able to eat better and keep his caravan warm, which had a significant impact on his physical health.**
- **He was able to afford transport, which improved his independence, and his mental well-being was improved.**

Mick was utterly overwhelmed by the financial outcomes and told Rugby CAB that he thought he would have to struggle to make ends meet for the rest of his life because he had no idea that he would be entitled to these benefits. He was full of praise for the support that Rugby CAB had given to him.

Summary

In 2023-24 the Voluntary and Community Sector continued to provide much needed support to Rugby residents, and by highlighting each organisation's achievements, this report aimed to make the impact of their work more tangible.

The support provided by the organisations responded to RBC Corporate Strategy 2021-24, and enabled our communities to improve their circumstances in different aspects of their life, such as finances and health.

The bigger picture of our partnership with the VCS is to maximise the use of resources (across the public, private and VCS) and promote community-based models of self-help and early interventions, with the aim of helping our residents become more resilient in the long term.

By having funding agreements with Rugby CAB, WCAVA, Foodbank and the Community Associations, we are in a better position to understand what challenges our residents face and therefore facilitate access to the services they need to live well, regardless of where they live, their background and financial status.

Whilst some of the work that the VCS provide is difficult to measure, nonetheless it all contributes to building community capacity, reduces the demand on our public services and essentially makes Rugby a place where people feel able to take action to improve their life.




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:

Equality Impact Assessment

Service Area	Communities & Homes
Policy/Service being assessed	The impact of the Voluntary and Community Sector organisations funded by the council in 2023/24
Is this a new or existing policy/service? If existing policy/service, please state date of last assessment	The council's support of the voluntary and community sector is well established. However, this is the first time we have published an Impact Report that clearly identifies the impact of that support for the residents of Rugby and how this contributes to the delivery of the outcomes set out in the corporate strategy.
EqlA Review team – List of members	Mary Jane Gunn Vanessa Niemczewska
Date of this assessment	23 April 2024
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 Team.

Details of Strategy/ Service/ Policy to be analysed

<u>Stage 1 – Scoping and Defining</u>	
(1) Describe the main aims, objectives, and purpose of the Strategy/Service/Policy (or decision)?	<p>The Council meeting of 14 December 2022 set a framework for our support of the voluntary and community sector in 2023/24 and 2024/25. The Impact Report highlights the work of the voluntary and community sector groups, in receipt of funding from the council during 2023/24 and demonstrates the:</p> <ul style="list-style-type: none"> - scope and range of services, as well as support that they offer; - number of residents who have benefited from their services and support; - positive impact of those services and support on residents including tackling social isolation, mental well-being, maximising income and increasing access to healthy nutrition.
(2) How does it fit with Rugby Borough Council's Corporate priorities and your service area priorities?	<p>This Impact Report demonstrates how the voluntary and community sector contributes to the following outcomes of the Corporate Strategy 2021 – 2024:</p> <ul style="list-style-type: none"> • Outcome 1 Environment “Rugby is an environmentally sustainable place, where we work together to reduce and mitigate the effects of climate changes • Outcome 2 Economy “Rugby has a diverse and resilient economy that benefits and enables opportunities for all residents” • Outcome 3 Health and Wellbeing: “Residents live healthy, independent lives, with the most vulnerable protected”

<p>(3) What are the expected outcomes you are hoping to achieve?</p>	<p>The expected outcome is that Cabinet notes and commends the work of the voluntary and community sector in 2023/24.</p> <p>The Impact Report also gives us the opportunity to promote the work of our voluntary and community sector and demonstrate how the voluntary and community sector delivers services to our most vulnerable residents, tackling inequality and promoting community cohesion.</p>
<p>(4) Does or will the policy or decision affect:</p> <ul style="list-style-type: none"> • Customers • Employees • Wider community or groups 	<p>This Impact Report affects residents, employees and the wider community and community groups in Rugby who will have the benefit of:</p> <ul style="list-style-type: none"> - Understanding the impact our local voluntary and community sector has had in 2023/24. - Seeing the good practice in our communities in service delivery to residents, including our most vulnerable residents. - Demonstrates how the local voluntary and community sector works in partnership to support vulnerable residents, thus maximising value for money for the residents of Rugby.
<p><u>Stage 2 - Information Gathering</u></p>	<p><i>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, e.g. service uptake/usage, customer satisfaction surveys, staffing data, performance data, research information (national, regional, and local data sources).</i></p>

(1) What does the information tell you about those groups identified?

Our information gathering includes:

- Detailed area profiles for Benn and New Bilton wards, which underpin our Area Action work in which the Benn Partnership and the New Bilton Community Association are key delivery organisations.
- Regular stakeholder meetings in Benn and New Bilton where partners including Health and the Police collaborate.
- Comprehensive quarterly reports from Warwickshire Community and Voluntary Action (WCAVA) and Bedworth, Rugby, and Nuneaton Citizens Advice Bureau (BRANCAB)
- Quarterly monitoring meetings with our Community Associations.

From this we learn:

- The voluntary and community sector is well used by residents of Rugby
- The voluntary and community sector supports our most vulnerable residents, in line with our corporate strategy objective, “residents lead healthy, independent lives, with the most vulnerable protected”
- The voluntary and community sector delivers well regarded services that tackle isolation and loneliness, promote good wellbeing both physical and mental and encourage community cohesion.

<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>We have consulted a wide range of stakeholders including our six funded Community Associations: The Benn Partnership Community Association, New Bilton Community Association, Long Lawford Community Association, Overslade Community Association, Newbold upon Avon Community Partnership and Brownsover Community Association.</p> <p>All the Community Associations consult regularly with the communities they serve through a variety of means including surveys and events to ensure they are delivering services that meet the needs of their community and their consultation informs them that:</p> <ul style="list-style-type: none"> - Residents value services that tackle isolation and loneliness. - Residents value services that promote good mental health. - Residents value support and information that enables them to connect with other services including those offered by RBC, WCC, Health and community safety. - Residents value services that offers them access to nutritious food. <p>We consult regularly with WCAVA and their users report high/very high satisfaction rates with their services.</p> <p>We consult regularly with BRANCAB, and their detailed quarterly reports tell us about the challenges faced by residents of Rugby, how they tackle those and the impact that has on residents.</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>N/A</p>		
<p><u>Stage 3 – Analysis of impact</u></p>			
<p><u>(1) Protected Characteristics</u> From your data and consultations is there any positive, adverse, or negative impact</p>	<p style="text-align: center;">RACE No adverse impact</p>	<p style="text-align: center;">DISABILITY No adverse impact</p>	<p style="text-align: center;">GENDER No adverse impact</p>

<p>identified for any particular group, which could amount to discrimination?</p> <p>If yes, identify the groups and how they are affected.</p>	<p>MARRIAGE/CIVIL PARTNERSHIP No adverse impact</p>	<p>AGE No adverse impact</p>	<p>GENDER REASSIGNMENT No adverse impact</p>
	<p>RELIGION/BELIEF No adverse impact</p>	<p>PREGNANCY MATERNITY No adverse impact</p>	<p>SEXUAL ORIENTATION No adverse impact</p>
<p><u>(2) Cross cutting themes</u></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 Impact Report demonstrates how support of the voluntary and community sector supports those who are most vulnerable in Rugby including:</p> <ul style="list-style-type: none"> - Older people - Those on a very low income - Those living in geographically disadvantaged wards. - Families with young children - Those who are isolated and lonely 		
<p>(3) If there is an adverse impact, can this be justified?</p>	<p>No adverse impacts have been identified.</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>N/A</p>		
<p>(5) How does the strategy/service/policy contribute to the promotion of equality? If not, what can be done?</p>	<p>This support of the voluntary and community sector and better understanding of the impact of that support promotes equality of opportunity in accessing services across Rugby.</p>		

(6) How does the strategy/service/policy promote good relations between groups? If not, what can be done?	The Impact Report identifies that the voluntary and community sector is working collaboratively, as well as promoting good relations between groups this delivers good value for money for Rugby.
(7) Are there any obvious barriers to accessing the service? If yes, how can they be overcome?	N/A

<u>Stage 4 – Action Planning, Review & Monitoring</u>																										
<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>EqlA Action Plan</p> <table border="1" data-bbox="875 834 2116 1066"> <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> </tbody> </table>	Action	Lead Officer	Date for completion	Resource requirements	Comments																				
Action	Lead Officer	Date for completion	Resource requirements	Comments																						
(2) Review and Monitoring State how and when you will monitor policy and Action Plan	This EqlA will be reviewed in April 2025																									

Please annotate your policy with the following statement:

An Equality Impact Assessment on this policy was undertaken on 23 April 2024 and will be reviewed in April 2025



Support of the Voluntary and Community Sector

Grant Agreement for the Community Associations 2024-25

1.0 Objectives:

The grant funding from the council will be awarded to support the community association in meeting the following objectives:

1. Understanding the needs of the community they support
2. Enabling people to take an active role in their community
3. Providing / enabling activities and services which contribute to improved living standards:
 - the well-being of the community
 - tackling issues of isolation and loneliness
 - supporting more vulnerable groups
 - tackling social and digital exclusion
 - tackling issues of financial exclusion
 - working collaboratively with other partners and agencies to deliver the above, avoid duplication as well as ensure the best use of resources
4. Provide activities which recognise Rugby Borough Council's Corporate Strategy 2021-24:
 - Rugby is an environmentally sustainable place, where stakeholders work together to reduce and mitigate the effects of climate change
 - Rugby has a diverse and resilient economy, which benefits all residents
 - Residents are able to live healthy, independent lives, with the most vulnerable protected
 - Rugby Borough Council is a responsible, effective, and efficient organisation

2.0 Grant payment triggers:

Payments will be triggered by the following:

- Completion of an annual, light touch, organisational health review in respect of governance, required policies and insurances. An instalment equivalent to 20% of the annual SLA payment will be triggered by completion of this review
- Engagement in quarterly review meetings with officers of the Communities and Projects Team, to discuss progress in achieving the objectives outlined in 1.0. The completion of each review meeting will trigger SLA payment