



18 April 2023

## **RUGBY BOROUGH COUNCIL**

A meeting of Rugby Borough Council will be held in the Council Chamber at the Town Hall, Rugby at 7.00pm on Wednesday 26 April 2023.

*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. Apologies for absence.

2. Minutes.

To approve the minutes of the meeting held on 22 February 2023.

3. Declaration of Interests.

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.

4. To receive the Mayor's Announcements.

5. Questions pursuant to Standing Order 10.

6. To receive the reports of Cabinet and Committees which have met since the last meeting of the Council and to pass such resolutions and to make such orders thereon as may be necessary:

**(a) Licensing and Safety Committee – 28 February 2023**

(1) Adoption of Schedule 4 of the Local Government (Miscellaneous Provisions) Act 1982.

7. To receive and consider the reports of officers.

(a) Organisational Change Policy – report of the Chief Executive.

(b) Home Environment Assessment and Response Team (HEART) shared service contract extension – report of the Chief Officer – Communities and Homes.

(c) Update on the Sustainable Design and Construction Supplementary Planning Document 2012 – report of the Chief Officer – Growth and Investment.

(d) Councillor Learning and Development Policy – report of the Chief Officer – Legal and Governance.

8. Notices of Motion pursuant to Standing Order 11 - in accordance with the Council's Constitution, there are no motions on notice for consideration.

9. Correspondence.

10. Common Seal.

To order the affixing of the Common Seal to the various orders, deeds and documents to be made or entered into for carrying into effect the several decisions, matters and things approved by the Council and more particularly set out in the reports adopted at this meeting.

11. Motion to Exclude the Public under Section 100(A)(4) of the Local Government Act 1972.

To consider the following resolution:

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

**PART 2 – EXEMPT INFORMATION**

1. To receive and consider the private reports of officers.

(a) Biart Place Development – report of the Chief Officer – Communities and Homes.

(b) Corporate Strategy delivery and Transformation Resources – report of the Chief Executive.

- (c) Urgent decision under Delegated Powers – Energy cost increase to recycling contract – report of the Chief Executive.
- (d) Urgent Decision under Delegated Powers – Rugby First Limited – report of the Chief Executive.

## **QUESTIONS AT COUNCIL**

*A Councillor may ask a question at the meeting by giving notice in writing of the question to the Chief Executive no later than midday on Thursday 20 April 2023. The rules relating to Questions are set out in Part 3A of the Council's Constitution.*

**REPORT OF LICENSING AND SAFETY COMMITTEE**

**28 February 2023**

**PRESENT:**

Councillors Mrs A'Barrow (Chairman), Mrs Garcia, Harrington, Mrs Roberts, Srivastava, Mrs Timms and Ward

**Note:** An electronic version of the Licensing and Safety Committee report referred to below can be found [here](#).

**1. ADOPTION OF SCHEDULE 4 OF THE LOCAL GOVERNMENT (MISCELLANEOUS PROVISIONS) ACT 1982**

Licensing and Safety Committee considered a report concerning the adoption of the provisions of Schedule 4 of the Local Government (Miscellaneous Provisions) Act 1982.

**Recommendation of Licensing and Safety Committee**

Schedule 4 of the Local Government (Miscellaneous Provisions) Act 1982 be adopted.

**Recommended that** – the recommendation of Licensing and Safety Committee be approved.

**COUNCILLOR MRS A'BARROW  
CHAIRMAN**

## Agenda No 7(a)

### AGENDA MANAGEMENT SHEET

**Report Title:** Organisational Change Policy

**Name of Committee:** Council

**Date of Meeting:** 26 April 2023

**Report Director:** Chief Executive

**Portfolio:** Change & Transformation

**Ward Relevance:** All wards

**Prior Consultation:** Legal services, JUCF, Financial Services

**Contact Officer:** Judith Hicks

**Public or Private:** Public

**Report Subject to Call-In:** Yes

**Report En-Bloc:** No

**Forward Plan:** No

**Corporate Priorities:** This report relates to the following priority(ies):  
 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 purpose of the report is to propose the adoption of a new Organisational Change Policy for use across the Council. This policy will ensure the Council meets its legal obligations under the Employment Rights Act 1996 and the Information and Consultation of Employees Regulations 2004 and will provide a framework for dealing with all matters relating to changes to services, teams or individuals.

<b>Financial Implications:</b>	None
<b>Risk Management/Health and Safety Implications:</b>	None
<b>Environmental Implications:</b>	None
<b>Legal Implications:</b>	This policy will ensure the Council meets its legal obligations and will replace the current out of date Redundancy and the Redeployment policies
<b>Equality and Diversity:</b>	The policy refers to and adheres to the Equality Act 2010 and will ensure all reasonable adjustments are adhered to for any individual affected by re-structures or any change within the service area or team. An Equality Impact assessment has been completed and is attached at Appendix 2, which outlines how equality considerations will be incorporated.
<b>Options:</b>	Not applicable
<b>Recommendation:</b>	The Organisational Change Policy 2023, as at Appendix 1 to the report, be adopted by the Council.
<b>Reasons for Recommendation:</b>	Using an Organisational Change Policy will ensure that Rugby Borough Council continues to be legally compliant and is following best practice concerning re-structures, all matters relating to the changes to services, teams or individuals within the Council. This will include the council's approach to employees who find themselves 'at risk' as a result of organisational change, structural changes, redundancy and redeployment situations.

**Council - 26 April 2023**

**Organisational Change Policy**

**Public Report of the Human Resources Manager**

**Recommendation:**

The Organisational Change Policy 2023, as at Appendix 1 to the report, be approved.

**1.0 Background**

**1.1** An internal review of all HR policies undertaken by the newly appointed Human Resources Manager highlighted that HR policies had not been updated in accordance with the review schedule. Following a meeting of leadership team where planned restructures were discussed, it was agreed that the council required a new Organisational Change Policy.

**1.2** In January 2023, a Policy Review Proposal was submitted to Rugby Borough Council from West Midlands Employers outlining the policies which will be reviewed, using a Red, Amber, Green approach to prioritising the policy updates. Red where there is no policy in place, Amber where a policy exists but has not been reviewed for some time and may no longer be best practice and Green where a policy exists which is compliant and considered fit for purpose.

**2.0 Policy Development Process and Consultation**

**2.1** It was identified that the Council did not have an Organisational Change Policy and that the development of this policy should be prioritised. Following scoping meetings between the Director of HR & Membership at West Midlands Employers and the Human Resources Manager and one of the HR Business Partners, a draft policy was developed and sent to Rugby Borough Council.

**2.2** The draft policy was circulated in advance of the Joint Union Consultation Forum (JUCF) meeting on Wednesday 8<sup>th</sup> March, where additional points were added to paragraph 3.4. An updated policy was circulated to leadership team and the policy has been shared with the Corporate Equality & Diversity Advisor and feedback acted upon.

**2.3** The Organisational Change Policy is set out at Appendix 1. The policy is designed to provide a framework for consistent and fair practice and to give clear direction to line managers and Human Resources when implementing changes to services or teams. It will also ensure clarity of process for all employees.

The policy contains a clear stated purpose, roles and responsibilities for the employing service, Human Resources and Trade Unions.

**2.4** The policy details the steps that should be followed to undertake service reviews, job evaluations and job matching including where posts are “ring fenced.” The policy also includes details of the Council’s approach to possible staff reductions, redundancy pay, deployments and support for staff during a restructure and period of change. A process flow chart and business case report template and an assimilation template are also included.

### **3.0 Conclusion**

**3.1** The Organisation Policy will ensure the Council is adopting best practice regarding management of change, is legally compliant by adhering to all relevant legislation including; Employment Rights Act 1996, Equality Act 2010 and Information and Consultation of Employees Regulations 2004. The new policy will replace existing Rugby Borough Council policies concerning Redundancy and Redeployment and provide the Council with a consistent and detailed policy to support all change management, restructures and redeployments.

### **4.0 Recommendation**

**4.1** The Council is asked to approve the new Organisational Change Policy to enable implementation of a consistent best practice framework for managing change, restructures and redeployment.

**Name of Meeting:** Council  
**Date of Meeting:** 26 April 2023  
**Subject Matter:** Organisational Change Policy  
**Originating Department:** Human Resources

**DO ANY BACKGROUND PAPERS APPLY**       YES       NO

**LIST OF BACKGROUND PAPERS**

Doc No	Title of Document and Hyperlink

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

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Exempt information is contained in the following documents:

Doc No	Relevant Paragraph of Schedule 12A



# **ORGANISATIONAL CHANGE POLICY 2023**

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## Version Control

Version	Approved by	Date
Draft v1	HR and Leadership Team	1 <sup>st</sup> March 2023
Draft v1a	JUCF	8 <sup>th</sup> March 2023
Final Draft 1b	Full Council	26 <sup>th</sup> April 2023
Approved version	Published	
For Review		

# POLICY STATEMENT

## 1 SCOPE OF POLICY

- 1.1 This policy applies to all employees of Rugby Borough Council (Council) and is written to include employees under NJC (Green Book) and JNC (Chief Officer) terms and conditions.
- 1.2 The Policy will be jointly agreed by the Council and the Trade Unions under the Joint Union Consultation Forum (JUCCF) and approved by Full Council under the council's constitutional arrangements.
- 1.3 This policy will not apply to TUPE situations. This will be subject to separate consultations between Rugby Borough Council, Trade Unions and the employees concerned.

## 2 POLICY PURPOSE

- 2.1 The purpose of this policy and procedure is to provide a framework for dealing with all matters relating to changes to services, teams or individuals within the Council. This includes the Council approach to employees who find themselves 'at risk' as a result of organisational change, structural changes, redundancy and redeployment situations.
- 2.2 One of the consequences of organisational change is that it may result, for a number of reasons under broad headings of competitive conditions, organisational requirements, technological developments or financial constraints, in the need for redeployment or redundancy. Situations such as:
  - site/office closure – leaving all employees at risk
  - loss of external funding
  - technical and/or process changes
  - restructures/re-organisations resulting in a requirement for either fewer employees or a different grade/skill mix
  - Ill health or capability redeployments
- 2.3 It is the policy of Rugby Borough Council by careful forward planning to ensure as far as possible security of employment for its employees. However, it is recognised that there may be impacts from the circumstances above which may affect staffing needs. It is the Council's aim to avoid redundancies wherever possible and this procedure is designed to support that aim.
- 2.4 Equally, it is the aim of the Council to ensure that employees who either become medically unfit to carry out all or part of the duties of their current role are also redeployed into suitable alternative employment.

### 3 ROLES AND RESPONSIBILITIES

3.1 In order to ensure that the redeployment policy is pro-active and effective, stakeholders in the process must be aware of and accept their responsibilities:-

#### 3.2 Employing Service

The service undergoing change is responsible for leading the main activities relating to the process. The change may be led by the relevant Chief Officer or the Service Manager – herein after referred to as the Org Change Lead

It is the responsibility of the appropriate Org Change Lead to:

- Develop a robust business case to support the change, including details of any cost / employee implications
- Consider any alternatives to redundancy as part of change proposals
- Notify Human Resources of any proposals or ill health cases, which may result in employees needing to be considered for redeployment
- Liaise with Human Resources to obtain advice and guidance on any adjustments to the workplace and/or design of jobs which may be required,
- Support any job evaluation process for new roles where applicable
- Act in support of the Corporate function when considering requests to redeploy employees into the service

#### 3.3 Human Resources

It is the responsibility of the Human Resources lead to:

- Support the development of the business case including responding to specific queries on the application of this and other related policies
- Liaise with Pensions and Payroll services in obtaining accurate costs associated with any change process
- Ensure that consultation processes proposed within the Business Case meet legal requirements and are compliant with RBC policy approaches
- Work with Trade Union(s) in ensuring the consultation is meaningful and respects the dignity and wellbeing of those affected by change
- Maintain redeployment registers and manage employees in the redeployment pool (either through “at risk” or health redeployment), ensuring they are provided with personal, tailored support and their well-being is considered as part of the overall approach

#### 3.4 Trade Unions

It is the Trade Union Officials role to

- Engage fully and constructively with the process
- Flag any concerns with any aspect of the change to the appropriate person early and throughout the process, where these have been identified
- Communicate with Officers and union members in a way which demonstrates

mutual respect and recognises the different role everyone has to play

## POLICY APPLICATION / PROCEDURE

### 4 SERVICE REVIEWS

- 4.1 Service reviews will be a natural requirement from time to time, whether driven by a need to change the way the Council works to improve services, reduce costs or from taking opportunities from external situations (such as employee turnover) to build efficiencies into service delivery.
- 4.2 It is important that, whilst allowing flexibility of approach to account for the size, scale and impact of service reviews, they are undertaken within a consistent framework and follow the same broad steps, although timescales for elements such as consultation will vary depending on the size of the review.
- 4.3 This is to ensure the fair and equitable treatment of employees, recognizing the impact on employee wellbeing caused by periods of uncertainty.
- 4.4 Once a need for a change process is identified the Org Change lead must complete the business case and obtain the required approvals from Leadership Team.
- 4.5 The business case must consider the impact of any likely reductions in overall numbers of staff and / or the likely change to job roles where overall numbers are not reduced but job roles / grades change significantly. A process map is attached at Appendix A which details some of the considerations which are needed in the approach to the business case dependent upon the individual circumstances, and a template business case is provided at Appendix B
- 4.6 The first step in the implementation programme is consultation. The Council will seek to allow for the maximum amount of time for the consultation process dependent upon the likely scale of the change and any external business drivers.
- 4.7 There is not a statutory minimum time period where redundancies involve less than 20 employees, which is likely to be the case most often in Rugby Borough Council, however the period of consultation should be sufficient to be meaningful, taking into account the nature of the proposals and level of consultation involved.
- 4.8 Where the numbers affected are larger there is a statutory responsibility which states that consultation must begin;
- at least **30** days before the first potential dismissal takes effect if **20 – 99** employees are to be made redundant
  - at least **45** days before the first potential dismissal takes effect if **100 or more** employees are to be made redundant

- 4.9 Everyone directly affected by the proposals will need to be consulted, i.e. employees within the affected area(s) and the relevant recognised Trade Unions. Org Change Leads will also need to determine the impact of the changes on customers and the wider community, as there may be a need to also consult with them on the likely effects of the change(s) on service delivery.
- 4.10 Organisational Change lead officers need to ensure the duty to make reasonable adjustments as per Section 20 of the Equality Act 2010 is taken into consideration if any of the employees meet the definition of a disabled person as defined by the Act.
- 4.11 **Please Note** Org Change leads need to ensure that employees on a prolonged absence – e.g. Maternity leave, long term sick or secondment must receive the same level and quality of consultation as all other employees. However, employees holding a fixed term contract that has reached their agreed termination date before the proposals are due to take effect will be excluded from the collective consultancy. Under **The Fixed-term Employees (Prevention of Less Favourable Treatment) Regulations 2002** Fixed term and temporary workers Employees on temporary contracts will need to be included in the consultation process. Org Change leads should take advice from HR on the status of any fixed term or temporary workers in the team when commencing the consultation.
- 4.12 Once the business case has been finalised and agreed the changes need to be implemented as quickly as possible. Org Change Leads are required to produce a detailed project plan with timescales which should be developed and agreed with HR. An Equality Impact Assessment should be finalized at this stage. There will continue to be communication with the affected employees and Trade Unions through the implementation stage.
- 4.13 Where, as a result of the agreed changes, posts have significantly changed in responsibility, it is usual practice for the old posts to be deleted from the establishment and new jobs created with revised job descriptions and person specifications. This process will be the subject of continued consultation with the Trade Unions. All such posts will be subject to a job evaluation exercise. In these circumstances the opportunity should also be taken to review:
- Atypical increments
  - Qualification for Essential Car User allowance
  - Shift patterns
  - Working practices
  - Any other allowances.
- 4.14 Posts should not, however, be deleted when there are only small changes to jobs (or working practices) which do not change the overall nature of the job or can be covered within the general flexibility of the job description, i.e. the introduction of new technology into working practices, changing systems etc.
- 4.15 The appointment to all posts within the new structure will be initially subject to “ring fence” and “assimilation” arrangements.
- **‘Ring fencing’** confines applications to existing employees who are directly

affected by the changes and, specifically, whose jobs may be at risk.

- **'Assimilation'** allows for "75% compatible" posts to be offered to the post holder without competition or formal selection. In this situation there will be no change in salary grade.

- 4.16 The Org Change Lead and HR lead will agree which post holders are considered "75% compatible" with posts in the new structure (using the template attached at **Appendix C**). The Trade Unions will also be consulted regarding those posts that are identified as being "75% compatible".
- 4.17 Once the "75% compatible" posts have been dealt with then the remaining 'ring fenced' employees should be invited to apply for all other vacancies. All such applications should be submitted in a consistent format i.e. by completing a standard application form and should be assessed in accordance with the Recruitment and Selection Policy.
- 4.18 Employees who are not appointed within their own "ring fence" may apply for posts within lower "ring fence" levels or be considered for any unfilled vacancies elsewhere in the Council once the selection exercise is complete. The precise arrangements will need to be tailored to meet the specific needs of the section and the variety of posts involved but where any appointment under that exercise involves a promotion the employee must go through a formal selection process.
- 4.19 Special consideration needs to be given where acting up / temporary arrangements are in place. Employees should normally be ring fenced / assimilated to their substantive role, however this may be dependent upon both the reason for the acting up, the duration of the temporary arrangement and any potential challenge from other employees who may be disadvantaged by the formalisation of temporary arrangements without due process (such as a formal selection process).

## 5 Staff Reductions

- 5.1 Rugby Borough Council will endeavour to avoid or minimize the need for redundancies by some or all of the following means:
- use of natural wastage (incl. resignations, retirements)
  - agreed variations in hours of work (e.g. part time working, sabbaticals or secondments)
  - non renewal of temporary contracts and restricting use of casual workers and agency workers
  - reduced overtime working
  - restrictions on recruitment
  - re-deployment and retraining
  - use of volunteers for redundancy, where appropriate

Where these measures have been put in place and the organisational change/restructure still results in the number of new jobs being less than the number of employees currently in post, it will be necessary to agree an appropriate selection for redundancy process.

- 5.2 The Council will, in the first instance invite employees to put themselves forward for voluntary redundancy (VR). The aim of this is to support employees who wish to leave, and to maintain job security for those employees who wish to remain. It may however not always be possible to support every VR request. Particularly where an employee has a skills set or experience which is required / continues to be required in the new service structure and accommodation cannot be made to transfer / develop those skills within the remaining team. Decisions on VR will therefore be made in consultation with the Trades Unions, HR and senior managers to ensure it is in the best interests of the organisation.
- 5.3 When selecting from a pool of employees to move into a smaller number of roles (e.g. 4 Officers into 3 roles) selection for redundancy must be on the basis of selection “out” – i.e. selection for redundancy based on those criteria, not selection “in” i.e. applying for one of the 3 roles and being interviewed. (see Gwynedd Council v Barratt and others) primarily because the employee will have right of appeal against selection for redundancy but will not (unless it can be shown to be for a protected characteristic reason) be able to appeal against “non-appointment” which would make any resulting dismissal unfair.

The selection criteria will be based upon fair, consistent, objective and non-discriminatory grounds. As this process could, potentially, constitute a dismissal, advice and agreement must be sought from HR. The Trade Unions must be formally consulted.

- 5.4 This selection criteria might consider the following but these should be agreed in advance with Trades Unions;
- Past performance
  - Skills and experience
  - Attendance
  - Conduct
- 5.5 Length of service, and sickness absence due to pregnancy, a long-term medical condition or disability, should **not** be used as selection criteria. Any employee(s) who remain(s) unplaced at the end of the selection process will be ‘at risk’ of redundancy.
- 5.6 Once the employees at risk of redundancy have been identified this, along with any associated costs, will be approved through the appropriate Council constitutional method.
- 5.7 On occasions the Council may decide to allow “bumping” a redundancy – i.e offering redundancy to someone who wants to volunteer allowing an employee at risk to remain in a role. This may be considered as part of mitigation measures on a case by case basis.

## 6 STAFF INCREASES

- 6.1 Where a service area is authorised to increase its overall numbers the existing employees in that service area and anyone on the Council redeployment register should be given the opportunity to express an interest in the new posts in the first instance.
- 6.2 Where any appointment under that exercise involves a promotion the employee must go through a formal selection process in line with the Council’s Recruitment and Selection Policy. All remaining vacancies should also be filled in accordance with the

## 7 REDUNDANCY PAY

- 7.1 Employees who are selected for redundancy will receive a lump sum redundancy payment: The Council have discretion to pay an enhanced redundancy payment, which is currently calculated by doubling the number of weeks of Statutory Redundancy Pay and calculated using actual weekly pay (rather than the statutory maximum weekly pay). It is subject to a maximum of 60 weeks pay and is inclusive of Statutory Redundancy Pay.
- 7.2 The calculation basis for both voluntary redundancy (VR) and compulsory redundancy (CR) is the same.
- 7.3 This will also be subject to consideration both in terms of payment and disclosure under the Special Severance Payments in Local Government Guidance issued in May 2022 and any subsequent legislation or government guidance relating to payments on termination which the Council is required to deal with exit payments in a specific way.
- 7.4 The Council will discuss with individuals who are under notice what options there are for either working through the notice period (or part of it) to finish tasks and make appropriate handover arrangements, or to leave with PILON to safeguard their wellbeing. Accrued flexi time or TOIL will normally be taken as part of the notice period and not paid. It will however pay for holiday entitlement not taken if this cannot, by mutual agreement, be taken during the notice period.

## 8 REDUNDANCY REDEPLOYMENTS

- 8.1 As part of an Organisational Change process employees who are “at risk” of redundancy – i.e. their current post is no longer part of the structure and they have been unsuccessful in obtaining another post through the change process will be supported through the redeployment process if they wish. Employees who are at risk may decide not to ask to be redeployed and may instead ask to be made redundant. If the employee has gone through the change process this is not a VR, but is a compulsory redundancy.
- 8.2 The Council may determine that there is another role within the Council which is considered “suitable alternative employment” – this means that the grade, skills and experience and general conditions are equivalent to the employees deleted role, and the Council may offer that role to employees “at risk” as an alternative to redundancy.
- 8.3 As the Council has the overarching aim to avoid or minimise redundancies those at risk are expected to take an active role in the redeployment process. They will be expected to support the principles of the redeployment policy and be prepared to be flexible and open minded about the redeployment opportunities they are given to consider, including completion of an employee skills profile to support identification of opportunities, attendance on appropriate training courses or other

skills development means.

- 8.4 Interviews will be conducted in accordance with the Authority's Recruitment and Selection Guidelines. An offer of employment may be made to a redeployee who meets or has the potential to meet (following a reasonable period of re-training), the person specification requirements.
- 8.5 In line with ACAS guidelines redeployment opportunities are offered on a 4 week trial basis, where the employer and employee are given the opportunity to test mutual compatibility, establish any training needs and identify whether the new role is a suitable two way fit. During the trial period payment of salary/wages to the employee will remain the responsibility of the employing Service until they have been redeployed. Any costs incurred in re- training new redeployees to bring them up to the level of other new recruits will be met by the employing Service.
- 8.6 If either the employee or the employer finds after the trial period the role is not suitable the "at risk" status is reinstated and the redundancy continues as previously arranged.
- 8.7 Service managers are required to cooperate with HR in identifying opportunities and supporting redeployees, taking an open minded and corporate view to redeployment to avoid redundancy costs to the Council wherever possible. All available vacancies will be considered by HR to decide if they are likely to be redeployment opportunities before any external advertisement is placed.
- 8.8 In cases of redundancy, employees will be redeployed, wherever possible, into a post on comparable terms and conditions. If, however, the only redeployment post is a lower grade and salary, the salary and conditions of service of redeployed employees will only be protected for a period of two years, where the grade is one grade lower. If the new post is more than one grade lower, pay protection will not apply and the employee will be entitled to either take the role or become redundant.
- 8.9 If the post is of a higher grade, normal recruitment processes will apply and the redeployee will be subject to a selection process. If they meet some but not all of the essential criteria but demonstrate a capacity to be trained or developed they will be guaranteed an interview.

## 9 MEDICAL OR OTHER REDEPLOYMENTS

- 9.1 From time to time situations may arise which require the council to consider alternative work for employees outside of the Organisational Change process. The process for determining how an employee is identified as requiring a medical redeployment is detailed in the Council's Absence management Policy, however once the determination has been made the process for redeploying employees is covered by the same process as employees at risk with the following exceptions
- Employees who are redeployed on health grounds **are not eligible for pay protection**
  - Ill health redeployees are not eligible for a redundancy payment if the council is

unable to find suitable alternative work

- 9.2 There is no set time period for redeployment but suitable redeployment opportunities will be explored during periods of redundancy consultation and during case management of employees with ill health.

## 10 SUPPORT FOR EMPLOYEES THROUGH CHANGE

- 10.1 Changes in the workplace must be implemented fairly. Some groups of staff may experience barriers to participating in and engaging with a restructure and/or redundancy process. For example, disabled staff or staff on maternity leave or long-term sickness absence may face particular practical issues in engaging with aspects of the process. An early analysis of potential equality and diversity issues will ensure managers are effectively supporting their staff and complying with relevant legislation.
- 10.2 At an early stage of any change proposals the manager is required to undertake an Equality Impact Assessment to identify and address any equalities issues identified through the assessment (Appendix B).
- 10.3 RBC recognises that change can be difficult for employees, and that uncertainty and disruption impact on people differently. The Council will undertake to put the following measures in place to support employees through any organisational change process
- Consultation will be meaningful and individual as well as team based, and queries will be responded to in a timely and honest manner
  - Where employees need additional support to understand the organisational change process (such as large format documents, translations, support with reading or dyslexia aids) these will be provided in time for the employee to have a meaningful consultation
  - Redeployees will be provided guidance in job search techniques
  - Occupational Health will advise on any necessity for adaptation to the workplace/job design and assist in the redeployment process where appropriate.
  - Requests by redeployees for reasonable paid leave of absence to secure employment (i.e. attending interviews, meetings with Job Centres) outside Rugby Borough Council will be granted.
- 10.4 Employees will at all stages in the process have a right to be accompanied by their Trade Union representative (if a current member) or work colleague. If the employee has specific needs for representation outside of the workplace this can be discussed and reasonable accommodation will be made if appropriate (for example translation or support for neurodiverse conditions).

## 11 APPEALS

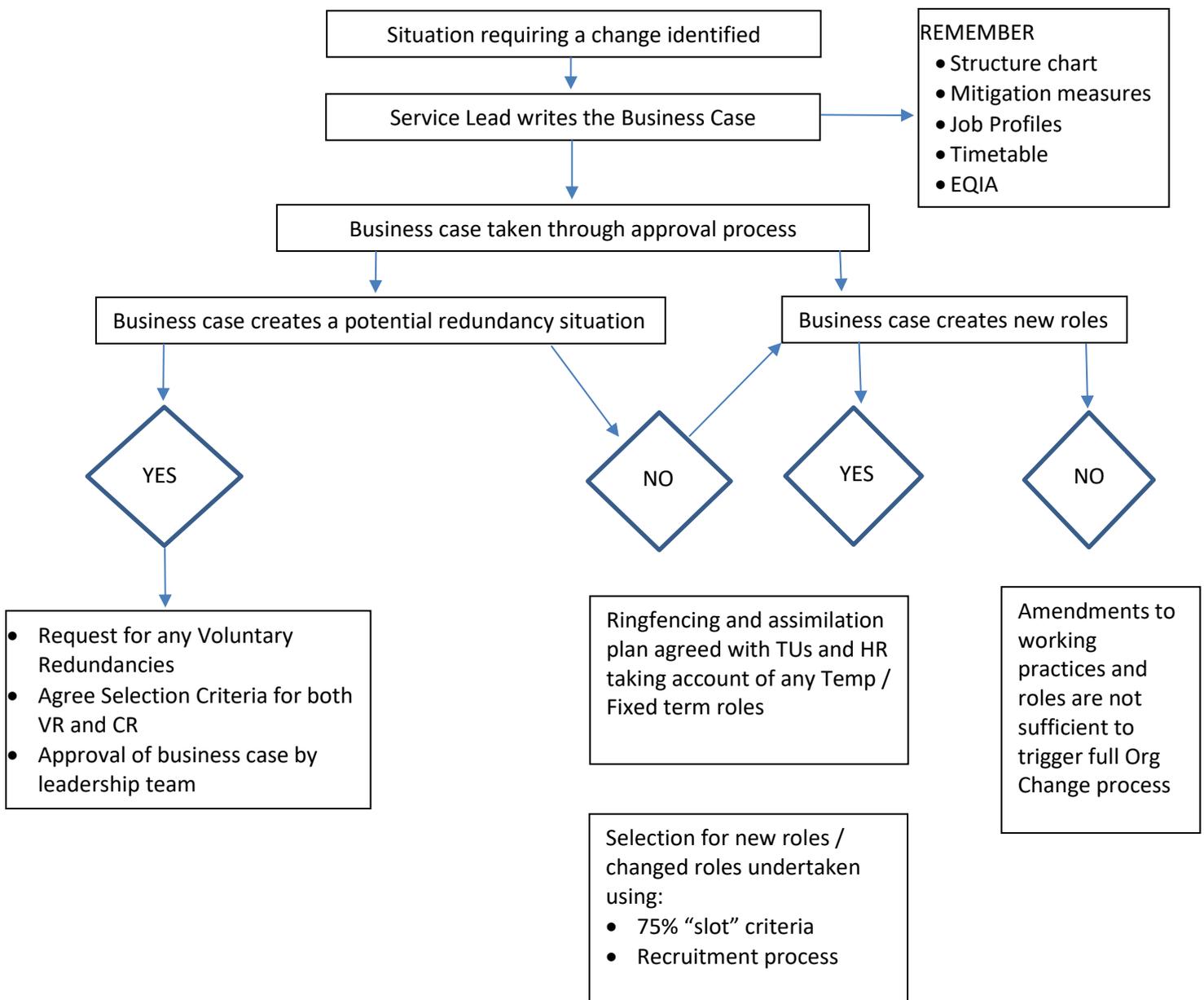
- 11.1 Employees who are made redundant are dismissed from employment, and as such

have the right of appeal against the decision to dismiss them on the grounds of unfair selection.

- 11.2 The employee will need to write to HR within 10 working days of the notification informing of the wish to submit an appeal. If the employee requires an extension or further time to consider their position this will be considered as part of a reasonable response

Appendix A

### PROCESS FLOW CHART



## ORGANISATIONAL CHANGE BUSINESS CASE REPORT

The business case should be written in the third person, to Leadership Team and the Trades Unions as the initial audience but also for sharing with staff within the service at the point when the business case is approved.

### 1 Background and Context

In here detail the current situation (model of delivery, costs / income or other resources, any relevant background or history which impact on the service)

### 2 Ambition / Demand / problem / issue to be resolved

In here detail the desired “future state” , what is it that needs to start / stop? What is the ambition you want to achieve or the problem you want to resolve

### 3 Proposed Options

Detail here all of the options which are under consideration, with advantages / disadvantages for each option and your final preferred choice

### 4 Financial Implications

Detail here the financial implications of your options –. This may include staffing costs/ redundancy payment costs or may also include contract / capital costs or short term support costs

### 5 HR implications

Detail here the HR implications of your options, who is impacted and to what level? This section should detail any measures you are proposing to mitigate / reduce redundancies, and your proposed approach to selection

For consultation purposes you also need to include structure chart, job descriptions and proposed grades for new roles in the structure

### 6 Proposed implementation approach

Detail here the approach you are planning to take to get your proposed option from business case to implementation, specifically Include the consultation requirement - who is part of consultation, what timescale do you need to work to and what is your

“go live” planned date.

## **7 Equality Impact Assessment Summary**

An Equality Impact Assessment needs to be completed as part of this process and a summary of the staff profile (based on protected characteristics) should be included in this section.

## Assimilation Template

The form / guidance below should be used to detail the decision for assimilation or “slotting” into roles in a new structure where the job duties are considered 75% or more equivalent, or where jobs are considered not to be an assimilation the reasons for this.

Current Job Title		New Job Title	
Current Grade		New Grade	
Main job purpose (from JD) (bullet points of the main 5 – 10 areas of delivery)		Main job purpose (from JD) (bullet points of the main 5 – 10 areas of delivery)	
Elements of work which are no longer required		Elements of work which are new in the role	
Essential Qualifications (if any)		Essential Qualifications (if any)	
Key Essential skills (bullet point from PS)		Key Essential skills (bullet point from PS)	
Summary / Conclusion The role is / is not an assimilation based on 75% of the role – see detail below:  Completed by _____ date _____			



# EQUALITY IMPACT ASSESSMENT (EqIA)

## Context

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

## Equality Impact Assessment

<b>Service Area</b>	<b>Human Resources</b>
<b>Policy/Service being assessed</b>	<b>Organisational Change Policy</b>
<b>Is this is a new or existing policy/service?</b>  <b>If existing policy/service please state date of last assessment</b>	<b>New Policy</b>
<b>EqlA Review team – List of members</b>	<b>Judith Hicks Rachael Ward</b>
<b>Date of this assessment</b>	23/03/2023
<b>Signature of responsible officer (to be signed after the EqlA has been completed)</b>	<b>Judith Hicks</b>

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

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

**Details of Strategy/ Service/ Policy to be analysed**

<b><u>Stage 1 – Scoping and Defining</u></b>	
(1) Describe the main aims, objectives and purpose of the Strategy/Service/Policy (or decision)?	<ul style="list-style-type: none"> <li>• The aim of this policy and procedure is to provide a framework for dealing with all matters relating to changes to services, teams or individuals within the Council.</li> <li>• The main purpose of the policies is to outline the procedures for managing and implementing change within the Council.</li> </ul>
(2) How does it fit with Rugby Borough Council's Corporate priorities and your service area priorities?	<ul style="list-style-type: none"> <li>• This fits with CANDO values in particular Nurture, Own It and Driving Excellence</li> <li>• Corporate Strategy – Outcome 4: Organisation</li> </ul>
(3) What are the expected outcomes you are hoping to achieve?	<ul style="list-style-type: none"> <li>• Retains the right people, with the right skills in the right roles.</li> <li>• Maintains consistency, fairness and equality</li> <li>• Safeguards as far as possible the current employment of staff and to minimise redundancies</li> <li>• Promotes good employee relations and equal opportunities in line with our current policies and employment law.</li> <li>• To streamline policies to ensure single point of truth</li> <li>• To define roles and responsibilities and for Managers to take ownership of change</li> </ul>
(4) Does or will the policy or decision affect: <ul style="list-style-type: none"> <li>• Customers</li> <li>• Employees</li> <li>• Wider community or groups</li> </ul>	<ul style="list-style-type: none"> <li>• Employees</li> </ul>
<b><u>Stage 2 - Information Gathering</u></b>	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?	<ul style="list-style-type: none"> <li>Information in developing this policy has been gathered from sessions with Chief Executive and leadership team</li> <li>Looked at through the lens of corporate priorities and values.</li> </ul>		
(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?	<ul style="list-style-type: none"> <li>Presented at Leadership Team, Management Team and Joint Union Committee Forum (JUCF)</li> <li>As no changes have been requested, no further consultation has taken place.</li> </ul>		
(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.	Not Applicable		
<b><u>Stage 3 – Analysis of impact</u></b>	The aim of the policy is to ensure the law is applied with regard to consultation, job matching, internal recruitment and selection, redundancy process and redeployment and salary protection. If an individual has a particular need due to a relevant protected characteristic, then reasonable adjustments will be made which will ensure that the principles and process as outlined in the organisational change policy can be fully applied.		
<b><u>(1)Protected Characteristics</u></b> 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.	<b>RACE</b> Positive impact expected	<b>DISABILITY</b> Positive impact expected	<b>GENDER</b> Positive impact expected
	<b>MARRIAGE/CIVIL PARTNERSHIP</b> Positive impact expected	<b>AGE</b> Positive impact expected	<b>GENDER REASSIGNMENT</b> Positive impact expected
	<b>RELIGION/BELIEF</b> Positive impact expected	<b>PREGNANCY MATERNITY</b> Positive impact expected	<b>SEXUAL ORIENTATION</b> Positive impact expected

<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>(a) No impact likely</p> <p>(b) Individual staff circumstances will dictate if there is likely to be an impact</p>
<p>(3) If there is an adverse impact, can this be justified?</p>	<p>N/A</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>	<ul style="list-style-type: none"> <li>Ensuring standards of behaviour are fair and equitable and aren't dependant on who you are, unless extra support is required to be provided.</li> </ul>
<p>(5) How does the strategy/service/policy contribute to the promotion of equality? If not what can be done?</p>	<ul style="list-style-type: none"> <li>The policy sets out the principles against which we apply a consistent and supportive approach to change. Decision-making is designed to both minimise the potential to discriminate and to promote equality of opportunity.</li> </ul>
<p>(6) How does the strategy/service/policy promote good relations between groups? If not what can be done?</p>	<ul style="list-style-type: none"> <li>A standard consistent framework for dealing with all matters relating to changes to services, teams or individuals within the Council.</li> </ul>
<p>(7) Are there any obvious barriers to accessing the service? If yes how can they be overcome?</p>	<ul style="list-style-type: none"> <li>No Obvious barriers</li> </ul>

<b><u>Stage 4 – Action Planning, Review &amp; Monitoring</u></b>																														
<p>If No Further Action is required then go to – Review &amp; 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>EqIA Action Plan</p> <table border="1" data-bbox="887 459 2139 692"> <thead> <tr> <th data-bbox="887 459 1133 539">Action</th> <th data-bbox="1133 459 1379 539">Lead Officer</th> <th data-bbox="1379 459 1626 539">Date for completion</th> <th data-bbox="1626 459 1872 539">Resource requirements</th> <th data-bbox="1872 459 2139 539">Comments</th> </tr> </thead> <tbody> <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>	<ul style="list-style-type: none"> <li>The policy will be reviewed in 3 years</li> </ul>																													

Please annotate your policy with the following statement:

**‘An Equality Impact Assessment on this policy was undertaken on 23/3/23 and will be reviewed on 22/3/26.’**

**AGENDA MANAGEMENT SHEET**

**Report Title:** Home Environment Assessment and Response Team (HEART) shared service contract extension

**Name of Committee:** Council

**Date of Meeting:** 26 April 2023

**Report Director:** Chief Officer - Communities and Homes

**Portfolio:** Communities, Homes, Digital and Communications

**Ward Relevance:** All

**Prior Consultation:** None

**Contact Officer:** Michelle Dickson - Chief Officer Communities & Homes email: michelle.dickson@rugby.gov.uk tel: (01788) 533843

**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 Home Environment Assessment and Response Team (HEART) is a shared service of the district and borough councils in Warwickshire, working closely with Warwickshire County Council, who also form part of the governance board. The partnership was established in March 2017 to

improve the delivery of mandatory Disabled Facilities Grants (DFG's) to provide adaptations for private householders in Warwickshire.

The service also provides assessment recommendations for Council tenants in need of potential DFG's.

The overarching objective of HEART, which is hosted by Nuneaton & Bedworth Borough Council, is to deliver holistic home assessments and interventions to enable applicants to remain living independently, and with dignity, in their home.

In April 2022, Cabinet agreed to the extension of the current Shared Partnership agreement for 12 months, to 30<sup>th</sup> April 2023 to allow the partnership time to:

- i) implement key priorities to further develop the service and,
- ii) respond to any implications arising from the review of the legislation underpinning DFG's as proposed by the Social Care White Paper published in 2021
- iii) continue to build the partnership with a view to creating a new legal agreement for a continuation of the partnership for 5 years beyond April 2023

During the contract extension period, to 30 April 2023, the board partners have invested significant time in developing the service, and an overview of the main activities is provided in section 4.0.

All partners have indicated that they are supportive of the contract being renewed for 5 years and this is progressing through their formal approvals processes, where the relevant Chief Officer has not already received delegated authority to agree to this.

**Financial Implications:**

The DFG allocations for 2023/24 have yet to be announced. However, the allocation for Warwickshire in 2022/23 was £5.125M of which £717,000 was for Rugby. The spend of the allocation is monitored through the Project Board and the Section 151 officers from each of the districts and boroughs.

**Risk Management/Health and Safety Implications:**

The risks are observed and managed by the HEART board, made up of Chief Officers / Heads of Housing from each of the districts and boroughs in Warwickshire, as well as the Assistant Director from Warwickshire County Council's Social Care and Support Service.

The professional body for Home Improvement Agencies is Foundations. Their Chief Executive Officer is the independent Chair for the HEART Board.

In addition, the standard clauses in the proposed 5-year contract extension do enable any party to terminate the contract, with 12 months' notice, should they wish to do so.

**Environmental Implications:**

There are no direct environmental implications arising from this report.

**Legal Implications:**

The current shared service is based on a contractual arrangement, which is currently set to end 30 April 2023. The mechanism for extending this for 5 years, to April 2028 is straight-forward.

The Council is responsible for administering DFGs arising from its obligations under the Housing Grants Construction and Regeneration Act 1996 (as amended). The HEART shared service is the conduit for achieving this in respect of Rugby's residents.

**Equality and Diversity:**

An equality impact assessment is included as appendix 1.

**Options:**

To extend the current shared service arrangement until April 2028:

- i) This is in keeping with the recommendations of the Department for Levelling Up, Housing and Communities and Department of Health and Social Care published guidance for 'Disabled Facilities Grant delivery' (published March 2022), which sets out the Guidance and the legal framework for grants and encourages Local Authorities to act in partnership to improve their services.

To disband the service and set up a local arrangement to deliver this mandatory service

- i) This would conflict with the business case which underpins the current service
- ii) This would expose the council to the risk of having to secure its own resources for conducting home assessments and Occupational Therapy recommendations
- iii) Would require new processes for procuring supplies, labour and expert advice to deliver the service, which would not benefit from collective purchasing
- iv) All of this could lead to delayed outcomes for already vulnerable customers

**Recommendation:**

- (1) The Council agrees to enter into a further contractual partnership with HEART for 5 years from 1 April 2023; and
- (2) delegated authority be given to the Chief Officer of Communities and Homes and the Chief Officer of Legal and Governance to determine the final contract terms.

**Reasons for Recommendation:**

- i) The partnership is an established conduit for the Council to discharge its statutory duties in respect of the delivery of Disabled Facilities Grants
- ii) There are clear and robust mechanisms in place for continued service development, monitoring the performance of the partnership and managing risk in delivering service outcomes
- iii) The delivery of interventions to enable applicants to remain living independently in their home complements the objectives of the Housing Strategy 2022/24, which seeks to make most effective use of the existing housing stock

**Council - 26 April 2023**

**Home Environment Assessment and Response Team (HEART)  
shared service contract extension**

**Public Report of the Chief Officer - Communities and Homes**

**Recommendation**

- (1) The Council agrees to enter into a further contractual partnership with HEART for 5 years from 1 April 2023; and
- (2) delegated authority be given to the Chief Officer of Communities and Homes and the Chief Officer of Legal and Governance to determine the final contract terms.

**1.0 Introduction**

- 1.1 The HEART shared service Partnership has been in place since March 2017 and is subject to a legal contract which reflects the arrangements agreed by the six Councils in Warwickshire.
- 1.2 The shared service is hosted by Nuneaton & Bedworth Borough Council, with two teams delivering the service across the county – one in the north and one in the south. The host provides a single line managed staff structure.
- 1.3 The HEART Management Board oversees the partnership arrangements and has representation from all 6 authorities involved.

**2.0 Objectives of the service**

- 2.1 The Business Case for the Home service was:

*“To provide customers with the advice and information to help them make the right choice, and provide practical help to deliver the right housing solution when they want it”*

- 2.2 The resulting vision for the shared service is:

*“To be the service of choice for advice, assistance and interventions to adapt or improve the home environment to enable activities of daily living and protect and improve the health, safety and wellbeing of residents to prevent, reduce or delay greater needs arising.”*

**3.0 Development of the service**

- 3.1 The role of the Board is a strategic one which has supported ongoing development of the service since its inspection in 2017.

- 3.2 A review of the HEART partnership was reported to the Board at its meeting in January 2021. The HEART Board has acted to deliver against the review recommendations.
- 3.3 In March 2022 the Department for Levelling Up, Housing and Communities and Department of Health and Social Care published guidance for ‘Disabled Facilities Grant delivery’. The Guidance sets out the legal framework for grants and encourages Local Authorities to act in partnership to improve their services.
- 3.4 It was found that the arrangements for delivering the HEART service had already anticipated most of the best practice encouraged in the new Guidance.
- 3.5 The professional body for Home Improvement Agencies is Foundations. They delivered the report for Government and their Chief Executive Officer is the independent Chair for the HEART Board. This enables a positive two-way exchange on how best to deliver these important services.
- 3.6 There has been significant progress to bring the 6 Councils together to provide for one, holistic service for customers. To underpin this progress and look forward to a further contractual partnership from April 2023, the HEART Board agreed a new Business Case in 2022 which sets out the ambition of the partnership and how it will serve customers who require adaptations to remain independent at home.
- 3.7 As part of the service development and move towards more performance driven data, going forward, in addition to the data already provided to the board, the service will produce an annual report to provide detailed analysis of the performance of the service over the year and identify areas for improvement and of good practice.
- 3.8 The annual report will include analysis of customer surveys and added value measures as well as analysis of spend against budget and against wider population information to enable the Board to support future service planning and reflect on how performance changes from one year to the next.

#### **4.0 Headline improvements to the service between April 2022- April 2023**

- 4.1 The board has reviewed how service performance information is provided and reported to enable barriers to be accounted for and resolved.
- 4.2 New case management software has been procured for the service to improve efficiency by reducing duplication and providing the team with user friendly systems as well as improved performance reporting tools.
- 4.3 Work continues to develop a Human Resources Protocol that supports the requirements of the service whilst reflecting conditions of employment in six separate organisations.

- 4.4 New perception-based processes are being embedded to capture and utilise customer satisfaction feedback.
- 4.5 The board has agreed with the Host authority that capital funds can legitimately be used to support the revenue staff costs so that it can provide better resources to deliver more capital projects / outcomes for customers from April 2023. This will enable the Board to consider a restructure of the team.
- 4.6 A review of the Housing Assistance Policy is almost complete. This sets out how mandatory and discretionary funding will be provided to support residents in obtaining the assistance they require for the adaptations they need

## **5.0 Rationale for continuing the shared service**

- 5.1 The level of partnership working by HEART to deliver Disabled Facility Grants and adaptations was described as 'sector leading' when it was launched in 2017. The service does remain largely unique in its level of integration.
- 5.2 Nuneaton and Bedworth Borough Council are willing to continue as the host authority from April 2023 for a further 5 years. The partnership authorities are committed to continuing to deliver and develop HEART.
- 5.3 There will be encouragement for Housing Authorities to take advantage of the opportunities for co-ordination and collaboration that the Better Care Fund offers to "make sure that people can quickly access the adaptations they need, in a way that is co-ordinated with other practical support they receive."

## **6.0 HEART delivery of DFG's and grants in Rugby during 2022/23:**

- 6.1 At the time of writing, detail was only available up to the end of quarter 3 in respect of 2022/23, and can be summarized as follows, specific to Rugby DFG's:
- 35 DFG approvals, to a value of £325,000
  - 42 DFG's delivered, to a value of £408,000 (average cost of £9,700)
  - Stairlifts and ramps are the most frequent measure
  - 101 items of social care equipment have also been secured (for example shower seats / stools and toilet frames / raised seats)
- 6.2 Home improvement services are delivered as part of the holistic home assessment service offer as well as home safety grants. Again, Rugby specific for the first 3 quarters of 2022/23, this included:
- 9 Warm and Safe Homes Grants (WASH) for income eligible households only. These are to tackle (reduce or remove) hazards within the home – most frequently measures in respect of cold homes
  - 110 Home Safety Grants - for example key safes and handrails
  - 1 household - specific works to facilitate hospital discharge

## **7.0 Conclusion**

- 7.1 The collaborative work undertaken by HEART extends beyond DFG's, and the constantly evolving service model allows continued responsiveness and improvement.
- 7.2 The governance provided by the board is robust and continuously seeks to improve outcomes for our most vulnerable customers.
- 7.3 The extension of the contract for another 5 years provides substantial reassurance for continued responsiveness and service development.

**Name of Meeting:** Council

**Date of Meeting:** 26 April 2023

**Subject Matter:** HEART shared service update and contract extension

**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:

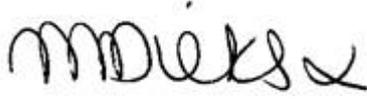
Doc No	Relevant Paragraph of Schedule 12A

# 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,
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2. The characteristics protected by the Equality Act are:
  - age
  - disability
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  - pregnancy/maternity
  - race
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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.
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7. Once completed and signed off the EqIA will be published online.
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9. For further information, refer to the EqIA guidance for staff.
10. For advice and support, contact:  
Minakshee Patel  
Corporate Equality & Diversity Advisor  
[minakshee.patel@rugby.gov.uk](mailto:minakshee.patel@rugby.gov.uk)  
Tel: 01788 533509

## Equality Impact Assessment

<b>Service Area</b>	Communities and Homes
<b>Policy/Service being assessed</b>	HEART – contract extension 2023-28
<b>Is this is a new or existing policy/service? If existing policy/service please state date of last assessment</b>	Extension of an existing shared service
<b>EqlA Review team – List of members</b>	Michelle Dickson Minakshee Patel
<b>Date of this assessment</b>	16 March 2023
<b>Signature of responsible officer (to be signed after the EqlA has been completed)</b>	

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

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

## Details of Strategy/ Service/ Policy to be analysed

<b><u>Stage 1 – Scoping and Defining</u></b>	
<p>(1) Describe the main aims, objectives and purpose of the Strategy/Service/Policy (or decision)?</p>	<p>The Council is responsible for administering DFGs arising from its obligations under the Housing Grants Construction and Regeneration Act 1996 (as amended). The HEART shared service is the conduit for achieving this in respect of Rugby’s residents.</p> <p>This share service approach is in keeping with the recommendations of the Department for Levelling Up, Housing and Communities and Department of Health and Social Care published guidance for ‘Disabled Facilities Grant delivery’ (published March 2022), which sets out the Guidance and the legal framework for grants and encourages Local Authorities to act in partnership to improve their services.</p> <p>The aim of the HEART service is to improve the delivery of the Disabled Facilities Grants service in terms of quality and timescales as well as offering a holistic assessment which is much more than just delivering adaptations. The service results in a positive impact for people with disabilities and other service users as defined under the protected characteristics in the Equality Act 2010.</p> <p>The partnership agreement comes to an end on 30<sup>th</sup> April 2023. However, partners are keen to extend this arrangement through to April 2028.</p>
<p>(2) How does it fit with Rugby Borough Council’s Corporate priorities and your service area priorities?</p>	<p>The service complements the corporate priorities as it enables residents to live healthy, independent lives with the most vulnerable protected.</p> <p>In addition, meets the objectives of the Housing Strategy 2022-24 in that the services helps to make most effective use of the existing housing stock through aids and adaptations.</p>
<p>(3) What are the expected outcomes you are hoping to achieve?</p>	<p>Delivery of the statutory DFG service in a way that is responsive to the needs of residents.</p>

<p>(4) Does or will the policy or decision affect:</p> <ul style="list-style-type: none"> <li>• Customers</li> <li>• Employees</li> <li>• Wider community or groups</li> </ul>	<p>The Home Environment Assessment and Response Team (HEART) project, a formal shared service arrangement between:</p> <ul style="list-style-type: none"> <li>• Warwickshire County Council</li> <li>• Nuneaton and Bedworth Borough Council</li> <li>• North Warwickshire Borough Council</li> <li>• Rugby Borough Council</li> <li>• Warwick District Council</li> <li>• Stratford District Council</li> </ul> <p>The project board is made up of senior officers from the partner organisations.</p> <p>Focused on service delivery, the desired outcome for the end user is increased efficiency, responsiveness and reduced waiting times for home adaptations and improvements. In achieving this it is hoped that the health inequalities for this cohort will be reduced.</p> <p>A wider benefit of the HEART service is that DFG's will support a reduction in non-elective admissions to hospital, reducing delayed transfers of care from hospital, reducing permanent admissions to residential and nursing care and help to increase the effectiveness of re-ablement services.</p>
<p><b><u>Stage 2 - Information Gathering</u></b></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, eg 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>Disabled Facilities Grants are intended for those that qualify under the appropriate legislation:</p> <ul style="list-style-type: none"> <li>• Housing Grants, (Construction and Regeneration ACT 1996)</li> <li>• The Regulatory Reform (Housing Assistance) (England and Wales) Order 2002</li> </ul>

<p>(2) Have you consulted or involved those groups that are likely to be affected by the strategy/ service/policy you want to implement? If yes, what were their views and how have their views influenced your decision?</p>	<p>This is unnecessary as the improvements relate to efficiencies to be gained by continuing an existing service.</p> <p>However, going forward there will be an increased focus on deriving perception based customer satisfaction with outcomes. This will be achieved by measuring how safe people felt in their home at the point of referring into the service and again 3 months post completion of adaptations.</p>
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<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>This is unnecessary as the improvements relate to efficiencies to be gained by continuing an existing service.</p> <p>However, going forward there will be an increased focus on deriving perception based customer satisfaction with outcomes. This will be achieved by measuring how safe people felt in their home at the point of referring into the service and again 3 months post completion of adaptations.</p>
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<p><b><u>Stage 3 – Analysis of impact</u></b></p>			
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<p><b><u>(1)Protected Characteristics</u></b>          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><b>RACE</b></p> <p>No</p>	<p><b>DISABILITY</b></p> <p>Positive – supports people with disabilities to live safe, independent lives.</p>	<p><b>GENDER</b></p> <p>No</p>
	<p><b>MARRIAGE/CIVIL PARTNERSHIP</b></p> <p>No</p>	<p><b>AGE</b></p> <p>No</p>	<p><b>GENDER REASSIGNMENT</b></p> <p>No</p>
	<p><b>RELIGION/BELIEF</b></p> <p>No</p>	<p><b>PREGNANCY MATERNITY</b></p> <p>No</p>	<p><b>SEXUAL ORIENTATION</b></p> <p>No</p>

<p><u>(2) 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?</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>DFG's are not ring-fenced to adults – they are also available for supporting children to live in their current homes.</p> <p>Carers benefit from the DFG's too as resulting improvements reduce the need for lifting and carrying to provide support. A key area where this is evident is supported bathing.</p>
<p>(3) If there is an adverse impact, can this be justified?</p>	<p>There is no adverse impact</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>It ensures effective discharge of our statutory duties in respect of DFG's.</p>
<p>(6) How does the strategy/service/policy promote good relations between groups? If not what can be done?</p>	<p>It is discharging a statutory duty.</p> <p>The partnership is governed by a board that works positively together according to defined terms of reference.</p>
<p>(7) Are there any obvious barriers to accessing the service? If yes how can they be overcome?</p>	<p>DFGs are mandatory. Health and social care professionals in Warwickshire are well acquainted with HEART and its service objectives.</p>

**Stage 4 – Action Planning, Review & Monitoring**

If No Further Action is required then go to – Review & Monitoring

(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.

**EqlA Action Plan**

<b>Action</b>	<b>Lead Officer</b>	<b>Date for completion</b>	<b>Resource requirements</b>	<b>Comments</b>

(2) Review and Monitoring  
State how and when you will monitor policy and Action Plan

The contract monitoring and review will be via the formal meetings of the board which take place every three months.

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:** Update on the Sustainable Design and Construction Supplementary Planning Document 2012

**Name of Committee:** Council

**Date of Meeting:** 26 April 2023

**Report Director:** Chief Officer Growth and Investment

**Portfolio:** Growth and Investment

**Ward Relevance:** All.

**Prior Consultation:** None.

**Contact Officer:** Martin Needham – Senior Planning Officer (Development Strategy) - 01788 533741

**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:** Following the adoption of the Climate Change and Sustainable Design and Construction SPD in February 2023, the former Sustainable Design and Construction SPD 2012 has now been superseded. The 2012 SPD should now be revoked in accordance with Reg 15(2) of the Town

and Country Planning (Local Planning) (England) Regulations 2012 and s25 of the Planning and Compulsory Purchase Act 2004.

**Financial Implications:**

None.

**Risk Management/Health and Safety Implications:**

The Council will have superseded planning guidance in circulation if the document is not revoked. This could potentially lead to confusion in the determination of planning applications.

**Environmental Implications:**

A climate change and environmental impact assessment has been undertaken and is attached at Appendix 4.

**Legal Implications:**

The Council will have superseded planning guidance in circulation if the document is not revoked. This could potentially lead to confusion in the determination of planning applications.

**Equality and Diversity:**

An Equality Impact Assessment is included in Appendix 3 to this report.

**Options:**

1.Revoke the Sustainable Design and Construction SPD 2012, and publish a statement on the Council's website confirming this.

Risks: None.

Benefits: The superseded guidance will be formally withdrawn and no longer be available.

2. Do not revoke the Sustainable Design and Construction SPD 2012 or issue any associated notifications.

Risks: The Council will have outdated guidance remaining in circulation that may misinform developers and the public.

Benefits: None.

**Recommendation:**

The Sustainable Design and Construction SPD 2012 be revoked and a statement be publicised on the Council's website confirming this.

**Reasons for Recommendation:**

The Sustainable Design and Construction SPD 2012 was made to support the Core Strategy 2011. Since then the Local Plan 2019 has been adopted which is supported by the Climate Change and Sustainable Design and Construction SPD 2023.

The SPD 2012 is therefore superseded and should now be formally revoked.

**Council - 26 April 2023**

**Update on the Sustainable Design and Construction SPD 2012**

**Public Report of the Chief Officer – Growth and Investment**

**Recommendation**

The Sustainable Design and Construction SPD 2012 be revoked and a statement be publicised on the Council's website confirming this.

**1. Introduction**

- 1.1 Supplementary planning documents (SPDs) provide further detailed guidance on Local Plan policy topics such as large-scale allocations, affordable housing, sustainable design and construction, residential design and planning obligations. SPDs do not form part of the Local Plan itself, however they are a material consideration when the Council is determining planning applications.
- 1.2 The Sustainable Design and Construction SPD 2012 (Appendix 1) was made to support policies in the Rugby Borough Core Strategy 2011. Since then, the Core Strategy has been superseded by the Local Plan 2019 which is supported by the Climate Change and Sustainable Design and Construction SPD 2023.
- 1.3 The Sustainable Design and Construction SPD 2012 is therefore no longer required. Revoking an SPD must be done formally in accordance with Regulation 15(2) of the Town and Country Planning (Local Planning) (England) Regulations 2012 and s25 of the Planning and Compulsory Purchase Act 2004.

**2. Revocation**

- 2.1 Revoking the Sustainable Design and Construction SPD 2012 will formally withdraw the document and prevent its guidance being used as a material consideration in planning applications. It will be made unavailable to developers and members of the public by being taken off the Council's website. Any physical copies will be removed and no longer available for viewing at the Town Hall.
- 2.2 In accordance with the aforementioned regulations, when an SPD is revoked it is also necessary to publish a statement stating this fact, and take other steps as considered necessary to draw the revocation of the supplementary

planning document to the attention of persons living or working in their area. A draft statement is included at Appendix 2 to this report.

- 2.3 These requirements will be met by publishing a statement confirming revocation of the Sustainable Design and Construction SPD 2012 on the Council's website.
- 2.4 Revoking the Sustainable Design and Construction SPD 2012 will not give rise to equality issues. An Equality Impact Assessment is included in Appendix 3 to this report.

### **3. Summary**

- 3.1 The Sustainable Design and Construction SPD 2012 has been superseded by the Local Plan 2019 and accompanying Climate Change and Sustainable Design and Construction SPD 2023.
- 3.2 The document is no longer required and should be formally revoked and removed from circulation.
- 3.3 In agreeing to revoke the Sustainable Design and Construction SPD 2012, the document will be withdrawn from the Council's website, physical copies removed from the Town Hall, and a statement will be publicised as required by legislation.

**Name of Meeting:** Council

**Date of Meeting:** 26 April 2023

**Subject Matter:** Update on the Sustainable Design and Construction SPD 2012

**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



# **RUGBY BOROUGH COUNCIL**



## **LOCAL DEVELOPMENT FRAMEWORK**

## **SUSTAINABLE DESIGN AND CONSTRUCTION**



## **SUPPLEMENTARY PLANNING DOCUMENT**



**FEBRUARY 2012**



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List of figures, tables and abbreviations

### **1. Introduction**

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- 1.2 How to use this document

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- 2.3 Local evidence base

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- 4.1 Carbon and Energy Efficiency
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**Appendix B Residential Design Guide**

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Table 2	Sustainable Design and Construction policy requirements and guidelines
Table 3	Extract from the Implementation and Monitoring Framework, Appendix 1 of the Rugby Borough Core Strategy.

Abbreviations:

SPD	Supplementary Planning Document
DPD	Development Plan Document
WMSC	West Midlands Sustainability Checklist
SC	Sustainability Checklist
WSC	Warwickshire Water Cycle Study
SuDS	Sustainable Urban Drainage System
CABE	Commission for Architecture and the Built Environment

## **1. INTRODUCTION**

### **1.1 Background**

The purpose of this document is to support the increasing requirement to create more sustainable development. It focuses on the design and construction of built development, considering urban design, resource efficiency, the impact of climate change and the creation of places where people can live, work and play.

This SPD forms part of the Rugby Borough Local Development Framework and supports the policies set out in the adopted Rugby Borough Core Strategy Development Plan Document (DPD), particularly policies CS16 Sustainable Design and CS17 Sustainable Buildings.

This document replaces the Sustainable Design and Construction SPD June 2009 and the Residential Design Guide SPD 2005.

### **1.2 What is a Supplementary Planning Document?**

A Supplementary Planning Document (SPD) is one of the material considerations that can be taken into account when determining a planning application for development. It is intended to provide helpful guidance for developers, applicants and other parties involved in the development process. The valuable role that Supplementary Planning Documents (SPD) can play in supplementing the policies and proposals of the Development Plan is set out in Planning Policy Statement (PPS) 12: Local Spatial Planning.

### **1.3 How to use this document:**

This Supplementary Planning Documents should be used as a guide to aid the achievement of Rugby Borough Council's Core Strategy Design policies CS16 & CS17.

Within the first section of the document the statutory background to the Design policies contained within the Core Strategy is set out alongside the local evidence base that supports them.

The second section of the document contains advice and guidance on how the standards within Core Strategy policies can be achieved and how to demonstrate compliance to the Council as part of a planning application:

- Chapter 3 outlines the policy requirements of Core Strategy policy CS16 Design and recommends the use of guidance notes and toolkits that will enable an applicant to demonstrate compliance with this policy.
- Chapter 4 outlines the policy requirements of CS17 Sustainable Buildings and recommends further tools that can be used by applicants to investigate how they can achieve the required sustainability standards.

The third section relates to the implementation of Core Strategy policies. The policy requirements of policies CS16 and CS17 for different types of development are summarised and then the topics that are likely to be discussed as part of negotiations between Planning Officers and applicants relating to the financial viability and technical feasibility of proposals are outlined. This section also provides sample planning conditions.

Finally the appendices of the SPD contain, information about how the Council will monitor policies CS16 and CS17 and the Residential Design Guide which offers advice and outlines the principles of extending a dwelling, without unduly affecting neighbours and respecting the character of the area and existing property.

This document is wide ranging and currently comprehensive, however, it is recognised that the subject of sustainability particularly related to development, is rapidly changing, so the information will change over time. Section 6.3 of this document is particularly relevant here where the technical feasibility and financial viability of each scheme will result in different provisions on a case by case basis.

#### **1.4 Link to Building Regulations**

Building Regulations are set by the Government and provide technical standards for different aspects of a building's construction to ensure that minimum health and safety levels are achieved. These regulations apply to most new buildings and many alterations to existing buildings.

The Building Regulations include standards which relate to the environmental impact of buildings. These include standards on energy conservation (Part L), ventilation (Part F), drainage (Part H) and waste storage (Part H). Checking compliance with the Building Regulations is a separate process to getting planning approval.

However as both the Building Regulations and planning policies need to be met for a development to be able to go ahead it is more effective and faster if they are both considered together in the design process. CS16 and CS17 and the guidance in this SPD and online will help achieve compliance with the relevant Building Regulations. The Council encourages standards of design and construction that go beyond the minimum standards set out in the Building Regulations.

## 2. **BACKGROUND**

### 2.1 **Sustainable Design and Construction**

Sustainable development is central to the spatial planning system in the UK. As a result, consideration of sustainability criteria is now of prime importance in the design of new development.

Sustainable design seeks to lay out development so that it makes maximum use of natural and renewable resources such as the sun, the rain and the wind. It encourages people to use and move around a development in more sustainable ways, by walking, cycling and using public transport rather than being totally dependent on using private cars. Sustainable design allows people to reuse and recycle their waste materials and creates a range of interesting and different environments, with green space well integrated with built space. It also seeks to use non-renewable resources, such as land, more efficiently.

Sustainable construction seeks to build development in an efficient way so that scarce and valuable resources are not wasted. It insulates walls and roofs to keep people warm in winter and cool in summer, with minimum need for additional energy. Where energy is provided renewable sources are used such as solar panels set within the fabric of the building. Water is re-circulated, either as rainwater or grey water or both, before being released into the drainage system. Construction materials are locally sourced from renewable resources, whilst buildings are erected by local labour, so that transportation is minimised.

Sustainable design and construction is a positive response to the effects of climate change through achieving the following:

- Reducing energy consumption and promoting the use of renewable energies;
- Reducing the use of transport, which increases the emission of carbon dioxide and other greenhouse gases into the atmosphere;
- Conserving and reusing water, thereby reducing consumption;
- Slowing the speed at which rain flows into the natural water course network, so as to reduce flooding;
- Using materials more efficiently;
- Reducing and reusing waste;
- Increasing recycling so that the material left to go to landfill can be accommodated in the very limited facilities available.

### 2.2 **Key drivers and policy framework:**

The **Climate Change Act 2008** puts into statute the governments target to reduce CO<sub>2</sub> emissions through domestic and international action to 60% below 1990 levels by 2050.

#### **National Policy Framework**

#### **Planning Policy Statement (PPS) 1: Delivering Sustainable Development**

Paragraph 5 of PPS1 requires local authorities to facilitate and promote sustainable and inclusive patterns of urban and rural development by:

- Making suitable land available for development in line with economic, social and environmental objectives to improve people's quality of life;
- Contributing to sustainable economic development;
- Protecting and enhancing the natural and historic environment, the quality and character of the countryside, and existing communities;

- Ensuring high quality development through good and inclusive design, and the efficient use of resources;
- Ensuring that development supports existing communities and contributes to the creation of safe, sustainable, liveable and mixed communities with good access to jobs and key services for all members of the community.

The **Supplement to Planning Policy Statement 1 (Planning and Climate Change)** sets out how spatial planning should contribute to reducing emissions and stabilising climate change (mitigation) and take into account the unavoidable consequences (adaptation). It requires local planning authorities to set policies on the provision of low carbon and renewable sources of energy to provide the platform necessary for securing and complementing the increasingly high levels of energy efficiency required by Building Regulations.

### **Local Policy Framework**

Chapter 7: Design, of the Core Strategy seeks to achieve high quality, inclusive design alongside the highest viable standards of environmental performance in all developments. This SPD supports policies CS16 Sustainable Design and CS17 Sustainable Buildings. The content of these policies is outlined in subsequent chapters of this document.

## **2.3 Local Evidence Base**

### **Warwickshire and Solihull Renewable and Low Carbon Energy Resource Assessment and Feasibility Study (“Renewable Energy Study”), Camco, 2010**

In accordance with PPS1 and PPS22 this study informed the local authorities of Warwickshire and Solihull Metropolitan Council of the potential viability and deliverability of various renewable and low carbon options which provided an evidence base for the production of subsequent Development Plan documents.

The study assessed the potential for local renewable energy looking at decentralised generation together with opportunities in future new development and retrofit within existing buildings. Options for setting carbon standards have been considered, in particular the viability of exceeding the nationally proposed zero carbon buildings road map.

The findings of this Warwickshire based study are supported by the findings of the West Midlands Renewable Energy Capacity Study, commissioned by Telford and Wrekin Council, on behalf of the West Midlands local authorities, and published March 2011. The conclusions found wind and biomass to be the most significant renewable energy resources in Rugby Borough followed by the technologies used to improve the carbon efficiency of new developments. The study is available to view on the Telford and Wrekin web pages, [www.telford.gov.uk](http://www.telford.gov.uk).

The various renewable and low carbon energy feasibility studies conclude that in Rugby decentralised wind energy and decentralised biomass will be the most significant renewable energy sources in the Borough in future, followed by the technologies used to improve the carbon efficiency of new developments.

### **Warwickshire Water Cycle Study, Halcrow, 2010**

Halcrow Group Ltd was commissioned to undertake a WCS for the five Warwickshire Planning Authorities in consultation with the Environment Agency and Severn Trent Water. The objectives of the study were to undertake a review of existing processes and capacity and recommend the most appropriate infrastructure option to accommodate growth and any necessary flood risk mitigation of environmental management measures necessary to avoid adverse impacts.

The approach adopted for the WCS was mapped against Environment Agency guidance on undertaking such studies that highlights a three stage process; scoping, outline and detailed. This report is an outline WCS; it has been decided as part of the study that a detailed WCS is not required in this instance.

The study identified a number of shortfalls in water resource capacity affecting the ability of Severn Trent Water to meet target levels for the Severn Water Resource Zone, in which Rugby is located.

### 3. **SUSTAINABLE DESIGN**

#### 3.1 **Introduction**

This chapter contains guidance as to how the policy requirements of Core Strategy policy CS16 Sustainable Design can be met. The policy requirements of CS16 are outlined in the box below and a number of tools and methods are recommended to achieve compliance. Further to this, information about how the Council intends to implement policy CS16 is also provided.

#### 3.2 **High Quality Design**

The opening paragraphs of Policy CS16 require high quality design and the safeguarding of amenity. This should also include the amenity of future occupiers of the development.

##### **CS16 extract**

*All development will demonstrate high quality, inclusive and sustainable design and will only be allowed where proposals are of a scale, density and design that would not cause any material harm to the qualities, character and amenity of the areas in which they are situated.*

*Development will ensure that the amenities of existing and future neighbouring occupiers are safeguarded.*

*New development should seek to complement, enhance and utilise where possible, the historic environment and must not have a significant impact on existing designated and non-designated heritage assets and their settings.*

The following are sources of information that can assist applicants with the design of their proposal to ensure these policy requirements are met. Use of the various sources of information with regard the historic environment will ensure that any development proposal will not have a detrimental impact on heritage assets. The Residential Design Guide will assist applicants with the design of small scale domestic development such as extensions.

- **Historic Environment**

Where relevant development should complement or enhance the historic environment. This should be determined by utilising relevant documents such as Conservation Area Appraisals; Historic Landscape Characterisation and also the provisions contained within Planning Policy Statement 5: The Historic Environment. The listed buildings within the entire Borough can be found at [http://www.rugby.gov.uk/site/scripts/download\\_info.php?downloadID=1110](http://www.rugby.gov.uk/site/scripts/download_info.php?downloadID=1110) alongside a list of Locally Listed Buildings within Rugby town centre which the Council maintains. In addition English Heritage maintains a page on its website where a search for heritage assets can be made. The webpage is [www.englishheritage.org.uk/heritageprotection](http://www.englishheritage.org.uk/heritageprotection).

- **Residential Design Guide**

The Residential Design Guide offers advice for householders and professionals on the main principles of extending a dwelling, without unduly affecting neighbours and respecting the character of the area and existing property. The advice outlines the main considerations taken into account by the Council when assessing applications for extensions and whether they are in compliance with Core Strategy Policy CS16.

The Residential Design Guide can be found in Appendix B of this SPD.

### **3.3 West Midlands Sustainability Checklist and Design and Access Statements**

The submission of a completed West Midlands Sustainability Checklist as part of a planning application is recommended within Chapter 7 of the Core Strategy. Since the adoption of the Core Strategy, funding for the Checklist from Advantage West Midlands has ended following the closure of all Regional Development Agencies. As such the West Midlands Sustainability Checklist is no longer supported. No new accounts or projects can be registered.

The West Midlands Sustainability Checklist was prepared by the West Midlands Regional Assembly and Advantage West Midlands with the help of the Building Research Establishment, and the support of the Department of Local Communities and Local Government, World Wildlife Fund, West Midlands Building Technology Cluster, West Midlands Regional Planning Officers Group, and Sustainability West Midlands. The checklist identified a range of different economic, social and environmental sustainability issues covered in National Guidance and enabled users to assess to what extent a development site proposal will deliver on the different aspects of sustainability.

Despite the effective withdrawal of the West Midlands Sustainability Checklist, Rugby Borough Council considers that there is still a significant role in the submission of a Checklist to demonstrate compliance with CS16 and CS17 that is not achieved elsewhere. However, the existing West Midlands Sustainability Checklist is an extensive document and not all is specifically relevant to demonstrate compliance to Core Strategy policy. As such, a bespoke Rugby Borough Sustainability Checklist (SC) has been produced to achieve just that. This is available to download at [www.rugby.gov.uk](http://www.rugby.gov.uk) alongside an electronic copy of this SPD.

#### **CS16 extract**

*Sustainable drainage systems (SuDS) should be proportionately incorporated in all new scales of developments. Infiltration SuDS should be promoted where it is practical. Where infiltration SuDS are not applicable surface water should be discharged to a watercourse in agreement with the Environment Agency.*

*Considerations in reducing the use of non renewable resources and taking into account the impacts of climate change include:*

*Urban heat islands and cooling;*

*Promoting sustainable methods of transport;*

*Conserving and enhancing the built and natural environment.*

The SC is a valuable tool in the negotiation process between developers and planning officers and developers should submit a completed Checklist to demonstrate how proposals will minimise energy consumption and adapt to the future impacts of Climate Change. More guidance is provided in Chapter 5 of this SPD.

### **Sustainable Drainage Systems**

In 2010, the Flood and Water Management Act gained royal ascent. This Act transferred the responsibility of approving the appropriateness of a Sustainable Drainage System for a development from the Environment Agency to local authorities. This is to be achieved through the creation of SUDS Approval Board (SAB). Under the Flood and Water Management Act, the Lead Local Flood Authority (LLFA), in this case, Warwickshire County Council are in the process of creating a SuDS Approval Board (SAB) which is currently anticipated to be implemented late in 2012. All developments including housing when there is more than one dwelling included in the application will need SuDS approval. Once in place further guidance will be made available as necessary.

### **3.4 Water Efficiency**

The penultimate paragraph of Policy CS16 (below) contains water efficiency requirement for domestic and non domestic buildings.

#### **CS16 Extract**

*All new residential development should meet the water conservation standards in Level 4 of the Code for Sustainable Homes. Non-residential development shall demonstrate water efficiency of the relevant BREEAM very good standard.*

The Warwickshire Water Cycle Study (WCS) explains that there are a number of shortfalls in water resource capacity affecting the ability of Severn Trent Water to meet target levels for the Severn Water Resource Zone, in which Rugby is located. As a result, the WCS recommends new development achieves the water standards of CfSH level 3 or 4 as a minimum and this recommendation is reflected within Policy CS16.

The Code for Sustainable Homes contains an increasing minimum standard for water efficiency for each Code level:

<b>Maximum water consumption (litres/person/day)</b>	<b>Mandatory Levels</b>
120	Levels 1 and 2
105	Levels 3 and 4
80	Levels 5 and 6

Part G of Building Regulations was updated in April 2010 to include a water efficiency requirement that is equivalent to Code Level 1 or 2. The requirement in Policy CS16 therefore exceeds current building regulations.

### **Calculating Water Efficiency**

The Department for Communities and Local Government has published a national calculation methodology for assessing water efficiency in new dwellings: The Water Efficiency Calculator for New Dwellings. The methodology calculates the whole

house potable water consumption in new dwellings and can be used to assess compliance against the water performance targets in Buildings Regulations and the Code for Sustainable Homes. It can therefore be used by applicants to calculate the water efficiency of their proposed development and to demonstrate compliance with Core Strategy Policy CS16. Planning officers may also use the calculator to demonstrate compliance.

The methodology document and calculator tool is available on the DCLG website at: <http://www.communities.gov.uk/publications/planningandbuilding/watercalculator>

More guidance on when the water efficiency standard achieved should be submitted to the Council and example planning conditions relating to water efficiency are included within this SPD in Chapter 5.

For further information about increasing the water efficiency of new buildings please contact the Building Control department: 01788 533 533.

## 4 SUSTAINABLE BUILDINGS

### Introduction

This chapter contains guidance as to how the policy requirements of CS17 of the Core Strategy can be met. The requirements of CS17 are outlined and a number of tools and methods are recommended to achieve compliance. Further to this, information about how the Council intends to implement policy CS17 is also provided.

### 4.1 Carbon and Energy Efficiency

National planning policy outlines a steady increase in the energy efficiency standards to be required by Building Regulations up to 2016 when all new dwellings will be required by Building Regulations to be zero carbon:

Table 1: Proposed carbon improvements over time:

Date	2010	2013	2016
Carbon improvement as compared to Part L (BRs 2006)	25%	44%	Zero carbon
Equivalent energy/carbon standard in the Code.	Code Level 3	Code Level 4	Code Level 6

Source: Building a Greener Future: Policy Statement. Department for Communities and Local Government

Core Strategy Policy CS17 contains some locally specific requirements for development in the Borough that it is hoped will result, where possible, in larger carbon savings than those set out in the table above.

Information about the renewable and low carbon energy technologies available can be found on the Council's web pages, [www.rugby.gov.uk](http://www.rugby.gov.uk). The Enplanner Toolkit, referred to below, also contains similar information. This is available to view at [www.enplanner.com](http://www.enplanner.com).

### 4.2 Calculating 10% Carbon Reduction

Policy CS17 requires all new development to achieve a 10% reduction in carbon dioxide emissions to be achieved through the incorporation of decentralised, renewable and low carbon energy technologies.

#### **CS17 Extract**

*As a minimum, all new development of 10 dwellings or 1000sqm of non-residential floor space or more shall incorporate decentralised and renewable or low carbon energy equipment to reduce predicted carbon dioxide emissions by at least 10%.*

This Policy wording is defined within the PPS1 Practice Guidance. It should be noted that the phrase "reduce predicted carbon dioxide emissions" refers to the total site CO2 emissions for all end uses, not just those regulated by Building Regulations.

As recommended in the Practice Guidance to the Supplement to PPS1 the carbon dioxide baseline will be calculated through estimating the emissions that would arise from the building if it were designed to comply with Building Regulations and an allowance for unregulated emissions. Any reductions in emissions that would result from planned efficiency improvements are deducted to arrive at a baseline emission rate that the percentage contribution from decentralised and renewable and low carbon sources can be measured against. Rugby Borough Council recommend that applicants use the Enplanner Toolkit to aid them in achieving carbon saving targets (see para 4.5).

The Practice Guidance to the Supplement to PPS1 is available on the Homes and Communities Agency website for further information, [www.homesandcommunities.co.uk/ourwork/sustainable-development](http://www.homesandcommunities.co.uk/ourwork/sustainable-development)

### **4.3 Carbon efficiency within the Sustainable Urban Extensions**

The Council believes major development proposals, including those relating to Strategic Urban Extensions provide a valuable opportunity to maximise the potential for reducing carbon emissions through improved energy efficiency in both construction and design. For this reason, Policy CS17 requires development of this nature to achieve the highest technically feasible and financially viable carbon efficiency standards of the Code for Sustainable Homes, even when these standards are higher than those required at the national level.

#### **CS17 Extract**

*Development of the Sustainable Urban Extensions will achieve the highest technically feasible and financially viable carbon efficiency standards of the Code for Sustainable Homes possible, even when these standards are higher than those expected at the national level.*

The carbon efficiency standard to be achieved should be agreed with Planning Officers as part of the application process, and set through condition of a planning permission. Information relating to technical feasibility and financial viability will be considered during this negotiation process (see Chapter 5). The Council will encourage the design of large scale developments that are likely to be phased, to meet the standards that will be required when proposals begin to be implemented as outlined in table 1. Planning Officers may use the Enplanner Toolkit to assess the carbon efficiency of proposed developments, where applicable.

### **4.4 The Enplanner Toolkit**

The Enplanner is an online toolkit that is designed to make it easier for applicants to meet local planning requirements for onsite renewable energy generation as part of their development proposal and allow planning officers to check these requirements have been met. Rugby Borough Council was involved in the commissioning and development of the Enplanner alongside Encraft, the Carbon Trust and other CSWAPO\* authorities.

The Enplanner is a multi-functional piece of software that operates at three levels of complexity. The toolkit enables users to:

- calculate the annual energy consumption and carbon emissions of a proposed development;

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\* CSWAPO – Coventry, Solihull and Warwickshire Area Planning Officers

- find out about location specific renewable resource information and indicative renewable technology specifications and the contribution that could be made to meeting carbon saving targets;
- view the total annual energy consumption and carbon emissions before and after adding renewable technologies and the extent to which these technologies will meet planning requirements; and
- generate an energy statement, summarising the likely degree of compliance to planning policies using the renewable technologies selected. This can be submitted as part of a planning application.

Rugby Borough Council Planning Officers will use the Enplanner where relevant to check that planning proposals are achieving the related carbon saving targets of CS17. It is recommended therefore that an Enplanner Sustainability Statement is submitted with applications, further guidance on this is provided in table 2 in Chapter 5 in addition to example planning conditions relating to carbon efficiency.

## 5 JUSTIFYING THE PROPOSED APPROACH

### Introduction

This chapter will outline a summary of policy requirements as referred to in previous chapters and provides advice as to the information that should be submitted alongside a planning application to justify the proposed approach towards Sustainable Design and Construction. The likely content of negotiations regarding Sustainable Design and Construction are then outlined, providing information about the Council's expectations so that applicants can prepare accordingly.

### 5.1 Summary of requirements

The below table provides a summary guidance on how applicants are expected to demonstrate compliance with the relevant policy requirements of CS16 and CS17. It differentiates between the requirements from domestic; minor and major development. It is however acknowledged that an applicant may not be in possession of all of the information required at an outline stage for provision of the below requirements. In such cases, if an outline planning approval is granted, it will be accompanied by a condition which requires demonstration of compliance of the relevant policy requirements at the detailed stage. Furthermore in the case of other requirements such as the water efficiency requirements, it is highly likely that this will be demonstrated through compliance with a condition. Sample conditions are in section 5.3.

**If there is any uncertainty it is recommended that the applicant speaks to the Council's Development and Enforcement Team.**

Table 2: Rugby Borough Council's Sustainable Design and Sustainable Buildings requirements and recommended methods of demonstrating compliance:

Development type	Policy Requirement	Recommended method of demonstrating compliance
<b>Domestic development:</b>  Residential extensions and alterations.	High quality inclusive and sustainable design... that does not cause any material harm to character and amenity	Demonstrate compliance with the Residential Design Guide.
<b>Minor Development:</b>  up to 10 dwellings  up to 1000 sqm floor space	High quality, inclusive and sustainable design... (CS16) SUDS should be proportionately incorporated (CS16).	Submitted SC report.
	Water efficiency standard of CfSH L3/4 (Policy CS16)	Water Efficiency Calculator
<b>Major Development:</b>  More than 10 dwellings  more than 1000 sqm floor space	SUDS should be proportionately incorporated (CS16).	Submitted SC report
	Water efficiency of CfSH L3/4 (Policy CS16)	Water Efficiency Calculator
	10% reduction in carbon emissions through the incorporation of low carbon energy equipment (Policy CS17).	Use of the Enplanner and submission of a Sustainability Statement is recommended.

<b>Strategic Urban Extensions:</b>  i.e. Gateway Rugby, Rugby Radio Station or Long Term Growth Direction.	High quality, inclusive and sustainable design...(CS16)	Submitted SC report
	SUDS should be proportionately incorporated (CS16).	Submitted SC report
	Water efficiency of CfSH L3/4 (Policy CS16)	Water Efficiency Calculator
	Highest viable and feasible carbon efficiency standard of CfSH. Minima 10% saving through the incorporation of low carbon energy equipment. (Policy CS17)	Use of the Enplanner and submission of a Sustainability Statement is recommended.

## 5.2 Justifying the Proposed Approach

Policies CS16 and CS17 both state:

*Actual provision will be determined through negotiation, taking account of individual site characteristics and issues relating to the viability of development.*

The negotiation process can begin at the pre-application stage. In the event that the policy requirements of CS16 and CS17 are not technically feasible or financially viable, applicants must demonstrate why this is the case and negotiate the standards that will be achieved on site. The following represent the areas negotiation is likely to focus upon and the Council's expectations for each.

- **Technical feasibility:** the Council will require information regarding the physical characteristics of the proposed development site and the available renewable energy resource. The Enplanner Toolkit can provide valuable information as to the technical feasibility of renewable energy technologies on development sites. The compatibility or lack of, of these physical characteristics and the proposed development type and the resulting impact upon the feasibility of sustainability standards can then be discussed with the Council upon production of the assessment. Detailed compatibility issues can include information relating to space availability, integration with building energy systems and impact on the townscape.
- **Financial viability:** In some cases, the cost of achieving the required sustainability standards may make a development proposal unviable financially. If this is the case the Council will expect to see information about the capital cost of installing renewable energies alongside information relating the whole life cost over development lifetime, taking into account market mechanisms such as feed in tariffs. The impact of this upon the viability of a development site should be demonstrated using a viability assessment model such as the Homes and Communities Agency Economic Viability model.

Financial viability evidence that is submitted by a developer to demonstrate that they cannot meet the policy requirements of CS16 and CS17 will be considered to be commercially confidential if the applicant requests it to be. The applicant will need to justify upon submission why the information should be treated as such. However, as the Council is a public body it can be subject to requests for information under the Freedom of Information Act 2000 and the Environmental Information Regulations 2004. As such there can be no guarantees that if a request for information is made, that the Council will not be required to disclose some or all of the information.

The Council will consult with the applicant if a request for information under the Freedom of Information Act or Environmental Information Regulations is received, before deciding whether to release the information. If on submission of financial viability information, the applicant does not request for it to be treated as confidential, then the Council will place this information on the planning application public file.

- **Deliverability:** including the requirements for delivery and any available opportunities for example, securing delivery of infrastructure through Energy Service Companies.

### **5.3 Sample planning conditions**

The below are examples of how a condition can be written for the implementation of the requirements of CS16 and CS17. They are structured in a way to allow for amendment for specific schemes and therefore are unlikely to be suitable for direct insertion.

#### **Water Efficiency**

##### **Example Condition:**

Prior to the first occupation of XXXX, details of water efficiency measures to be incorporated into the design of buildings to meet the standards below shall be submitted to and approved in writing by the Local Planning Authority. These approved measures shall then be incorporated into the design of each building prior to their first occupation and then retained in working order in perpetuity. Unless otherwise agreed in writing with the Local Planning Authority, the minimum standards shall be:

- i) Dwellings – equivalent to Code Level 4 of the Code for Sustainable Homes, ie 105 litres;
- ii) Non-residential development – equivalent to BREEAM very good standard.

##### **REASON:**

In order to ensure water efficiency through sustainable design and construction.

#### **Carbon Efficiency**

Where a development incorporates a 10% carbon reduction as part of the scheme the following condition may be relevant in terms of the installation and the retention of such scheme to ensure that the carbon reduction is maintained in perpetuity.

##### **Example condition:**

Prior to the first occupation of XXXX, details of the XXX technology to be incorporated into the design of the buildings to achieve the carbon reduction shall be submitted to and include the submission of an Energy Performance Certificate to the Local Planning Authority. Unless otherwise agreed in writing with the Local Planning Authority, the minimum standards shall be:

- i) 10% carbon emissions reduction efficiency.

The approved efficiency measures shall be implemented in accordance with this approval and shall be retained in working order in perpetuity.

##### **REASON:**

To ensure energy efficiency through sustainable design and construction is achieved in accordance with CS16 and CS17.

## **APPENDIX A - IMPLEMENTATION AND MONITORING**

Planning and Climate Change, Supplement to Planning Policy 1, states effective monitoring and review is essential in securing responsive action to tackle climate change.

Appendix 1 of the Rugby Borough Core Strategy identifies how the policies within the Council's Local Development Framework will be monitored and managed to order to ensure their success in meeting the spatial objectives of the Core Strategy. Overleaf is an extract from the appendices which outlines how policies CS16, CS17 and this SPD will be monitored.

Regular review of the SPD will be undertaken in order to reflect the findings of the monitoring process.

Policy	Target	Indicator / Monitoring Arrangement	Related to Core Strategy Objective	Monitoring Responsibility	Resources Implications	Commentary
<b>CS16: Sustainable Design and Construction</b>	<p>High quality inclusive and sustainable design in all developments.</p> <p>Water conservation standards to level 4 of the Code for Sustainable Homes in all new residential development.</p> <p>Very good or excellent BREEAM standard water efficiency.</p>	<p>Core Output Indicator H6</p> <p>% of dwellings achieving Code for Sustainable Homes Level 4 or higher.</p> <p>% of non residential development achieving BREEAM very good or excellent.</p> <p>Monitoring of additions / losses to the non-statutory historic and archaeological environment.</p>	<b>Environmental - 9</b>	<p>Rugby Borough Council.</p> <p>Private Sector/ Developers</p>	<p>None, existing monitoring indicators are already in place.</p> <p>Resource implications may arise from the need to be knowledgeable of both the Code for Sustainable Homes and BREEAM standards</p>	
<b>CS17: Reducing Carbon Emissions</b>	<p>All major development to reduce predicted carbon dioxide emissions by at least 10%.</p>	<p>Core Output Indicator E3</p>	<b>Environmental - 9</b>	<p>Rugby Borough Council.</p> <p>Private Sector/ Developers.</p>	<p>None, existing monitoring indicators are already in place.</p>	

Table 3: Extract from the Implementation and Monitoring Framework, Appendix 1 of the Rugby Borough Core Strategy.

## APPENDIX B - RESIDENTIAL EXTENSION DESIGN GUIDE

### Content of the Design Guide:

1. Introduction
2. The need for permission
3. General principles for all extensions
4. Protecting amenity
5. Design and appearance
6. Guidance for typical extensions
7. Ecological Considerations
8. Design against crime
9. Further advice

### 1. Introduction

This chapter supersedes the previously adopted Residential Design Guide SPD 2005.

These guidelines offer advice for householders and professionals on the main principles of extending a dwelling, without unduly affecting neighbours and respecting the character of the area and existing property. The advice outlines the main considerations taken into account by the Council when assessing applications for extensions. Due to the diversity of dwelling types and styles throughout the Borough, it is neither possible nor desirable to include every eventuality. However, general principles can be applied in the majority of cases.

#### **Extract from CS16**

*All development will demonstrate high quality, inclusive and sustainable design and will only be allowed where proposals are of a scale, density and design that would not cause any material harm to the qualities, character and amenity the areas in which they are situated.*

*Development will ensure that the amenities of existing and future neighbouring occupiers are safeguarded.*

**This document outlines the Council's guidelines and is intended to provide guidance as to how the above policy requirements can be met. However, all cases will be considered on their own merit.**

If this guidance is followed residential extensions are more likely to be granted planning permission and unnecessary delays will be avoided. The guide relates to all forms of residential extensions. All sections of the guide should be read in conjunction with each other.

**The Planning Department recommend that all residential extension ideas are checked by the Development Control team at an early stage to ensure both that they are compliant with local planning policies and also to help speed up the process of applying for and receiving planning permission. There are a number of ways in which Planning Officers can be contacted for advice:**

- **Rugby Borough Council Planning Officers are available to answer queries at the Town Hall reception during Council opening hours;**
- **They can also be contacted by telephone: 01788 533832; or**
- **Email: [rbc.planning@rugby.gov.uk](mailto:rbc.planning@rugby.gov.uk).**

**If you have any queries about the content of this Design Guide and its implications for your extension please contact a Planning Officer.**

**Further to this, more detailed advice is available via the Planning Portal website: [www.planningportal.gov.uk](http://www.planningportal.gov.uk)**

## **2. The Need for Permission**

An extension to a dwelling is development. The Borough Council controls such development under the provision of the Planning Acts and the Building Regulations. The permissions that may be required for extensions are Planning Permission, Conservation Area Consent, Listed Building Consent and Building Regulation Approval

### **Permitted Development**

Some extensions can be carried out as “permitted development” without the need to formally apply for planning permission.

This will depend on the type of dwelling, its location, whether the building is a listed building or in a conservation area, and the size and position of the extension. More detailed advice is available via the Planning Portal website: [www.planningportal.gov.uk](http://www.planningportal.gov.uk) or from the Council’s Development Team: 01788 533832.

In some cases, some or all permitted development rights may have been removed, particularly on modern developments and barn conversions, for example. **It is always advisable to check ideas with the Council’s Development Team at an early stage.**

### **Conservation Area Consent and Listed Building Consent**

Different standards may apply and additional consents may be required for extensions to dwellings that are Listed Buildings, or are situated in the Borough’s Conservation Areas.

Particular emphasis is placed on retaining the identity, appearance and character of a Conservation Area or a Listed Building.

**For advice, please contact a Planning Officer: 01788 533832**

### **Building Regulations Approval**

Extensions may need Building Regulation Approval, whether or not planning permission is required.

Building Regulation Approval is a separate application from planning permission and ensures the design and construction of the extension meets the requirements of the building regulations. They deal with the health, safety, welfare and convenience of people in and around the building.

**Full details and advice are available from the Council’s Building Control Section: 01788 533533**

### **3. General Principles for all Extensions**

The Council, when assessing a planning application for an extension, will consider:

- The effect of an extension on the scale and character of the existing building and the surrounding area; and
- The impact on residential amenities enjoyed by the occupiers of surrounding properties

The guidance contained in this document explains in more detail how these aims can be achieved. There may be examples of extensions in the area that do not comply with these guidelines. Such examples should not be seen as a precedent and will not be accepted as a reason to allow a similar proposal.

### **4. Protecting Amenity**

It is important to consider the effect an extension would have on the neighbouring properties and the surrounding area. In addition the amenity of the future occupiers needs consideration.

Prior to submitting an application it can be very helpful to discuss proposals first with any neighbours who could be affected. If planning permission is required, following receipt of the application, the Council will notify the neighbours and publicise the proposals where appropriate. The Council will take into account any representations received in determining the planning application.

#### **Daylight and Sunlight**

An extension should not cause any significant loss of light to habitable rooms in neighbouring properties, or restrict sunlight to that part of a neighbouring garden close to the rear of the property that is used for sitting in or recreation.

Daylight and sunlight to adjoining properties must be safeguarded. Extensions to dwellings that mask a single window to a habitable room, such as a bedroom, lounge or dining room, are unlikely to be acceptable. In addition, overbearing extensions could affect amenity in the garden. The relationship between the properties, including any change in ground levels and orientation must be taken into account when determining the residential impact of the development.

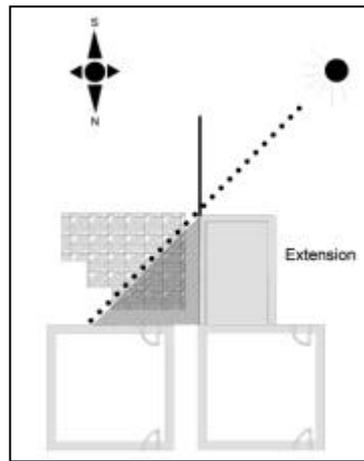
To maintain a reasonable relationship between an extension and any neighbouring properties, the Council will assess all extensions against the “45° Guideline”.

#### **45° Guideline**

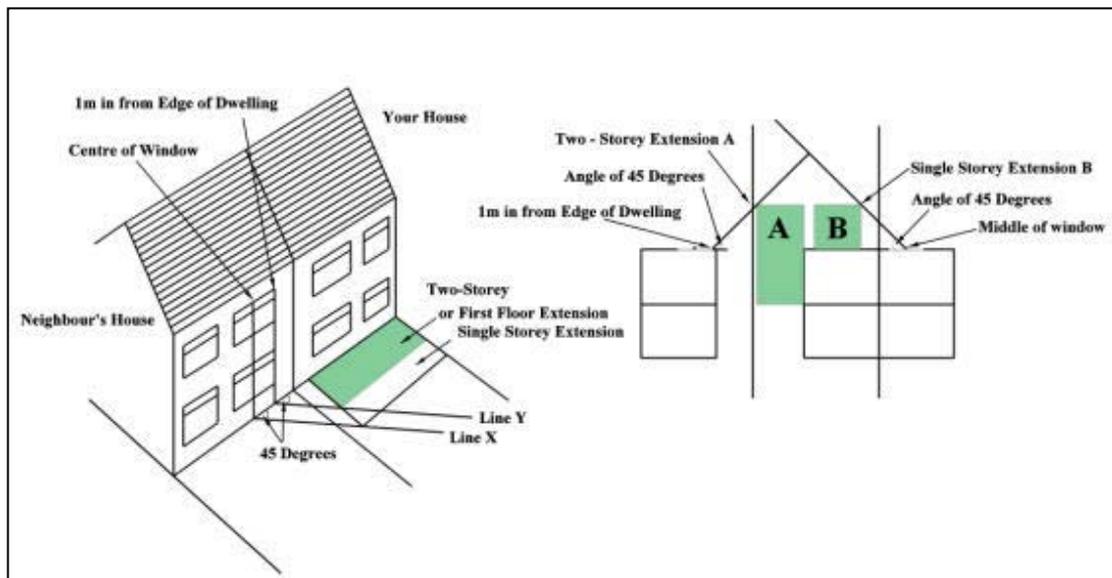
The 45° Guideline provides a useful tool to prevent loss of daylight to neighbouring properties and their gardens.

To comply with this guideline, extensions should be designed so as not to cross the appropriate line drawn at an angle of 45° from an adjoining neighbour’s dwelling (see diagrams below). For single storey extensions, the 45° line is taken from the mid-point of a window, which is also the main light source for a habitable room (Line X), and for two-storey extensions 1 metre in from the edge of the neighbouring dwelling is used (Line Y); this prevents loss of daylight to neighbouring properties and overbearing extensions.

The 45° guideline needs to be interpreted carefully and flexibly. For example, if the extension has a much larger building behind it then the daylight from that direction may already be blocked.



*Extension restricts sunlight to garden and window*

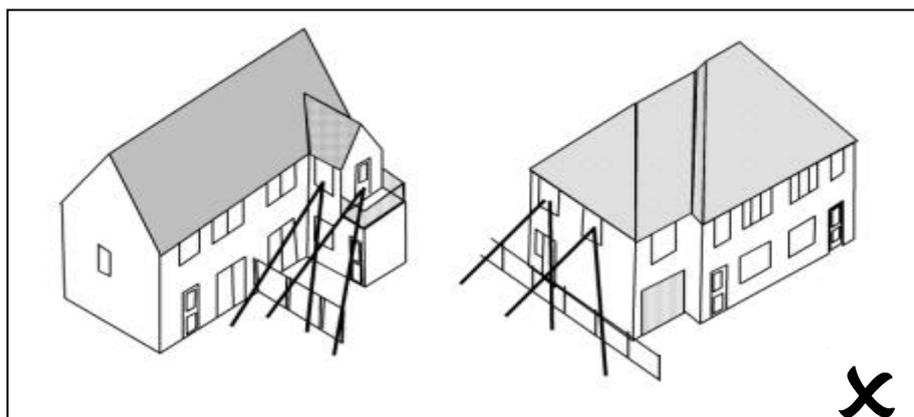


*Diagram of 45° Guideline (not to scale)*

### **Overlooking**

An extension should not result in any significant loss of privacy to adjoining dwellings or gardens.

The main priority is privacy to habitable rooms and private gardens. Therefore, extensions should not be built with side facing windows near to boundaries that overlook a neighbour's property. In addition, changes in ground level may have an affect on privacy and should be taken into account e.g. raised patio areas.



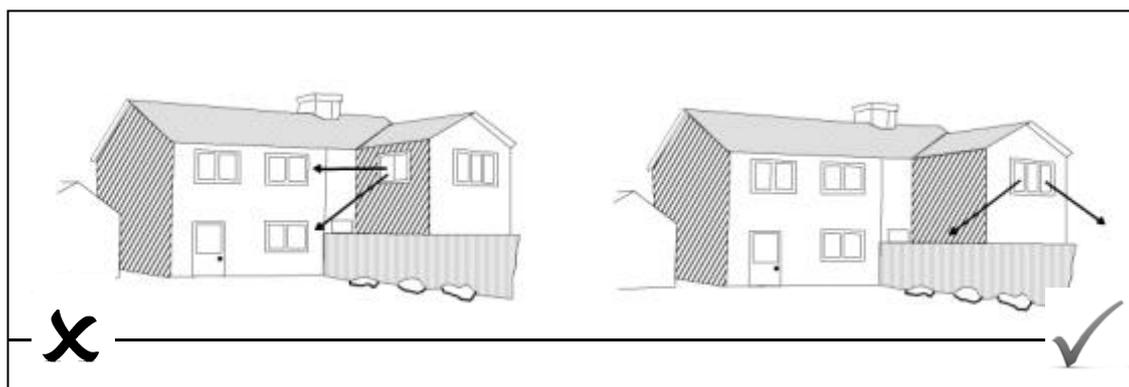
## *Extensions where adjacent properties are overlooked*

### **Single-storey extensions:**

Fences or walls could effectively screen windows in single-storey extensions. If it is not possible to screen or obscure glaze windows, they should be omitted or the application may be refused.

### **Two or more storey extensions:**

Windows in extensions of two or more storeys generally have unrestricted views and may not be acceptable where excessive overlooking occurs. In certain circumstances, the use of opaque/frosted glazing may also be acceptable as a method of eliminating overlooking. Balconies and roof gardens can also adversely affect the privacy of neighbours and will generally be unacceptable.



*The position of clear-glazed windows affects the privacy of neighbouring properties*

### **Private Gardens**

Extensions should leave an appropriate private outdoor amenity space for the property, and as a guide buildings should cover no more than 50 percent of the existing garden area.

## **5. Design and Appearance**

### **Scale**

The siting, size and design of an extension must not dominate the existing building, and should be sympathetic with and appear subservient to the original dwelling.

Extensions that are too large in relation to the existing dwelling, or are out of keeping with the streetscene can have a detrimental impact on the original character of the building and the surrounding area. Extensions should not have an overbearing appearance. Extensions that would dominate the existing building or be over-prominent in the streetscene will not be permitted.



### *An acceptable extension that does not dominate*

In the countryside, particularly in the Green Belt, the Council will seek to limit the size of residential extensions to an appropriate size and scale for that building and locality. Within the Green Belt it is important to ensure that extensions do not result in disproportionate additions over and above the size of the “original” dwelling.

The design of an extension should be sympathetic to that of the existing building and be in character with the surrounding area.

When considering an extension, it is important that the extension should relate to the design of the original building. Every effort should be made to integrate the extension into the original design of the dwelling. This will usually require sensitive design and use of materials.

### **Windows and Doors**

The type, proportions, sub-divisions and materials of new windows and doors should be in keeping with those of the original dwelling.

In addition to respecting the general proportions of windows and doors, the detailed design is also an important consideration. The new windows should be arranged to line up vertically and horizontally with the existing windows on the original dwelling, in order to provide a semblance of balance and continuity.

Furthermore, avoid mixing different types of windows and doors on the front elevation, and ensure that dormer windows relate in shape, position, design and size to the existing windows. When dealing with older properties of character (including listed buildings) and buildings in Conservation Areas it is extremely important to ensure windows and doors are set back in their reveals and not flush with the brickwork.



*An unacceptable extension where the new windows are not sympathetic with those of the original dwelling*

### **Roof**

An extension should have a roof that reflects the original dwelling in design, angle of pitch, shape and materials.

There are essentially two types of pitched roof shapes to dwellings, hipped and gabled. All extensions with two or more stories must have a roof pitch that is in keeping with the existing dwelling. Single-storey side extensions are encouraged to

have matching roofs. No extension should interrupt the roof profile where there is a clear, consistent roof form and line in a group of dwellings.



*Extensions should have similar roof pitches*

### **Materials**

The materials used in extensions should match or be sympathetic with the existing dwelling in terms of type, colour and texture.

In Conservation Areas or for Listed Buildings, material samples will need to be submitted and approved prior to the commencement of the development.

It should be stressed that materials must be approved to the satisfaction of the Planning Officer dealing with the planning application, and not by the Building Control Officer.

### **Detailing**

It is important in designing the details of the extension to reflect those of the existing dwelling.

Buildings often have distinctive architectural features that contribute to their character and these can be used to good effect to assist in reflecting the design of the extension with the original.



*Unnecessary detailing*

## **6. Guidance for Typical Extensions**

Extensions should positively enhance the existing character of the area. The following sections provide advice on examples of typical extensions.

## **Front Extensions**

The design and appearance of the fronts of dwellings and the distance between the buildings and the street are important aspects in defining the character of residential areas. Front extensions, which project beyond the front of the original dwelling, can completely change the form of the dwelling. Therefore, generally only modest extensions that reflect the character of the existing property will be allowed.



*An unacceptable front extension*

## **Porches and Canopies**

Porches and canopies are generally covered by “permitted development rights” (Section 2.1 4.2), but some guidance is considered appropriate.

Porches should reflect the character of the original dwelling in terms of scale, details and materials used in construction. Canopies should be designed carefully so that they reflect existing features.



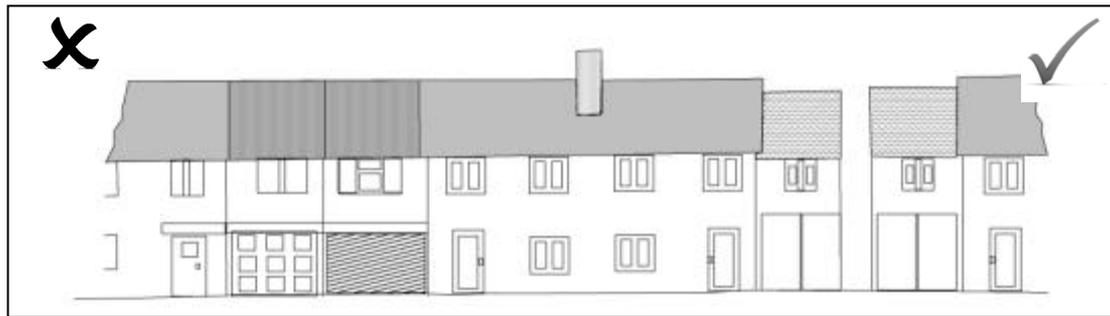
*A porch that reflects the character of the original dwelling*

## **Side and Rear Extensions**

In traditional detached and semi-detached dwellings, extending at the side almost invariably involves developing up to the side boundary. The spaces between

buildings often make an important contribution to the character of an area. Extensions that reach a property boundary may contribute towards an inappropriate “terracing effect” that would adversely affect the character of the area. This is particularly noticeable where an extension continues the roofline of the original building and where a neighbouring property could also be extended in a similar manner.

To reduce the effect of terracing, it is desirable to maintain a minimum of a 1 metre gap between the dividing side-boundary at first-floor level or above, in order to provide a visual break between properties. This is especially relevant for extensions above a single-storey, such as two-storey and first-floor extensions.



*“Terracing” effect*

*1 metre gap avoids “terracing”*

Setting back the extension from the front wall of the dwelling will help the original building maintain its dominance, particularly if it extends as far as the boundary. Such a set back will be required unless:

- There is a stagger in the building line;
- There is a marked change in levels between properties.

Side and rear extensions to properties on corner plots will be required to take into account the visual impact upon the side road and not be unduly prominent nor out of character with the streetscene.

If building up to the boundary of a property is unavoidable, foundations, guttering and other construction should be kept within the boundary of the developing property. The use of a pitched roof is recommended on extensions. In order to reflect the character of the property a flat roof construction will not be acceptable if visible in the streetscene and the original dwelling has a pitched roof.



*Acceptable side extensions*

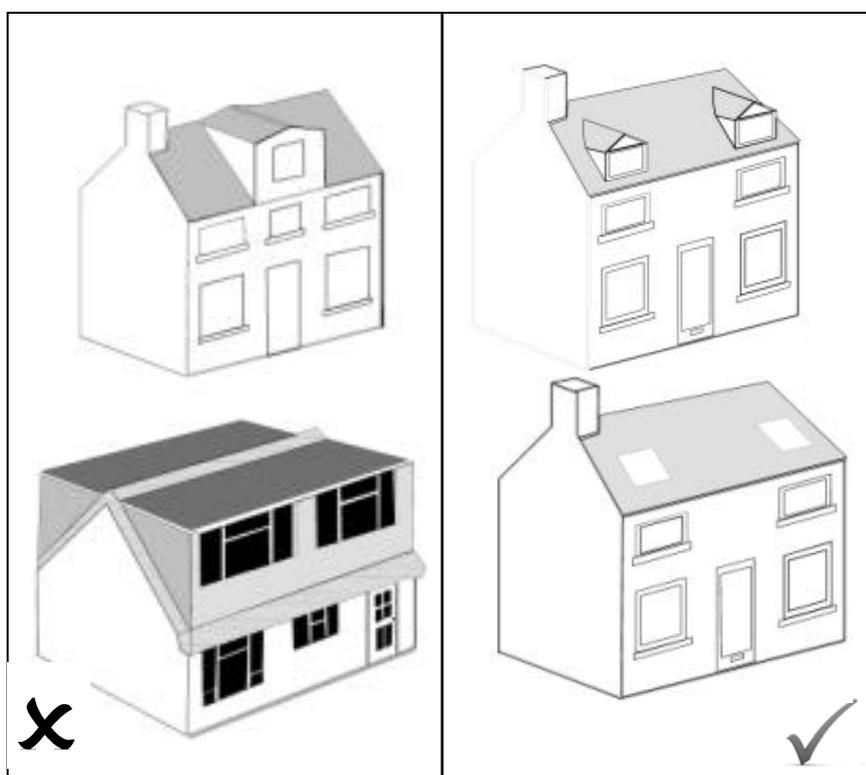
## **Roof and Dormer Extensions**

In certain circumstances roof and dormer extensions can be developed under “permitted development rights”, but they will always need Building Regulation Approval. Please refer to the Planning Portal website or seek the advice of a planning officer.

Roof extensions and dormers should not dominate the roof by being overly large, bulky or higher than the ridgeline of the original roof.

Care should be taken to retain characteristic features such as chimneys and ridge tiles. The roof and sides of dormers should be covered in materials to match or compliment the main roof. Dormer windows should also complement the existing dwelling in terms of its proportions, size and positioning.

Rooflights and solar panels fitted to an existing roof should wherever possible face away from the street. Roof alterations that form a gable end to an otherwise hipped roof designed property and large side facing dormers often appear out of character with the design of the existing building and streetscene and will not be permitted.



*Dormer windows should complement the existing dwelling*

## **Garages and Outbuildings**

Garages and outbuildings should be sympathetically related to the main dwelling, whether they are adjoined or freestanding. A garage to the side of a dwelling shall be assessed under the guidance for side extensions.

Detached garages and ancillary buildings may not be acceptable in prominent locations, such as corner properties or in front of the building line. Detached garages and ancillary buildings maybe covered by “permitted development rights”, further explanation is available in Section 2 of this Appendix.

The development of a residential extension should not reduce existing parking, servicing and turning facilities that would result in on-street parking or affect highway safety. In order that vehicles can be parked in front of garages without overhanging the pavement, the following distance between the garage doors and the footpath should be observed:

The normal distance to garage doors from the footpath should be at least 5.5 metres. However, other dimensions may be appropriate depending upon the type of garage door. Guidance on parking standards is provided in Appendix 2 of the Planning Obligations SPD, available to view on the Council website.

### **Walls and Fences**

Walls, fences or any other means of enclosure to the front or side of dwellings can significantly change the appearance of an area therefore before such structures are introduced the character and appearance of the area should be considered. Conservation Areas, open plan estates and areas with natural vegetated boundaries would look to be protected from means of enclosure and loss of existing hedgerows. It is important to note that planning permission is often required for the enclosure of landscape strips to the side of a dwelling whether it is included within the curtilage of the dwelling or not.

New fences and walls should not reduce the visibility of drivers when entering and exiting their driveway. In order that sufficient visibility is provided the height and design of fences or walls to the back of the pavement would be observed. Fences and walls maybe covered by permitted development rights, however, it is important to note that planning permission is often required for the enclosure of landscape strips to the side of a dwelling whether it is included within the curtilage of the dwelling or not. For further explanation please contact a Planning Officer on 01788 533832 or visit the Planning Portal online.

### **Hardstanding**

The replacement in whole or in part of a surface (hardstanding) may require planning permission depending on its size, type of surfacing and drainage. Please contact a Planning Officer on 01788 533832 or visit the Planning Portal online.

## **7. Ecological Considerations**

It is an **offence** to kill, injure, disturb or destroy European Protected Species and National Protected Species and their places of shelter or protection - whether or not planning permission is granted. This includes bats, great crested newts, otters and dormice. Nesting birds and other species including slow worms, snakes, common lizards, water voles also have protection in law as do their habitats, nests and roosting areas.

Almost all types of development will have the potential to cause harm to Protected Species. For example, any applications which include works to the roof of a dwelling, extensions and alterations to a building within the countryside, works within 500m of a body of water (including a pond) or proposals that would involve works to/ felling of an established broadleaved tree (dead or alive) are likely to require an Ecological Appraisal to ensure that the proposal will not cause harm to any protected species. The survey should form part of a planning application as it is unlikely that any application will receive a favourable recommendation if it is considered that the potential implications for Protected Species have not been adequately assessed.

A trigger list offering guidance on the likelihood of a proposed development requiring a pre-determinative ecological survey is available on the Local Development Framework page of the Council's website - [www.rugby.gov.uk/ldf](http://www.rugby.gov.uk/ldf) alongside an electronic version of this SPD.

Not all applications highlighted on the trigger list will require a full ecological survey and may only need an assessment for one particular species. Where the trigger list indicates that a survey is required, or that advice should be sought, the Warwickshire County Council Ecological Service should be contacted for specialist site specific guidance. Once the Ecology Service has been supplied with the relevant information it may conclude that no survey is required.

### **Warwickshire County Council Ecological Service**

Warwickshire Historic and Natural Environment

Ecological Services

The Butts

WARWICK

CV34 4SS

Telephone: 01926 418060

Fax: 01926 412974

<http://www.warwickshire.gov.uk/Web/corporate/pages.nsf/Links/5D8D7BC43BDAD4558025738D00375EB0>

If **Protected Species** are found during the course of any development, even if it has been established that no survey was necessary or that the development did not require planning permission, works must **stop immediately** and Natural England contacted because Protected Species legislation still applies. Natural England can be contacted on the following:

Telephone (local rate) - 0845 600 3078

Email - [enquiries@naturalengland.org.uk](mailto:enquiries@naturalengland.org.uk)

Natural England's standing advice for protected species pages on their website:

<http://www.naturalengland.org.uk/ourwork/planningtransportlocalgov/spatialplanning/standingadvice/default.aspx>

## **8. Design against Crime**

When undertaking any building work on a property, it is important to consider how it will affect security.

For further advice about designs and standards to prevent crime, please visit the website: [www.securedbydesign.com](http://www.securedbydesign.com)

## **9. Further Advice**

The granting of planning permission or building regulation approval by the Council does not convey any consent required under legal covenants by other legislation, or by the owners of adjoining land. In these situations it is recommended that legal advice be sought.

Consent would be required from neighbours if access were affected to their property during the construction phase, or for any future maintenance. If any part of the development overhangs the boundary, the applicant will be required to complete the appropriate certificate to be submitted with the application and serve notice on the neighbour.

In the event that the erection of an extension will include works to the foundations, guttering and other construction materials, e.g. scaffolding that would cross or abut the boundary of the property to be extended, information from The Party Wall etc. Act 1996 should be sought. An explanatory booklet can be found at on the planning publications section of the Department for Communities and Local Government website entitled: The Party Wall Act 1996: explanatory booklet.

Building an extension to a dwelling without obtaining the necessary planning permission and/or building regulation approval could cause legal problems if the property is sold. The Council may take action in certain circumstances to enforce the removal of an unauthorised extension, at the owner's expense.

It is advisable to have extensions designed by an experienced architect or other professional draughtsman.

If you have any queries concerning the guidance contained within this document or need further information on for example building design, car parking standards, listed buildings and conservation areas, you are advised to consult with the Development Team.

Advice on applying for planning permission is available from the Planning Department or on the Planning Portal website. Please note that you can also apply for planning permission online at [www.planningportal.gov.uk](http://www.planningportal.gov.uk)

**REMEMBER, IF YOU ARE IN ANY DOUBT CHECK YOUR IDEAS WITH THE PLANNING DEPARTMENT AT AN EARLY STAGE.**

**The Planning Department recommend that all residential extension ideas are checked by the Development Control team at an early stage to ensure both that they are compliant with local planning policies and also to help speed up the process of applying for and receiving planning permission. There are a number of ways in which Planning Officers can be contacted for advice:**

- **Rugby Borough Council Planning Officers are available to answer queries at the Town Hall reception during Council opening hours;**
- **They can also be contacted by telephone: 01788 533832; or**
- **Email: [rbc.planning@rugby.gov.uk](mailto:rbc.planning@rugby.gov.uk).**

**If you have any queries about the content of this Design Guide and its implications for your extension please contact a Planning Officer.**

**Further to this, more detailed advice is available via the Planning Portal website: [www.planningportal.gov.uk](http://www.planningportal.gov.uk)**

## Glossary

**Air Source Heat Pump:** Air source heat pumps are units that are located / mounted outside of a property to absorb heat from the outside air. The heat can then be used to warm water for radiators or underfloor heating systems, or to warm the air in your home.

**Allowable solutions:** Allowable solutions –A range of measures available for achieving zero carbon beyond the minimum carbon compliance requirements. The Government has not yet defined what the range of allowable solutions will be. However, they are likely to include the exports of low carbon or renewable heat from the development to other developments, and investment in low and zero carbon community heat infrastructure.

**Biomass:** A fuel derived from plant material or natural residues. A wide range of biomass can be used to generate electricity and/or heat and to produce transport fuel.

**BREEAM standard:** The Building Research Establishment's Environmental Assessment Method, which is used to assess the environmental performance of new and existing non-residential and mixed use buildings. It is regarded by the UK's construction and property sectors as the measure of best practice in environmental design and management.

**Carbon dioxide (CO<sub>2</sub>):** A significant contributor to global warming and climate change. A gas resulting from the combustion of fossil fuels including gas, oil and coal.

**Carbon footprint:** The total greenhouse gas emissions caused by an individual or organisation, event or product.

**Carbon neutral:** A development that achieves no net carbon emissions from all types (regulated and unregulated) of energy use on an annual basis. It is usual for a development to have emitted some greenhouse gas emissions, so it is necessary to use carbon offsets to achieve neutrality.

**Carbon sinks:** Carbon dioxide is captured and stored in living (trees and other green vegetation) or non-living reservoirs (soil, geological formations, oceans, wood products)

**Climate Change:** The variation in the Earth's global climate or in regional temperatures. It describes changes in the variability or state of the atmosphere and weather.

**Code for Sustainable Homes (CSH):** A national environmental standard for sustainable design and construction for certifying and rating new homes, to ensure new homes deliver improvements in key areas such as carbon dioxide and water use reduction.

**Combined Heat and Power (CHP):** CHP is the simultaneous generation of usable heat and power in a single process, therefore producing less waste. CHP's overall fuel efficiency is around 70-90% of fuel input compared to 40%-50% efficiency in conventional generation.

**Decentralised energy supply:** Energy supply from low carbon sources on a small or community scale and including electricity generation that is connected to a local distribution network rather than directly to the national grid.

**Design and Access Statement:** A document which must accompany most types of planning applications explaining the design process for a development and providing details on how it can be accessed by everyone, including elderly or disabled people.

**Ecological Footprint:** An ecological footprint is a measure of human demand on an ecosystem, and compares human demand with the ecological capacity to regenerate it.

**Emissions:** Gases released into the atmosphere

**Greenhouse gases:** There are six greenhouse gases regulated by the Kyoto Protocol, which are emitted in significant quantities into the atmosphere through human activity. The six regulated gases are Carbon dioxide (CO<sub>2</sub>), Methane (CH<sub>4</sub>), Nitrous Oxide (N<sub>2</sub>O), Hydrofluorocarbons (HFCs), Perfluorocarbons (PFCs) and Sulphur Hexafluoride (SF<sub>6</sub>).

**Ground source heat pumps:** Transfer the heat from the earth to a building by means of a heat exchanger. The heat can then be used for space heating and hot water. They can also be used to remove heat from a building and deposit it in the ground to cool the building in hot weather.

**Kilowatt hour (kWh):** A once kilowatt power generating unit running for one hour produced one kilowatt-hour of electrical energy.

**Low or zero carbon technologies:** Technologies that produce energy with low or zero carbon emissions.

**Mitigation:** Taking action to reduce the impact of human activity on the climate system, primarily through reducing greenhouse gas emissions.

**Passive solar gain:** Refers to the siting, form, fabric and internal layout of buildings so that natural light and solar heat gains are harnessed and controlled reducing the need for artificial lighting, space heating and mechanical ventilation and cooling.

**Photovoltaics (PV):** Thin silicone wafers that convert any light, not only sunlight, directly into electricity. They can be fitted to buildings including panels and roof tiles.

**Regulated emissions:** Those emission included within the SAP methodology and arising from space heating, water heating, fixed lighting and ventilation.

**Renewable energy:** Those energy flows that occur naturally and repeatedly in the environment – from the wind, the fall of water, the movement of the oceans, from the sun and also from biomass.

**Standard Assessment Procedure (SAP):** The Government's Standard Assessment Procedure for Energy Rating of Dwellings. SAP is adopted by government as part of the UK national methodology for calculation of the energy performance of buildings. It is used to demonstrate compliance with building regulations for dwellings - Part L (England and Wales) and to provide energy ratings for dwellings.

**Standard carbon factor:** When calculating emissions from energy use it is important to know what quantity of energy was used. Standard carbon factors enable a conversion to be made from the input measure of energy to the amount of carbon dioxide emissions that will result. Defra publish the UK conversion factors for energy to CO<sub>2</sub>.

**Supplementary Planning Document (SPD):** A Local Development Document that adds further detail to policies and proposals in a 'parent' Development Plan

Document. Unlike Development Plan Documents, SPDs do not form part of the Statutory Development Plan.

**Unregulated emissions:** Those emissions arising from electrical appliances, cooking and non-fixed lighting.

**Wind turbine:** A machine for converting the kinetic energy in wind into electricity by using its natural power to drive a generator. Can be free standing or mounted on a building and comes in a variety of sizes.

**Zero carbon:** A development that achieves no emissions of carbon from energy use on site, on an annual basis.

## Appendix 2

### **Revocation of Sustainable Design and Construction Supplementary Planning Document (SPD) 2012**

#### Town and Country Planning (Local Planning) (England) Regulations 2012

In accordance with Regulation 15 of the Town and Country Planning (Local Planning) (England) Regulations 2012, notice is hereby given that the Council has revoked the Sustainable Design and Construction SPD 2012.

As required under Regulation 15, following the revocation of the above document, all physical and digital copies of the documents will be removed from Rugby Borough Town Hall and the Council's website. If you have any queries please contact us on; Tel: 01788 533741 or E-mail [localplan@rugby.gov.uk](mailto:localplan@rugby.gov.uk).

## 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. For advice and support, contact:  
Minakshee Patel  
Corporate Equality & Diversity Advisor  
[minakshee.patel@rugby.gov.uk](mailto:minakshee.patel@rugby.gov.uk)  
Tel: 01788 533509

## Equality Impact Assessment

<b>Service Area</b>	<b>Development Strategy</b>
<b>Policy/Service being assessed</b>	<b>Revocation of the Sustainable Design and Construction Supplementary Planning Document 2012</b>
<b>Is this a new or existing policy/service?</b> <b>If existing policy/service please state date of last assessment</b>	<b>This is an existing policy adopted in 2012 that has now been superseded.</b>
<b>EqIA Review team – List of members</b>	<b>Martin Needham – Senior Planning Officer Development Strategy</b>
<b>Date of this assessment</b>	<b>27th March 2023</b>
<b>Signature of responsible officer (to be signed after the EqIA has been completed)</b>	<b>M.Needham</b>

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

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

### Details of Strategy/ Service/ Policy to be analysed

<b><u>Stage 1 – Scoping and Defining</u></b>	
(1) Describe the main aims, objectives and purpose of the Strategy/Service/Policy (or decision)?	The Sustainable Design and Construction SPD 2012 was written to support the policies within the Core Strategy 2011. Since this time the Local Plan 2019 has been adopted and is supported by the Climate Change and Sustainable Design and Construction SPD. As such, the Sustainable Design and Construction is now superseded and should be revoked, so that it is no longer available and potentially used as a material consideration in determining planning applications.
(2) How does it fit with Rugby Borough Council's Corporate priorities and your service area priorities?	<p>As mentioned revoking the SPD will mean that it is no longer available and potentially used as a material consideration in determining planning application. This will mean only the most relevant and up to date guidance will remain which will assist in determining planning applications effectively. This in turn will help the Council meet the following Corporate priorities:</p> <p>Rugby is an environmentally sustainable place where we work together to reduce and mitigate the effects of climate change</p> <p>Residents lead healthy independent lives with the most vulnerable protected</p> <p>Rugby Borough Council is a responsible, effective and efficient organisation</p> <p>Promotes high quality and sustainable development.</p>
(3) What are the expected outcomes you are hoping to achieve?	Cabinet is being asked to agree to revoke the SPD for the reasons stated above.

<p>(4) Does or will the policy or decision affect:</p> <ul style="list-style-type: none"> <li>• Customers</li> <li>• Employees</li> <li>• Wider community or groups</li> </ul>	<p>Revoking the SPD will be of benefit to customers, employees and the wider community or groups by ensuring only the most relevant and up to date information is available for use.</p>		
<p><b><u>Stage 2 - Information Gathering</u></b></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>The SPD potentially affect all residents and people working in the Borough.</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>A consultation is not required to revoke the SPD, however a full public consultation was carried out on the Climate Change and Sustainable Design and Construction SPD 2023, which supersedes this document.</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>A consultation is not required to revoke the SPD, however a full public consultation was carried out on the Climate Change and Sustainable Design and Construction SPD 2023, which supersedes this document.</p>		
<p><b><u>Stage 3 – Analysis of impact</u></b></p>			
<p>(1) <u>Protected Characteristics</u> From your data and consultations is there any positive, adverse or negative impact</p>	<p><b>RACE</b> No adverse or negative impacts identified</p>	<p><b>DISABILITY</b> No adverse or negative impacts identified</p>	<p><b>GENDER</b> No adverse or negative impacts identified</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><b>MARRIAGE/CIVIL PARTNERSHIP</b> No adverse or negative impacts identified</p>	<p><b>AGE</b> No adverse or negative impacts identified</p>	<p><b>GENDER REASSIGNMENT</b> No adverse or negative impacts identified</p>
	<p><b>RELIGION/BELIEF</b> No adverse or negative impacts identified</p>	<p><b>PREGNANCY MATERNITY</b> No adverse or negative impacts identified</p>	<p><b>SEXUAL ORIENTATION</b> No adverse or negative impacts identified</p>
<p><u>(2) 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?</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>No</p> <p>No.</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>Revoking the SPD will mean only the most relevant and up to date information will be available. This will improve decisions on planning applications and raise awareness of climate change issues, which will be of benefit to all.</p>		

(6) How does the strategy/service/policy promote good relations between groups? If not what can be done?	Not applicable.
(7) Are there any obvious barriers to accessing the service? If yes how can they be overcome?	None identified.

<b><u>Stage 4 – Action Planning, Review &amp; Monitoring</u></b>																										
<p>If No Further Action is required then go to – Review &amp; 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="875 836 2116 1066"> <thead> <tr> <th data-bbox="875 836 1120 911">Action</th> <th data-bbox="1120 836 1364 911">Lead Officer</th> <th data-bbox="1364 836 1615 911">Date for completion</th> <th data-bbox="1615 836 1865 911">Resource requirements</th> <th data-bbox="1865 836 2116 911">Comments</th> </tr> </thead> <tbody> <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	It will not be necessary to undertake further monitoring of the document once it has been revoked.																									

# Rugby Borough Council

## Climate Change and Environmental Impact Assessment

### Revocation of the Sustainable Design and Construction SPD 2012

#### 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**

<b>Portfolio and Service Area</b>	Growth and Investment
<b>Policy/Service/Change being assessed</b>	Revocation of the Sustainable Design and Construction SPD 2012
<b>Is this a new or existing Policy/Service/Change?</b>	Revocation of existing policy
<b>If existing policy/service please state date of last assessment</b>	N/A
<b>Ward Specific Impacts</b>	All
<b>Summary of assessment</b> Briefly summarise the policy/service/change and potential impacts.	No significant impacts identified. The document has been superseded by the Climate Change and Sustainable Design and Construction SPD 2023. Revocation of the SPD will ensure only the relevant and up to date guidance is used for considering planning applications.
<b>Completed By</b>	Martin Needham (Senior Planning Officer) – Development Strategy
<b>Authorised By</b>	
<b>Date of Assessment</b>	28.03.2023

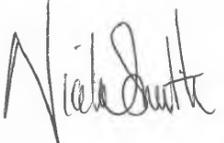
## **SECTION 2: IMPACT ASSESSMENT**

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 outdated guidance will be removed and the new SPD 2023 encourages more energy efficient developments and usage of renewable energy technology.			
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"/>	The outdated guidance will be removed and the new SPD 2023 promotes development that supports more sustainable methods of transport and travel, such as through well designed walkable spaces, cycling provision, and sustainable location of services.			
Sustainable procurement	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				
Community leadership	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				

<b>Biodiversity and habitats</b>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	The outdated guidance will be removed and the new SPD 2023 improves biodiversity and habitats by promoting Green Infrastructure, ecological networks, and high quality landscaping to support these.			
<b>Adaptation/Mitigation</b>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	The outdated guidance will be removed and the new SPD 2023 helps development and nearby areas adapt to and mitigate climate change through more sustainable methods of construction. This can include sustainable drainage systems, passive warming and ventilation, water efficiency, sustainable transport and improved green infrastructure.			
<b>Impact on other providers/partners</b>	<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.

<b>Review date</b>	
<b>Key points to be considered through review</b>	No further review will be required following revocation of the document. The latest Climate Change and Sustainable and Construction SPD 2023 will be monitored over time through the assessment of planning applications.
<b>Person responsible for review</b>	Martin Needham
<b>Authorised by</b>	

**AGENDA MANAGEMENT SHEET**

<b>Report Title:</b>	Councillor Learning and Development Policy
<b>Name of Committee:</b>	Council
<b>Date of Meeting:</b>	26 April 2023
<b>Report Director:</b>	Chief Officer - Legal and Governance
<b>Portfolio:</b>	Finance, Performance, Legal and Governance
<b>Ward Relevance:</b>	All
<b>Prior Consultation:</b>	Leadership Team, Group Leaders
<b>Contact Officer:</b>	Aftab Razzaq
<b>Public or Private:</b>	Public
<b>Report Subject to Call-In:</b>	No
<b>Report En-Bloc:</b>	No
<b>Forward Plan:</b>	No
<b>Corporate Priorities:</b>	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) <a href="#">Corporate Strategy 2021-2024</a> <input type="checkbox"/> This report does not specifically relate to any Council priorities but
<b>(C) Climate</b> <b>(E) Economy</b> <b>(HC) Health and Communities</b> <b>(O) Organisation</b>	
<b>Summary:</b>	This report relates to a proposed Councillor Learning and Development Policy (see Appendix 1). This will be a new framework of how Councillor training is undertaken and managed.
<b>Financial Implications:</b>	None arising directly from this report
<b>Risk Management/Health and Safety Implications:</b>	None arising directly from this report

<b>Environmental Implications:</b>	A climate change and environmental impact assessment is attached at Appendix 2.
<b>Legal Implications:</b>	None arising directly from this report
<b>Equality and Diversity:</b>	An equality impact assessment has been undertaken and is attached at Appendix 3.
<b>Options:</b>	Approve or reject the proposed recommendation
<b>Recommendation:</b>	<p>(1) The Councillor Learning and Development Policy, as set out in Appendix 1 to the report, be approved; and</p> <p>(2) delegated authority be given to the Chief Officer for Legal &amp; Governance, in consultation with political group leaders, to make any amendments.</p>
<b>Reasons for Recommendation:</b>	To ensure there is an efficient framework for training for all Councillors.

**Council - 26 April 2023**

**Councillor Learning and Development Policy**

**Public Report of the Chief Officer - Legal and Governance**

**Recommendation**

- (1) The Councillor Learning and Development Policy, as set out in Appendix 1 to the report, be approved; and
- (2) delegated authority be given to the Chief Officer for Legal & Governance, in consultation with political group leaders, to make any amendments.

**1. Introduction**

- 1.1 All councillors of Rugby Borough Council strive to serve the communities they represent, and the Borough as a whole, to the best of their ability.
- 1.2 Councillors of the Borough Council are essential to ensure that the Council can deliver its Corporate Strategy as they will be responsible for the key decisions relating to this strategy.
- 1.3 A fundamental element in the overall delivery of the Council's Corporate Strategy is the organisational change and transformation through the introduction of the Rugby Blueprint. This transformational change and culture should also be transcended to councillors, and it is important that they are also part of this journey of transformation.
- 1.4 The first step of this journey of transformation was embedding a strong working relationship between members and officers. This was taken through the adoption of the member and officer protocol and there is continuous work to implement the foundations of this protocol.
- 1.5 This journey is continuing through the proposed recommendation of a Councillor Learning and Development Policy. A copy of the proposed policy is attached at Appendix 1.

**2. Councillor Learning and Development Policy**

- 2.1 At present the Council has a training programme that is formulated annually. This is supported by training co-ordinators by each of the political parties.

2.2 This policy seeks to put in place a robust framework to provide the required learning and development for all Councillors. It puts in place the requirement for self- assessment and clear aspirations and goals at the start of each municipal year. There also the addition of mandatory areas of training and clear accountability within the annual programme.

### **3. Conclusion**

3.1 The role of Councillors is fundamental in how the Council operates and the decisions that are taken. This policy will ensure all Councillors are adequately supported and provided with the various tools to effectively carry out their roles.

**Name of Meeting:** Council

**Date of Meeting:** 26 April 2023

**Subject Matter:** Councillor Learning and Development 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.

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Exempt information is contained in the following documents:

Doc No	Relevant Paragraph of Schedule 12A



# **COUNCILLOR LEARNING AND DEVELOPMENT POLICY**

**Responsible Officer**

Aftab Razzaq, Chief Officer for Legal and Governance/Monitoring Officer

**Reviewed by:** Leadership Team, Councillor Development Group

**Date reviewed:** 03/2023

**Version 1**

**Date of next review:** 02/2024

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## 1. Introduction

### 1.1 Delivering the Corporate Strategy and Transformation



All councillors of Rugby Borough Council strive to serve the communities they represent, and the Borough as a whole, to the best of their ability.

Councillors of the Borough Council are essential to ensure that the Council can deliver its Corporate Strategy as they will be responsible for the key decisions relating to this strategy.

A fundamental element in the overall delivery of the Council’s Corporate Strategy is the organisational change and transformation through the introduction of the Rugby Blueprint. This transformational change and culture should also be transcended to councillors, and it is important that they are also part of this journey of transformation.



### 1.2 Councillor Learning and Development Policy

The Councillor Learning and Development Policy aims to establish a culture whereby councillors are provided a clear framework upon development and how to effectively carry out their duties. This framework of support and development will ensure that councillors have the necessary knowledge, skills, and attributes to significantly improve the Council’s decision making, the quality of its services and the work councillors do to benefit their communities.

It is acknowledged that councillors need a whole range of skills in order to embrace the increasing complexity of their individual roles. Every councillor has the right to access learning activities that will provide them with the necessary knowledge and skills to be able to effectively perform their duties as elected representatives.

The policy recognises the need for different forms of development, both in content and method of delivery. It addresses developmental needs in skills and knowledge, having regard to the context of local government in a rapidly changing society.

#### The policy aims to:

- set out the responsibilities of councillors and officers for councillor development and identify the resources available
- introduce mandatory requirements within the annual training programme
- provide a framework through which learning and development needs can be identified and councillors equipped with the necessary skills and knowledge
- ensure equality of access to learning and development opportunities

## 2. Key Principles

Development will be available to all councillors irrespective of political allegiance

Ensure a consistent approach to councillor development

Creation of a learning culture for councillors at Rugby Borough Council that regards continuous councillor development as vital to its success

Councillors to have ownership of the development programme via the Councillor Development Group

In line with Councillor Training Principles

Consistent with Equal Opportunity Policies

## 3. Councillor Development Group

Councillor learning and development is overseen by the Councillor Development Group. This group will comprise of three members.

This cross-party group meets bi-annually and agrees the councillor learning and development activities with reference to the Corporate Strategy Delivery Plan and priority development needs.

All members of the group will work with their relevant political group leaders to assist and implement the relevant development plans.

The group will also review the outcome of training events and the overall training programme.

#### The Group will be responsible for:

- advising on, reviewing and contributing to the implementation of the Councillor Learning and Development Strategy
- ensuring that the councillors' learning and development programme reflects the strategic aims of the Council identified within the Corporate Plan
- promoting learning and development opportunities within individual political groups
- monitoring progress in developing councillors' skills base in accordance with the learning and development framework
- assisting councillors in undertaking self-assessment against the agreed development framework
- overseeing, and contributing as appropriate to, the delivery of an effective annual induction programme for new councillors
- evaluating and monitoring internal and external councillor learning and development events

### 3.1 Councillor Development Records

Councillors' attendance at learning events is recorded on the internal Councillors' SharePoint section.

## 4. Training Programme

All councillors will be expected to attend core development events on key topics. These will include sessions on:



Additional learning events will be provided specifically for portfolio holders, chairs and other councillors as appropriate. These may include for example chairing and topics related to their portfolio.

All Councillors will be encouraged to seek outside development opportunities with key stakeholders such as the LGA. This will form part of the individual learning plans for each Councillor.

## 5. Individual Learning Plan for each Councillor

At the start of each municipal year all councillors will be provided with an Individual Learning Plan. This plan will contain the full annual training programme which will contain both mandatory and non-mandatory training sessions.



Within this plan, there will also be an opportunity to identify training needs, and this will be inputted by either the individual councillor or their political Group Leader. Any inputs by the political Group Leader will require mandatory attendance. The inputs by either the individual councillor or political Group Leader can also take place within the municipal year, which will include any identified training.

Again, inputs by political Group Leaders will be mandatory.

At the start of each municipal year there will also be a requirement for each individual councillor to identify specific goals and objectives and these will then be reviewed at the end of the year. The milestones of these goals and objectives will be reached by the attendance of training events and will either be ongoing or be fully achieved.

Each plan will be signed off by political Group Leaders at the start and at the end of each municipal year. This will be in respect of the goals and objectives and overall training of the last municipal year and thereafter in respect of the upcoming municipal year.

The relevant training needs identified within the various individual training plans will be reported to the relevant training co-ordinators and will form the basis of the formulation of the annual training programme or specific ad-hoc training throughout the year.

### Individual councillors will be responsible for:

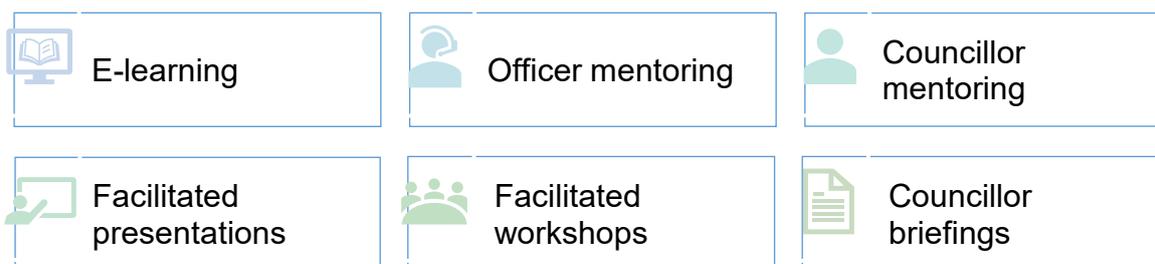
- participating in the induction programme/activities for new councillors;
- identifying their own learning and development needs;
- taking up opportunities offered for other learning;
- undertaking training in order to participate in quasi-judicial processes such as licensing and planning when appointed to those committees; and
- participating in core learning events provided for all councillors.

## 6. Meeting specific needs

The Council is committed to providing equality of opportunity to all councillors. Any councillor with specific needs related, for example, to a physical disability or special learning medium will, so far as practicable, be given appropriate support and facilities to enable them to participate in the learning programme.

## 7. Delivery of learning and development activities/implementing the strategy

A flexible approach to the delivery of learning and development will be adopted to make use of the different development methods available and to meet the needs of councillors. Methods used will include the following but this list is not exhaustive:



Evaluation forms will be issued to councillors following attendance at events. The views expressed by councillors will be assessed by Democratic Services and appropriate action taken in running future events.

Training events attended by each councillor will be recorded on their personal files held by Democratic Services. Training hours per elected councillor will continue to be recorded by Democratic Services.

## 8. Resources and support

This policy will be delivered by Democratic Services with the input of professional officers where appropriate. A dedicated budget is available for councillor development covering all internal and external training events, materials and conferences.

## 9. How is the policy monitored?

The Councillor Development Group and the Council's Monitoring Officer will monitor the progress of the work at its meetings.



The feedback from the programme of councillor development activities and how councillors are developing as a result will be assessed. This will be used to make continuous improvements to the programme and ensure that councillors are assisting the borough in achieving its corporate priorities.

## 10. Principles to follow

All essential training should be completed within 12 months (subject to exceptional circumstances such as illness). Where it has not been possible to complete training in this time, councillors should seek advice from Democratic Services to arrange completion.

Group Leaders will have access to records of attendance of their group councillors' attendance and will encourage attendance, particularly for essential training.

Continued failure to undertake essential training courses will in the first instance be referred to political group leaders. If the matter fails to be resolved and as a last resort the matter will be referred as a Standards issue to the Council's Monitoring Officer given the councillors role 'to promote and support high standards of conduct in accordance with the principles within the councillors' Code of Conduct.

Dispensations can be awarded for training undertaken for other organisations (such as a workplace or other community leadership role) by providing Democratic Services with written evidence such as a certificate or email from another employer.

## 11. Looking to the future



This policy presents a transformative approach for the provision and delivery of all councillor training and development. It provides a framework for monitoring and evaluating training provision.

The policy will be reviewed annually by the Councillor Development Group to ensure that it appropriately reflects the Council's approach towards councillor training and development and that provision continues to meet the needs of the organisation and its councillors.

## Rugby Borough Council

### Climate Change and Environmental Impact Assessment

#### Councillor Learning and Development Policy

##### 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**

<b>Portfolio and Service Area</b>	Legal and Governance
<b>Policy/Service/Change being assessed</b>	Councillor Learning and Development Policy
<b>Is this a new or existing Policy/Service/Change?</b>	New policy
<b>If existing policy/service please state date of last assessment</b>	N/A
<b>Ward Specific Impacts</b>	All
<b>Summary of assessment</b> Briefly summarise the policy/service/change and potential impacts.	The Councillor Learning and Development Policy provides a new framework, setting out how Councillor training is undertaken and managed. Councillor learning and development will include specific items relating to climate change
<b>Completed By</b>	Claire Waleczek
<b>Authorised By</b>	Aftab Razzaq
<b>Date of Assessment</b>	12.04.2023

## **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 type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<p>Learning and development opportunities relating to the Climate Emergency will be made available to all Councillors to support delivery of the Corporate Strategy.</p> <p>This will ensure support for Councillors to consider the environmental implications of decisions being made and to advocate for positive climate within the communities which they represent.</p>	Monitor Councillor learning and development programmes to ensure that Climate Change is adequately covered and represents the latest thinking on the subject	Aftab Razzaq	Ongoing
Biodiversity and habitats	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>				

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

<b>Review date</b>	12.04.2024.
<b>Key points to be considered through review</b>	Has the learning and development policy led to an increased awareness and understanding of the climate change agenda? Do Councillors feel better equipped to consider climate change in decision making? Do Councillors feel better equipped to advocate for positive climate action within the communities which they represent?
<b>Person responsible for review</b>	Aftab Razzaq
<b>Authorised by</b>	Aftab Razzaq

# EQUALITY IMPACT ASSESSMENT (EqIA)

## Context

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

## Equality Impact Assessment

<b>Service Area</b>	<b>Legal and Governance</b>
<b>Policy/Service being assessed</b>	<b>Councillor Learning &amp; Development Policy</b>
<b>Is this is a new or existing policy/service?</b> <b>If existing policy/service please state date of last assessment</b>	<b>New</b>
<b>EqlA Review team – List of members</b>	<b>Minakshee Patel, Aftab Razzaq</b>
<b>Date of this assessment</b>	<b>12.4.23</b>
<b>Signature of responsible officer (to be signed after the EqlA has been completed)</b>	<b>Aftab Razzaq</b>

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

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

**Details of Strategy/ Service/ Policy to be analysed**

<b><u>Stage 1 – Scoping and Defining</u></b>	
(1) Describe the main aims, objectives and purpose of the Strategy/Service/Policy (or decision)?	The Councillor Learning and Development Policy aims to establish a culture whereby councillors are provided a clear framework upon development and how to effectively carry out their duties. This framework of support and development will ensure that councillors have the necessary knowledge, skills, and attributes to significantly improve the Council's decision making, the quality of its services and the work councillors do to benefit their communities.
(2) How does it fit with Rugby Borough Council's Corporate priorities and your service area priorities?	Fits with Outcome 4 of the Corporate Strategy – Rugby Borough Council is a responsible, effective and efficient organisation.
(3) What are the expected outcomes you are hoping to achieve?	<ul style="list-style-type: none"> <li>• Ensure a consistent approach to councillor development</li> <li>• Creation of a learning culture for councillors, where they regards continuous councillor development as vital to their success</li> <li>• Councillors to have ownership of the development programme via the Councillor Development Group</li> <li>• Introduce mandatory requirements within the annual training programme</li> <li>• Training that is consistent with Equal Opportunity Policies</li> </ul>
(4) Does or will the policy or decision affect: <ul style="list-style-type: none"> <li>• Customers</li> <li>• Employees</li> <li>• Wider community or groups</li> </ul>	This policy will have a direct impact on Councillors.
<b><u>Stage 2 - Information Gathering</u></b>	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).

Appendix 3

<p>(1) What does the information tell you about those groups identified?</p>	<p>Currently there isn't a learning &amp; development policy / process for Members which has an impact on how they undertake their roles. Therefore, a need to have a more robust training and development framework for Members to support them in their roles was 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>Group Leaders, Leadership Team,</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>

**Stage 3 – Analysis of impact**

<p><b>(1) Protected Characteristics</b> 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><b>RACE</b> Positive impact expected</p>	<p><b>DISABILITY</b> Positive impact expected</p>	<p><b>GENDER</b> Positive impact expected</p>
	<p><b>MARRIAGE/CIVIL PARTNERSHIP</b> N/A</p>	<p><b>AGE</b> Positive impact expected</p>	<p><b>GENDER REASSIGNMENT</b> Positive impact expected</p>
	<p><b>RELIGION/BELIEF</b> Positive impact expected</p>	<p><b>PREGNANCY MATERNITY</b> Positive impact expected</p>	<p><b>SEXUAL ORIENTATION</b> Positive impact expected</p>



<p><b><u>Stage 4 – Action Planning, Review &amp; Monitoring</u></b></p>																														
<p>If No Further Action is required then go to – Review &amp; 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="875 464 2116 692"> <thead> <tr> <th data-bbox="875 464 1122 539">Action</th> <th data-bbox="1122 464 1368 539">Lead Officer</th> <th data-bbox="1368 464 1615 539">Date for completion</th> <th data-bbox="1615 464 1861 539">Resource requirements</th> <th data-bbox="1861 464 2116 539">Comments</th> </tr> </thead> <tbody> <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>The Councillor Development Group and the Council’s Monitoring Officer will monitor the progress of the work at their bi-annual meetings. The feedback from the programme of councillor development activities and how councillors are developing as a result will be assessed. This will be used to make continuous improvements to the programme and ensure that councillors are assisting the borough in achieving its corporate priorities.</p>																													

Please annotate your policy with the following statement:

**‘An Equality Impact Assessment on this policy was undertaken on 12.4.23 and will be reviewed on 28.2.24.’**