



# Rutland County Council

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Ladies and Gentlemen,

A meeting of the **CABINET** will be held in the Remotely - Via Zoom commencing at 10am when it is hoped you will be able to attend.

Yours faithfully

Helen Briggs  
**Chief Executive**

**Meeting:** CABINET

**Date and Time:** Tuesday, 16 June 2020 at 10.00 am

**Venue:** REMOTELY - VIA ZOOM

**WEBINAR:** <https://zoom.us/j/99624614365>

**Governance Officer to contact:** Emma Powley 01572 720991  
email: [governance@rutland.gov.uk](mailto:governance@rutland.gov.uk)

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## A G E N D A

- 1) APOLOGIES FOR ABSENCE
- 2) ANNOUNCEMENTS FROM THE CHAIRMAN AND/OR HEAD OF THE PAID SERVICE
- 3) DECLARATIONS OF INTEREST

In accordance with the Regulations, Members are required to declare any personal or prejudicial interests they may have and the nature of those interests in respect of items on this Agenda and/or indicate if Section 106 of the Local Government Finance Act 1992 applies to them.

**4) RECORD OF DECISIONS**

To confirm the Record of Decisions made at the meeting of the Cabinet held on 19<sup>th</sup> May 2020.

**5) ITEMS RAISED BY SCRUTINY**

To receive items raised by members of scrutiny which have been submitted to the Leader and Chief Executive (copying in Governance) by no later than 12 noon on Friday 12<sup>th</sup> June 2020.

**6) EMERGENCY POWERS - COVID 19 UPDATE**

Report No: 82/2020  
(Pages 5 - 8)

**7) CHILDREN'S SERVICES IMPROVEMENT PLAN**

Report No: 81/2020  
(Pages 9 - 22)

**8) FINANCIAL OUTTURN REPORT FOR 19/20 AND UPDATE ON BUDGET 20/21**

Report No; 84/2020  
(Key decision)  
(Pages 23 - 60)

**9) RUTLAND LOCAL PLAN- UPDATE ON TIMETABLE AND CONSULTATION**

Report No; 85/2020  
(Key decision)  
(Pages 61 - 134)

**10) EXCLUSION OF THE PRESS AND PUBLIC**

Cabinet is recommended to determine whether the public and press be excluded from the meeting in accordance with Section 100(A)(4) of the Local Government Act 1972, as amended, and in accordance with the Access to Information provisions of Procedure Rule 239.

**11) ANY ITEMS OF URGENT BUSINESS**

To receive items of urgent business which have previously been notified to the person presiding.

**MEMBERS OF THE CABINET:** Mr O Hemsley Chairman

Mr G Brown

Mrs L Stephenson

Mr A Walters

Mr D Wilby

**SCRUTINY COMMISSION:**

**Note: Scrutiny Members may attend Cabinet meetings but may only speak at the prior invitation of the person presiding at the meeting.**

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**CABINET**

16<sup>th</sup> June 2020

**COVID 19 UPDATE & APPROACH TO CONTINUED USE OF  
EMERGENCY POWERS - UPDATE**

Report of the Chief Executive

Strategic Aim:	All	
Key Decision: No	Forward Plan Reference: N/A	
If not on Forward Plan:	Chief Executive Approved	
Reason for Urgency:	N/A	
Exempt Information	No	
Cabinet Member(s) Responsible:	Mr O Hemsley, Leader and Portfolio Holder for Rutland One Public Estate & Growth, Tourism & Economic Development, Resources (other than Finance)	
Contact Officer(s):	Helen Briggs- Chief Executive	01572 758201 hbriggs@rutland.gov.uk
	Phillip Horsfield – Deputy Director Corporate Governance (Monitoring Officer)	01572 758154 phorsfield@rutland.gov.uk
Ward Councillors	All	

**DECISION RECOMMENDATIONS**

That Cabinet:

1. Notes the continued use of the Civil Emergency Delegation

**1 PURPOSE OF THE REPORT**

1.1 At the Cabinet meeting held on the 21<sup>st</sup> April 2020, it was agreed that Cabinet would:

- i) Note the use of the Civil Emergency Delegation
- ii) Note the Advice of the Chief Executive, Section 151 Officer and Monitoring Officer in relation to the duration of the emergency powers.

- iii) Agree to review the emergency powers at each meeting of Cabinet to ensure that the powers are still required.

## **2 BACKGROUND AND MAIN CONSIDERATIONS**

- 2.1 The Council's Scheme of Delegation makes provision for at 11.10.5 that the Chief Executive will have power:
- 2.2 "To take any urgent action necessary in the event of a civil emergency and deal with matters relating to civil protection/emergency planning arising from the Council's powers and duties under the appropriate legislation."
- 2.3 Further the Financial Procedure Rule 4.6 states that:
- 2.4 "In the case of a 'major incident' as defined in the Emergency Plan, the Chief Finance Officer may determine that alternative arrangements to those in Finance Procedure Rules shall apply. In particular, the Chief Finance Officer in conjunction with the Chief Executive may: (a) establish different rules for financial systems and financial administration to the extent necessary to meet the requirements of the emergency; (b) establish a budget for the emergency, over and above the approved budget; (c) determine which officers may commit the emergency budget, and any rules to apply in managing the budget; (d) authorise any capital expenditure required as a consequence of the emergency"
- 2.5 It was established on March 16<sup>th</sup> 2020 that the opinion of the Chief Executive, Section 151 Officer and Monitoring Officer is that COVID-19 crisis activates both of these powers.
- 2.6 Early in the crisis a Decision Making Log was created for the use of the emergency powers (and other delegated powers that have been deployed during the crisis). This document has been created in order to record the decisions that have been made and the powers that these have been made under.
- 2.7 The Decision Making Log has been shared with all Members. This allows for scrutiny of decisions after the event and further ensures that all members are informed of the decisions that have been made through delegated powers.
- 2.8 The Decision Making Log also identifies who has been consulted in relation to each decision and includes information on the decision taker and the delegation used.
- 2.9 There has been a continuation of weekly all 'virtual' Councillors briefing (including a question and answer session) to ensure that the Council has been able to effectively ensure both democratic oversight and ensure that Councillors were best placed to perform their role as both community leaders and champions.
- 2.10 Councillors are also receiving a twice weekly email update, copies of all press releases and ad hoc information when required.
- 2.11 Since the beginning of the crisis, Rutland County Council has successfully held two Cabinet meetings and a Full Council meeting.

### **3 DURATION OF THE EMERGENCY POWERS**

3.1 The Statutory Officers (Head of Paid Service/Chief Executive, Section 151 Officer and Monitoring Officer) are of the unanimous opinion that the powers referred to in paragraphs 2.2 and 2.4 above remain available for use by Officers while the crisis is ongoing.

3.2 Currently, the emergency continues and there remains a need for urgent decision making under these powers. Despite the easing of restrictions by Government, a cautious approach is needed and the powers remain in place to ensure continuity should there be a second peak in Covid-19 cases in the County.

3.3 There has been some shift towards resuming Business as usual in decision-making through both Cabinet and Council using the virtual meeting regulations.

### **4 CONSULTATION**

4.1 The report is an update on the position and as a consequence there has been no consultation on the matters contained within the report.

### **5 ALTERNATIVE OPTIONS**

5.1 The Report provides an update on information regarding the actions taken and the Constitutional position.

### **6 FINANCIAL IMPLICATIONS**

6.1 There are no direct financial implications arising from this report as the report is for noting and is provided as an update.

### **7 LEGAL AND GOVERNANCE CONSIDERATIONS**

7.1 These are contained in the Report

### **8 DATA PROTECTION IMPLICATIONS**

8.1 None arising from the report.

### **9 EQUALITY IMPACT ASSESSMENT**

9.1 An Equality Impact Questionnaire is not required for this report.

### **10 COMMUNITY SAFETY IMPLICATIONS**

10.1 There are no community safety implications arising from this report.

### **11 HEALTH AND WELLBEING IMPLICATIONS**

11.1 There are no health and wellbeing implications arising from this report.

### **12 CONCLUSION AND SUMMARY OF REASONS FOR THE RECOMMENDATIONS**

12.1 It was agreed by Cabinet to review the emergency powers at Cabinet meeting to ensure that the powers are still required. The emergency response remains in

effect and the situation remains uncertain. Should circumstances become more challenging in the near future, there is a need for the emergency powers to be in place to allow for continued decision making under the Council's Scheme of Delegation

### **13 BACKGROUND PAPERS**

13.1 There are no background papers for the report.

### **14 APPENDICES**

14.1 There are no appendices to the report

A Large Print or Braille Version of this Report is available upon request – Contact 01572 722577.

**CABINET**

16 June 2020

**CHILDREN’S SERVICES IMPROVEMENT PLAN IN RESPONSE TO THE AREA**

**Report of the Strategic Director for People**

Strategic Aim:	Protecting the vulnerable	
Key Decision: No	Forward Plan Reference: FP/070520	
If not on Forward Plan:	Chief Executive Approved Scrutiny Chair Approved	
Reason for Urgency:	N/A	
Exempt Information	No	
Cabinet Member(s) Responsible:	Mr D Wilby, Portfolio Holder for Lifelong Learning, Early Years, SEND, Inclusion, Safeguarding Children & Young People	
Contact Officer(s):	Dawn Godfrey, Deputy Director - Children's Services	01572 758358 dgodfrey@rutland.gov.uk
	Mark Andrews, Strategic Director for People (DASS/DCS) and Deputy Chief Executive	01572 758339 mandrews@rutland.gov.uk
Ward Councillors	All	

**DECISION RECOMMENDATIONS**

That Cabinet:

1. Approves the Children’s Services Improvement Plan in response to the Ofsted inspection and areas for improvement identified by Ofsted.
2. Approves funding to invest in training for children’s services to improve practice in line with the areas for improvement identified by Ofsted.

## 1 PURPOSE OF THE REPORT (MANDATORY)

- 1.1 The purpose of the report is to inform Cabinet of the analysis of the areas of improvement identified by Ofsted and to seek their approval of the improvement plan produced as a result.

## 2 BACKGROUND AND MAIN CONSIDERATIONS (MANDATORY)

- 2.1 Rutland County Council was inspected by Ofsted between 2 and 13 March 2020. The overall judgement is that children's services requires improvement to be good in all areas. No children were found to be at immediate risk of harm and Ofsted recognised that we act swiftly, and urgent safeguarding concerns are addressed promptly.

### Findings overview

Judgement	Grade
The impact of leaders on social work practice with children and families	Requires improvement to be good
The experiences and progress of children who need help and protection	Requires improvement to be good
The experiences and progress of children in care and care leavers	Requires improvement to be good
Overall effectiveness	Requires improvement to be good

- 2.2 Having undertaken a thorough review of the service in the past year, the inspection did not present any unexpected findings, and the grading was in line with the authority's own self-evaluation. Overall Ofsted identified the following areas for improvement:

- Management oversight and decision-making to ensure that children's cases are comprehensively overseen and that their progress is closely reviewed.
- The quality of assessments and plans to ensure that they identify needs and lead to improvements in children's well-being.
- Commissioning and contract monitoring arrangements, to increase the sufficiency and quality of commissioned services, including placement matching for disabled children and those with complex needs.
- The housing offer for vulnerable young people and care leavers, including addressing the use of bed and breakfast accommodation.
- The use of the pre-proceedings phase of the public law outline, to ensure that parents can make changes within a legal framework and that children come into care when they need to.
- Early permanence planning for children.
- The timeliness of foster carer annual reviews.

## 3 ANALYSIS OF AREAS OF IMPROVEMENT

- 3.1 In response to the Ofsted report, senior leaders have completed an analysis of each of the areas for improvement identified. This has allowed us to fully understand the context of the improvements required and how to address these.

3.2 Management oversight and decision-making to ensure that children's cases are comprehensively overseen and that their progress is closely reviewed.

Management oversight and decision making is a key developmental area for us and one which affects all areas of practice.

Prior to the Ofsted visit we were already working with our managers around quality assurance, practice standards and how to evidence effective management oversight.

Since Ofsted visited us we have had almost an entire new frontline management team join us. Two team managers and a service manager have left the service. We currently have three new interim managers in place with a permanent team manager joining on 25<sup>th</sup> May 2020 and a permanent service manager joining in July 2020. This management change is positive for us and as a senior management team we are clear on what our expectations are for service delivery and are confident our new management team will deliver these.

3.3 The quality of assessments and plans to ensure that they identify needs and lead to improvements in children's well-being.

The quality of assessments remains mixed across the service, this is another key area for development.

Our new managers have already begun to embed a culture of quality practice, sharing good examples of assessments across the service to help others to understand what is required. The lack of management oversight over time has meant that some social workers have lost focus in relation to what good looks like and how to formulate good assessments and plans. The new team managers are challenging poor assessments and giving guidance around how these should be written in order to formulate appropriate plans.

3.4 Commissioning and contract monitoring arrangements, to increase the sufficiency and quality of commissioned services, including placement matching for disabled children and those with complex needs.

Overall our placements for children looked after are good and they have stability. We do have a challenge in relation to a small number of placements where the young people have more complex needs. There is a national shortage of placements particularly for more complex young people and the approach to identifying placements in Rutland has been bespoke to individual children. Whilst this has its advantages, there is recognition that a corporate commissioning strategy is required which articulates our shared approach, particularly for complex needs, in a more formal way.

A children's commissioning group has been established, which will oversee all commissioned services for children's services and ensure that there is clear scrutiny of contracted services to ensure they are fit for purpose and offering the high quality service required for children and young people.

3.5 The housing offer for vulnerable young people and care leavers, including addressing the use of bed and breakfast accommodation.

During the Ofsted inspection varying practice in relation to young people who find themselves homeless was identified. There were two young people where different approaches were taken and the option of section 20 accommodation (where a young person enters the care of the local authority) was explored with only one young person and not the other.

Locally there is a need for more affordable housing so that our care leavers and young people are able to remain living in County if they wish to do so. As corporate parents we are looking at how Rutland County Council responds to the local issue of housing and link with work in the local plan regarding affordable, single occupancy housing for our young people leaving care and in need of housing support.

3.6 The use of the pre-proceedings phase of the public law outline, to ensure that parents can make changes within a legal framework and that children come into care when they need to.

The use of pre-proceedings work has been poor, and the lack of management expertise has meant that work within the public law outline (PLO) has been reactive rather than proactive. We have identified that there have been past practice issues that we have now addressed, however further work is needed to embed the changes and assist social workers to plan ahead and to carry out proactive rather than reactive work.

3.7 Early permanence planning for children.

Permanence planning meetings take place monthly and are chaired by the Service Manager. There is a permanence tracker which was viewed positively by Ofsted as a tool to enable senior management oversight of cases and to ensure scrutiny of the timeliness of permanence planning for our children and young people.

We need to ensure all children looked after have a clear permanence plan and so we are increasing the frequency of permanency planning meetings to get this element of care planning on track and ensure that progress made is maintained. The Independent Reviewing Officer (IRO) is clear of the need for all children to have an appropriate permanence plan and the need to challenge when this is not in place.

3.8 The timeliness of foster carer annual reviews.

Foster carers' annual reviews are now in hand and was an area of improvement highlighted. The new panel is sitting virtually to ensure that all reviews take place despite the current restrictions and we are mindful of ensuring this progress is sustained. Historically foster carers had not been required to attend their reviews however we have changed this and all carers must now attend their reviews and detailed review reports written for panel. This was an area identified by Ofsted as improving and we will ensure progress continues through performance monitoring.

## **4 NEXT STEPS**

4.1 A new approach to the governance of improvement is already in place and management changes that were underway prior to inspection will be concluded. The Children's Services Improvement Board will report directly to Cabinet on progress and Children and Young Peoples Scrutiny Committee will also consider. The Children's Practice Oversight Group reports directly to the Improvement Board, reviewing and challenging practice quality in key areas identified by Ofsted. This will complement the existing performance management and quality assurance frameworks.

The governance structure is available at Appendix A.

4.2 Improvement actions and activities that were recognised by inspectors during the inspection will continue and the improvement plan in response to the Ofsted inspection findings is appended to this report at appendix B. This is a high level, strategic plan and is informed by the children's social care service plan and team plans which focus on more detailed planning to improve the quality of practice.

4.3 The strategic improvement plan will need to be agreed and submitted to Ofsted by the 21 July 2020.

## **5 CONSULTATION**

5.1 This report is for information only.

## **6 ALTERNATIVE OPTIONS**

6.1 Not applicable.

## **7 FINANCIAL IMPLICATIONS**

7.1 Whilst permanent recruitment is ongoing for the vacant management posts in children's social care (1 fte service manager, 2 fte team managers), these vacancies are filled by agency staff and this cost is fully offset by the permanent vacancies.

7.2 Our preferred model of practice, 'Signs of Safety'<sup>1</sup>, is being embedded and we need to invest in training children's services. The cost over the next two years is circa £49k, which includes £18k for 'train the trainer' to reduce ongoing costs. The funding of this will come from the core training budget and the remainder from social care reserves.

## **8 LEGAL AND GOVERNANCE CONSIDERATIONS**

8.1 There are no legal or governance considerations.

## **9 DATA PROTECTION IMPLICATIONS)**

9.1 A Data Protection Impact Assessments (DPIA) has not been completed.

## **10 EQUALITY IMPACT ASSESSMENT**

10.1 An Equality Impact Assessment has not been completed as it is not deemed relevant to this report.

## **11 COMMUNITY SAFETY IMPLICATIONS**

11.1 None identified.

## **12 HEALTH AND WELLBEING IMPLICATIONS**

12.1 None identified.

## **13 CONCLUSION AND SUMMARY OF REASONS FOR THE RECOMMENDATIONS**

13.1 It is recommended that Cabinet approves the Children's Services Improvement Plan in response to the Ofsted inspection and areas for improvement identified by Ofsted.

13.2 It is recommended that Cabinet approves funding of c£49k over the next two years for training for children's services to improve practice in line with the areas for improvement identified by Ofsted.

## **14 BACKGROUND PAPERS**

14.1 There are no additional papers to the report.

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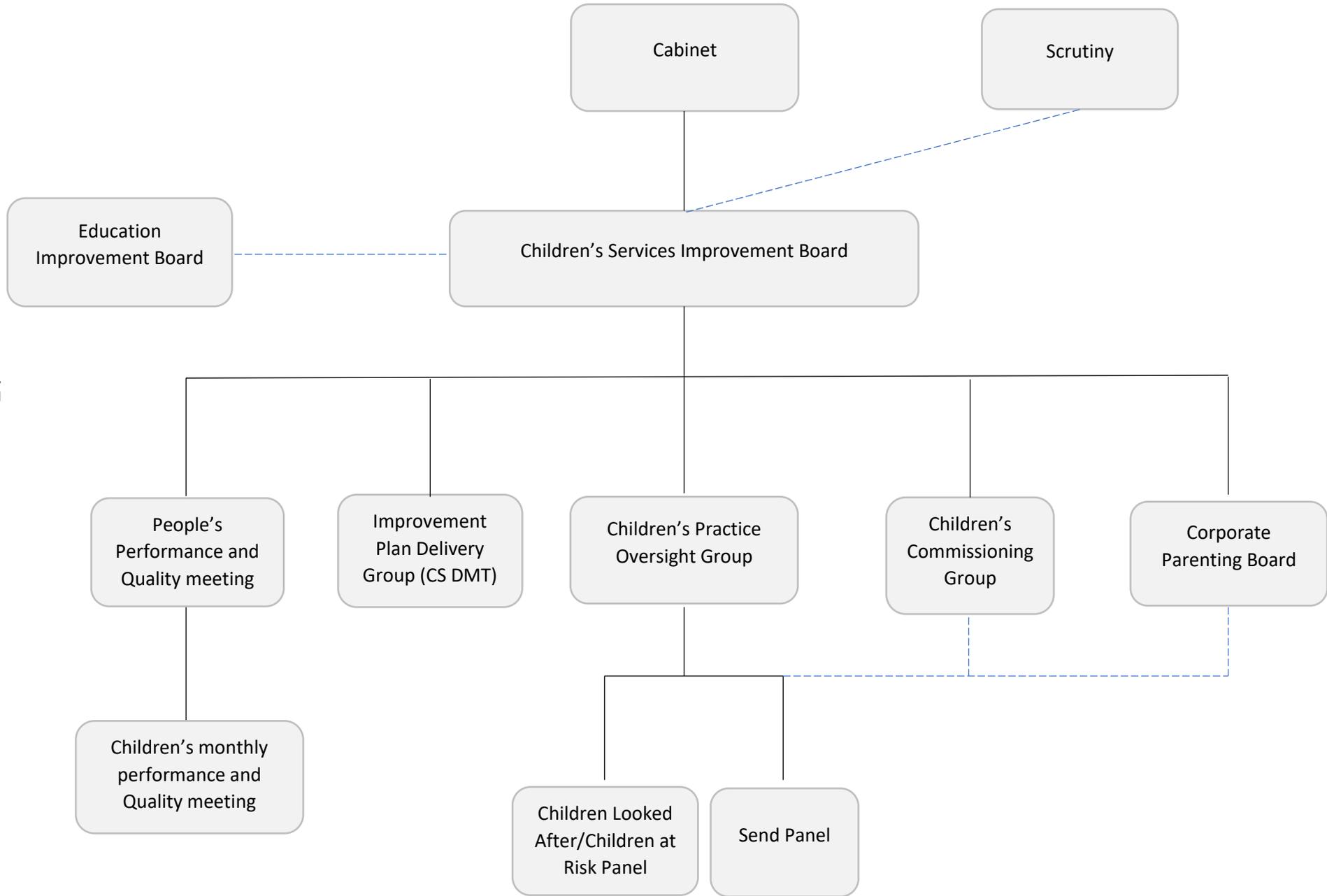
<sup>1</sup> Signs of Safety is a strength based, safety focused approach to working with children and families. It is the preferred model of practice in Rutland.

## **15 APPENDICES**

15.1 Appendix A – Improvement governance arrangements

15.2 Appendix B – Children’s Services Improvement Plan

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	<p>Lifelong Learning, Early Years, SEND, Inclusion, Safeguarding Children &amp; Young People, Children's Practice Oversight group and Children's Commissioning Group</p> <ul style="list-style-type: none"> <li>• Re-focus our quality assurance activity and use our moderation process to ensure compliance and quality of audit is embedded. Now a feature of the monthly performance meetings with the focus on identifying themes arising and working with the principal social worker to share learning with staff. Feedback from parents/carers and children needs to become embedded in this learning loop.</li> <li>• Audit compliance to be monitored by the service manager and the revised quality assurance tool used to improve practice. Audits not completed to be managed as a performance issue each month.</li> </ul>	<p>Service Manager</p> <p>Head of Service/ Service Manager</p>		
<p>The quality of assessments and plans to ensure that they identify needs and lead to improvements in children's well-being.</p>	<ul style="list-style-type: none"> <li>• All single assessments are monitored at 10 and 20 days to respond to the child's timeframe and maintain progress in this area.</li> <li>• Team managers to identify exemplars of good practice to help support others to understand what good assessments look like</li> </ul>	<p>RAIS TM</p> <p>Team Managers/Service Manager</p> <p>Independent Reviewing Officer/</p>	<p>31.07.2020</p> <p>26.06.2020</p> <p>26.06.2020</p>	<ul style="list-style-type: none"> <li>• Audits will show improvement in the quality of assessments and plans</li> <li>• Higher level of satisfaction with service offered will be recorded</li> <li>• Complaints in relation to the</li> </ul>

	<ul style="list-style-type: none"> <li>• IRO and PSW to conduct workshops on how to formulate good plans</li> <li>• Review of Liquid logic capability to look at management sign off to enable more robust practice oversight and ensure staff are no longer able to sign off their own plans and plans must now be signed off by their team manager prior to being shared with families and professionals.</li> <li>• Progression of plans is discussed routinely in supervision to ensure appropriate level of management oversight including challenge and reflection, and evidence progress being made.</li> <li>• Principal social worker and Service Manager to analyse audits monthly and highlight the actions for learning and report to the Performance meeting.</li> <li>• PSW to add actions for learning to their work plan and this is to be shared across the service and evidence collated around how this impacts on practice.</li> </ul>	<p>Principal Social Worker</p> <p>26.06.2020</p> <p>Business Intelligence team/ Service Manager/Team Managers</p> <p>26.06.2020</p> <p>Team Managers</p> <p>26.06.2020</p> <p>Service Manager/ Principal Social Worker</p> <p>Principal Social Worker</p>	<p>service will reduce</p> <ul style="list-style-type: none"> <li>• Data will show continued improvement in timeliness of assessments</li> </ul>
Commissioning and contract monitoring arrangements, to increase the sufficiency	<ul style="list-style-type: none"> <li>• Formal monthly contract monitoring meetings take place and quality assurance measures for all contracts reviewed.</li> </ul>	<p>Head of Service/Service Manager</p> <p>29/05/2020</p>	<ul style="list-style-type: none"> <li>• Clarity around all commissioned services and actions plans for</li> </ul>

<p>and quality of commissioned services, including placement matching for disabled children and those with complex needs.</p>	<ul style="list-style-type: none"> <li>• Clear policy document to be created and shared with staff around the process for commissioning placements.</li> <li>• Review corporate commissioning strategy for children's placements</li> </ul>	<p>Head of Commissioning/ Head of Service</p>	<p>31/07/2020</p>	<p>any issues raised to be presented to children's commissioning group</p> <ul style="list-style-type: none"> <li>• All staff are clear and follow the right processes for commissioning services for more complex needs.</li> <li>• Children experience more stable placements</li> </ul>
<p>The housing offer for vulnerable young people and care leavers, including addressing the use of bed and breakfast accommodation.</p>	<ul style="list-style-type: none"> <li>• A new housing protocol for homeless 16/17 year olds to be put in place with expectation around offer of S20/S17 support and management sign off of this decision.</li> <li>• Fostering offer to be developed to ensure that staying put is in place.</li> <li>• Quarterly audit of homeless 16/17 years to ensure compliance with procedure.</li> <li>• Corporate review of how Rutland responds to the local issue of housing and link with work in the local plan regarding affordable, single occupancy housing for our young people leaving care and in need of housing support</li> </ul>	<p>Head of Service</p> <p>Fostering TM/Service Manager</p> <p>Service Manager</p> <p>Deputy Director/ Strategic Director, Places</p>	<p>29/05/2020</p> <p>31/7/20</p>	<ul style="list-style-type: none"> <li>• No young people will reside in bed and breakfast accommodation</li> <li>• Clear policy in place and followed with clear audit/data.</li> <li>• Increase in numbers of those in staying put arrangements</li> </ul>

<p>The use of the pre-proceedings phase of the public law outline, to ensure that parents can make changes within a legal framework and that children come into care when they need to.</p>	<ul style="list-style-type: none"> <li>• PLO tracker in place and updated weekly by PAPS team manager</li> <li>• Monthly meetings with legal services to discuss PLO cases and ensure progression</li> <li>• Monthly PLO reports to practice oversight group and improvement board</li> </ul>	<p>Team manager PAPS</p> <p>Head of Service/ Service Manager</p>	<p>15/05/2020</p> <p>29/05/2020 31/07/2020</p>	<ul style="list-style-type: none"> <li>• Pre-proceedings work will increase- a robust tracker will be in place that can evidence the improvement in this work</li> <li>• Fewer immediate issue cases will be recorded</li> <li>• High level scrutiny of this area of practice by the children's practice oversight group and improvement board.</li> <li>• Impact will be measured through our quality assurance system.</li> </ul>
<p>Early permanence planning for children.</p>	<ul style="list-style-type: none"> <li>• Head of Service will have oversight of all permanence planning at Children Looked After and At Risk Of Care Panel and permanence tracker reviewed at fortnightly practice oversight group with progress reported to improvement board</li> <li>• Service Manager to review the permanence planning procedure to ensure</li> </ul>	<p>Head of Service</p> <p>Service Manager</p>	<p>28/4/20</p> <p>31/07/2020</p>	<ul style="list-style-type: none"> <li>• All children have a clear permanence plan</li> <li>• Permanence is achieved for children without delay</li> <li>• Data around timeliness of</li> </ul>

	<p>that this is fit for purpose and can drive changes requires.</p> <ul style="list-style-type: none"> <li>• New data set around Permanence and matching to be agreed and run monthly</li> <li>• IRO practice standards to be embedded to ensure that they champion and meet those standards for CLA. Additional IRO post to support with this emphasis.</li> <li>• IRO practice alerts are followed up and monitored for progression</li> </ul>	<p>Head of Service</p> <p>Head of Service/ Service Manager</p> <p>Service Manager</p>	<p>29/05/2020</p> <p>30/6/20</p>	<p>permanence improves</p> <ul style="list-style-type: none"> <li>• IRO challenge and footprint is evident and assists in progressing children's plans swiftly</li> </ul>
The timeliness of foster carer annual reviews.	<ul style="list-style-type: none"> <li>• Panels are scheduled and clear on expectations to sustain progress already made</li> <li>• Annual report from panel chair is completed and used to inform fostering plan</li> </ul>	<p>Fostering Manager/Service Manager</p> <p>Panel chair/Fostering Manager</p>	<p>Completed</p> <p>September 2020</p>	<ul style="list-style-type: none"> <li>• All carers are reviewed on time</li> <li>• Panel annual report is able to show challenge and scrutiny of carers</li> </ul>

### Glossary

PSW – Principal Social Worker

IRO – Independent Reviewing Officer

PLO – Public Law Outline

RAIS – Referral, Assessment and Intervention Service

PAPS – Protection and Permanence Service

## CABINET

16 June 2020

### Q4 FINANCE MANAGEMENT REPORT

**Report of the Strategic Director for Resources**

Strategic Aim:	All	
Key Decision: Yes	Forward Plan Reference: FP/070520	
Exempt Information	No	
Cabinet Member(s) Responsible:	Mr G Brown, Deputy Leader and Portfolio Holder for Planning, Environment, Property and Finance.	
Contact Officer(s):	Saverio Della Rocca, Strategic Director for Resources (s.151 Officer)	01572 758159 sdrocca@rutland.gov.uk
	Andrew Merry, Finance Manager	01572 758152 amerry@rutland.gov.uk
Ward Councillors	N/A	

#### DECISION RECOMMENDATIONS

That Cabinet:

- a) Notes the provisional outturn (subject to audit and finalisation of business rates figures) on the revenue budget and updated capital programme
- b) Approves the transfer to earmarked reserves from 19/20 underspends of £1.779m including £1.405m for ring fenced budgets
- c) Approve the use of £72k from the highways reserve to fund additional works completed due to inclement weather
- d) Recommends to Council the setting up of three new reserves and amending the ceiling of two reserves as detailed in section 2.4.3 and para 2.4.4
- e) Notes the impact of Covid-19 on the MTFP (para 2.5)
- f) Approves the Capital budget adjustments (£231k) required to fund the capital programme (para 2.5.3)

## 1 PURPOSE OF THE REPORT

1.1 To inform Cabinet and all members of the outturn position for 20/21 and to highlight issues that may impact on the Medium Term Financial Plan.

## 2 BACKGROUND AND MAIN CONSIDERATIONS

### 2.1 Overall position

2.1.1 This reports sets out the Council's outturn position. It includes:

- A summary of the revenue outturn for 19/20 (2.2)
- A summary of the position by Directorate (2.3)
- Details of amounts unspent to be carried forward for future use (2.4)
- Capital outturn (2.5)
- An update on 20/21 budget and impact of Covid-19 (2.6)

### 2.2 2019/20 Revenue Outturn

2.2.1 The last budget presented as part of the Q3 Financial Management Report (28/2020) has been amended with changes detailed in appendix A. The outturn position is shown below.

	Ref	Budget (Report 44/2019) £000	Revised Budget £000	Q3 Forecast Outturn £000	Outturn £000	Outturn Variance £000
People		18,079	18,711	18,887	18,259	(452)
Places		12,253	12,614	13,027	12,660	46
Resources		6,492	6,718	6,481	6,430	(288)
<b>Directorate Totals</b>	A	<b>36,824</b>	<b>38,043</b>	<b>38,395</b>	<b>37,349</b>	<b>(694)</b>
Pay Inflation	D	65	65	0	0	(65)
Social Care Contingency	D	300	306	0	0	(306)
<b>Net Cost of Services</b>		<b>37,189</b>	<b>38,414</b>	<b>38,395</b>	<b>37,349</b>	<b>(1,065)</b>
Depreciation		(2,310)	(2,310)	(2,310)	(2,310)	0
Capital Financing		1,764	1,764	1,764	1,647	(117)
Interest Receivable	C	(200)	(200)	(390)	(397)	(197)
<b>Net Operating Expenditure</b>		<b>36,443</b>	<b>37,668</b>	<b>37,459</b>	<b>36,289</b>	<b>(1,379)</b>
Financing	B	(36,839)	(37,022)	(37,063)	(37,775)	(753)
Transfers to/(from) reserves	A, B, E	438	(890)	(562)	864	1,754
Revenue Contribution to Capital	F	0	350	278	415	65
<b>(Surplus)/Deficit</b>		<b>42</b>	<b>106</b>	<b>112</b>	<b>(207)</b>	<b>(313)</b>
<b>General Fund 1 April 19</b>		<b>(8,970)</b>	<b>(8,963)</b>	<b>(8,963)</b>	<b>(8,963)</b>	<b>0</b>
<b>General Fund 31 March 20</b>		<b>(8,928)</b>	<b>(8,857)</b>	<b>(8,851)</b>	<b>(9,170)</b>	<b>(313)</b>

## 2.2.2 The key points to note include:

- A The Directorate outturn is a £694k surplus against the budget and is £1m less than the forecast made at Quarter 3. This position is before transfers of ringfenced funds/underspends required in future years to reserves of £955k. In effect, this means that the true position at Directorate level is a £261k deficit. Para 2.3 gives further details on each directorate position.
- B The Financing line is made up of three distinct areas Grants, Council Tax and Business Rates. The position on this elements is covered below.
- Grants – the grant position is showing a favourable position of £694k. A grant for the under-indexing of the Business Rates multiplier<sup>1</sup> of £142k was included in grants but is now payable as part of the Business Rates position. The Council received an additional grant of £864k to fund costs arising from Covid-19. As only £16k of additional expenditure was incurred in March, the remaining £848k is being transferred to reserves to be utilised in 2020/21.
  - Council Tax – the Council will receive the budgeted amount of £26.496m.
  - Business Rates – the funding received from business rates is estimated to be £60k more than budget due to additional grants received to compensate loss of income from rate reliefs administered. This position is still estimated as Business Rates figures will not be finalised until July.
- C Income received on investments has continued to be better than predicted and is £197k over budget.
- D The budget had contingency built in to support demand if it materialised. The pay contingency is there to support any changes in terms and conditions not covered by existing budgets. There was no use of this during the year. The Social Care contingency is there to support rises in demand for social care. There has been rising demand in relation to transport costs supporting the care packages but these costs are shown in Directorate budgets rather than against the contingency line.
- E The main contributions to reserves are Covid-19 Funding - £848k, budget carry forward requests - £337k (mainly relating to projects) and transfer of ring fenced grants to reserves of £557k. The detailed reserves position is shown in section 2.4.
- F The budgeted position on Revenue Contribution to Capital has changed due to an additional £72k need from the highways reserve to fund additional emergency works required on the Highways due to inclement weather. The overspend position in Revenue Contribution to Capital is down to two main areas

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<sup>1</sup> Underindexing of Business Rates relates to the Government incorrectly using Consumer Price Index rather than Retail Price Index resulting in Councils receiving less income through Business Rates.

- Demand for Disabled Facility Grants adaptations to peoples home to ensure independence has decreased resulting in slight underspend (£30k). this will be transferred to reserves to be allocated in future years due to the contribution being from ring fenced funding.
- There is also a presentation adjustment with £140k budget for highway overheads shown in the Places budget with costs included in the Capital programme.

## 2.3 Detailed Directorate Outturn and Reserve Requests

### *People Directorate*

- 2.3.1 The People Directorate is underspent by £452k. For demand led areas this amount can represent a small number of cases (5-10) so the under spend should be seen in this context. The Directorate is required to carry forward unspent ring fenced budgets of £481k (e.g. Public Health, Better Care Fund and Homelessness grants). The impact of these changes is that the Directorate is in effect overspent by c£29k.

<b>People Directorate budget</b>	<b>£'000</b>	<b>£'000</b>
(Under)/Over spend People Directorate (Excluding Dedicated Schools Grant)		(452)
Add back: ring-fenced grant underspends (£110k Public Health, £224k BCF, Homelessness £102k, Winter Pressure £22k)	458	
Add back: Adult Learning have generated more income than budgeted which is to be transferred to a reserve to offset potential losses/developments in 2020/21	20	
Add back: Budget Carry Forward for Virtual Head Funding to deliver additional responsibilities	27	
Add back: draw down from reserve to fund costs shown in the people directorate from the agreed contribution in relation to Uppingham College SEN Provision	(24)	
<b>(Under)/Over spend after transfers</b>		<b>29</b>
<b>Key variances (Excluding Transfers to Reserves):</b>		
Crime and Prevention - additional grant from Police and Crime Commissioner. Council was funding costs from General Fund so switch in funding results in saving.	(26)	
Adults and Health Demand Pressures (Direct Payments and Residential Care) (2.3.2)	507	
Adults and Health Demand Underspend (Prevention and Safeguarding, Daycare and Homecare) (2.3.3)	(296)	

<b>People Directorate budget</b>	<b>£'000</b>	<b>£'000</b>
Adults and Health Other Underspend (2.3.4)	(169)	
Childrens Demand Variance (Fostering and Adoption, Permanency and Protection and Early Intervention - Targeted Intervention) (2.3.5)	202	
Childrens Other Variance (Early Intervention - Targeted Intervention and Early Intervention - Universal and Partnership) (2.3.6)	(92)	
Other Minor Variances	(81)	
<b>Total Variance</b>		<b>29</b>

2.3.2 As reported consistently throughout the year, the key pressures in the Directorate in relation to Adults and Health have been around Direct Payments and Residential Care. The key reasons for this are:

- Direct Payments has overspent by c£100k due to two reasons: a drop in health funding of c£40k and an increase in the number of service users from 75 to 84; and
- The increase in residential costs by £407k is as a result of two additional high cost placements costing £187k and an increase in the number of service users generally. There has also been a reduction in anticipated income from Continuing Health Care (CCG Funding) of £190k.

2.3.3 Similarly with demand led services the make-up of the service users can change and have a positive impact e.g. if service users pay more towards their care. This has happened in some functions across Adults and Health:

- Prevention & Safeguarding - more self-funders using the service resulted in additional income of £38k and a drop in the overall usage of the service (£22k) gave an overall underspend of £60k;
- Support & Review - Daycare - underspend by £25k due to a service user transferring to a Direct Payment to commission their own care;
- Homecare - underspent by £87k due to lower demand for the MiCare service; and
- Community Income - more self-funders paying for their care has resulted in a favourable position of £124k.

2.3.4 There has been a number of function within Adults and Health that have underspent:

- Homelessness – Grant received to fund specific items e.g. officer time, with the full allocation not being required in future years (£16k);
- Community Inclusion Day Opportunities – the Council has charged other Councils for accessing capacity within this service (£22k); and

- Net staffing costs arising from vacancy management offset by agency spend across various services (e.g. housing, hospital and reablement) totalling £131k.

2.3.5 Similarly to Adults and Health, Childrens Services are demand led and some services have seen fluctuations in demand. These include:

- Fostering, Adoption and Care Leaver Service – this is overspent by £323k due to an additional 6 placements made at Independent Fostering Agencies (IFA's) during the year;
- Permanency and Protection Service – This is overspent by £137k for a number of reasons, including
  - a) Unaccompanied Asylum Seekers – Grant funding for supporting these service users changed in 2019/20 which resulted in funding not being sufficient to cover costs causing a pressure of £35k;
  - b) Children Looked After – the number of service users has risen from 40 to 43 during the year creating an overspend of £44k; and
  - c) Staffing – The service has utilised agency staff during the year to ensure support is maintained for service users, but this has created a pressure of £58k.
- Early Intervention - Targeted Intervention has seen demand decrease and is underspent by £258k due to a high cost placement transferring to Adults.

2.3.6 There are a number of other variances to budget across Children Services primarily due to staff savings from vacancy management and not requiring additional professional services support at the children centre.

2.3.7 The People directorate has seen an underspend movement of £628k compared to the forecast at Q3. £231k of the movement relates to reduced demand in Childrens services and the slow down in spending on ring-fenced budgets of c£267.

### ***Places Directorate***

2.3.8 The Places Directorate is overspent by £46k but is requesting that £146k of unspent functional budgets is carried forward to next year or put into reserves and a further £140k be used from Highways to be transferred to fund costs in the Capital Programme. This effectively shows that the real position is a net overspend of £332k.

<b>Places Directorate Budget</b>	<b>£'000</b>	<b>£'000</b>
(Under)/Over spend Places Directorate		<b>46</b>
Add back:		
Transfer to Reserves (Brexit Grant & Budgeted contributions for Repairs to smooth impact of repair bills at commercial properties)	75	
Transfer From Reserves (Highways Drainage Schemes, S106 Environmental Services to fund expenditure within the directorate outturn)	(52)	
Grants unused and committed in next year's budget (Neighbourhood Plans - £12k, Bikeability - £4k)	16	
Contribution to Capital (Highways Overheads) from revenue underspend	140	
Budget Carry Forwards (Local Plan & Sports Centre Tender)	107	
<b>(Under)/Over spend after transfers</b>		<b>332</b>
<b>Key variances (Excluding Transfers to Reserves):</b>		
Brexit Funding (2.3.9)	(44)	
Development Control (2.3.10)	(200)	
Highways Management (2.3.11)	65	
Commissioned Transport (2.3.12)	358	
Waste Management (2.3.13)	111	
Transport Management - Vacancy Management	(40)	
Economic Development - Vacancy Management	(33)	
Winter Maintenance - mild winter resulting in less gritting required	(50)	
Commercial Properties (2.3.13)	154	
Property Services (2.3.14)	40	
Other minor variances	(29)	
<b>Total Variance</b>		<b>332</b>

- 2.3.9 The underspend in relation to Brexit Funding is a presentational one. Grant funding of £105k is shown in the management accounts but expenditure of £61k is shown elsewhere in the outturn (rather than transferred).
- 2.3.10 The majority of the under spend in relation to Development Control is due to a number of large planning applications coming forward in the year (£172k) with the remainder due to vacancy management.
- 2.3.11 The Highway Management overspend relates to changes in legislation in respect

of advertising for road closures, increase in staff advertising costs due to long term vacancies, new software licences in 2019/20 and a reduction of income relating to new roads and Street Works.

- 2.3.12 Commissioned Transport has overspent due to increased demand. Overall numbers of students have increased from 1204 to 1273. The requirements for minibus and taxi routes have increased from 46 to 62 with some children not able to share transport and requiring passenger assistants. There have been 11 new foster care placements some spanning across Northamptonshire, Lincolnshire and Leicestershire.
- 2.3.13 The waste management function has overspent due to refuse collection indexation of 2.7% being charged for the service when initially the expectations were indexation of 2.1% (£46k). Further overspends of (£65k) relate to increasing tonnages of waste collected.
- 2.3.14 The overspend at Oakham Enterprise Park is due to a shortfall in rents from voids (£57k), bad debt/void provisions have increased in light of Covid-19 (£48k), operating costs and repairs have also overspent by £57k. This has been partly mitigated by small surpluses from King Centre, Pit Lane and Ashwell Business Park.
- 2.3.15 Property Services budget includes an element of staff recharged to deliver the Councils Property Capital Programme. Due to a number of projects being delayed or cancelled (e.g. OEP Phase 2), there has been a shortfall in the amount that can be recharged.
- 2.3.16 The Places directorate has seen a favourable movement of £367k since Q3. The key movement is in relation to underspend on grants (Brexit 45k, Bikeability £5k), better than predicted income in relation to planning £85k, underspends in relation to Highways overheads of £140k, change in expected winter maintenance due to a mild winter £60k, reprofiling of local plan expenditure of £85k and changes in provisions of Commercial Properties overspent by £118k.

### **Resources Directorate**

- 2.3.17 The Resources Directorate is underspent against budget by £287k. With the Directorate requesting that £197k relating to projects is carried forward to next year/put into earmarked reserves for future use, the real under spend is £90k.

<b>Resources Directorate Budget</b>	<b>£'000</b>	<b>£'000</b>
(Under)/Over spend Resources Directorate		<b>(287)</b>
Add back:		
Unused funds already committed in future years budget (Elections)	47	
Budget Carry Forwards (Customer Services & St Georges)	150	
<b>(Under)/Over spend after transfers</b>		<b>(90)</b>

<b>Resources Directorate Budget</b>	<b>£'000</b>	<b>£'000</b>
<b>Key variances (Excluding Transfers to Reserves):</b>		
Business Support (2.3.16)	(65)	
Members Services – underspend due to vacancies during the year	(30)	
Legal & Governance (2.3.17)	247	
Human Resources (2.3.18)	(45)	
Revenues & Benefits (1.2.19)	(138)	
Other minor variances	(59)	
<b>Total Variance</b>		<b>(90)</b>

- 2.3.18 The surplus in Business Support mainly relates to vacancies within the service (£36k). The remaining surplus related to reduced demand in reprographics and postage owing to reduced printing.
- 2.3.19 The legal position is due to use of agency staff (£25k), underachievement of recharges (£20k), high litigation costs relating to Planning, Adult Social Care and SEN Tribunals across the Council (£170k) and employment tribunal (£25k).
- 2.3.20 The under spend within Human Resources is largely down to vacancy management (£35k) and a small amount relating to the Chief Executive recruitment process which continues into 20/21.
- 2.3.21 Salary savings arising from vacancy management (£31k) and better recovery of Housing Benefit overpayments than expected (£107k).
- 2.3.22 The Resources directorate movement from Q3 was £51k favourable. There was a large movement on Legal Services of £140k additional expenditure due to high litigation costs being offset by a number underspends (vacancy management £12k, Member Expenses due to vacancies £30k, Printing/postage £30k, £35k for Housing Benefit Overpayment recovery and £40k in relation to customer services.

## 2.4 Reserves Position

- 2.4.1 The Council planned to use £767k from earmarked reserves during 2019/20 including Budget Carry Forward at Quarter 3. A summary of the planned and actual movement in reserves is shown below.

	<b>Budget 2019/20 Q3 £'000</b>		<b>Actuals 2019/20 £'000</b>	
<b>Balance @ 01/04/2019</b>		<b>(1,204)</b>		<b>(1,328)</b>
Use of Reserves	(1,204)		(1,328)	
Transfer to Reserves	438	(766)	2,192	864
<b>Balance @ 31/03/2020</b>		<b>(438)</b>		<b>(2,192)</b>

2.4.2 The transfer back to reserves totalling £2.192m are broken down by category below. The Directorate appendices (C) show the full list of transfers.

	<b>Total Transfer</b>	<b>Budgeted Transfer</b>	<b>For Approval</b>
	<b>£'000</b>	<b>£'000</b>	<b>£'000</b>
Transfers to ring fenced reserves e.g. Better Care Fund, Public Health	334	0	334
Grant transferred to reserves to meet future demand e.g. Covid, Homelessness, Brexit* and Winter Pressures	1,176	105	1,071
Budget Carry Forward	337	0	337
Contribution to NNDR Reserve to smooth out impact of accounting treatment	106	106	0
Amount to be transferred to earmarked reserves (Invest to Save £27k*, UCC Agreed Contribution £175*, Repairs Reserve £10k and Adult Learning £20k)	239	202	37
<b>Total Transfer to Reserves for 2019/20</b>	<b>2,192</b>	<b>413</b>	<b>1,779</b>

\* Budgeted transfers to reserves

2.4.3 The Council is being asked to transfer £880k into three new reserves as follows:

- Covid-19 Reserve – the Council received an additional grant of £864k to fund Covid-19 pressures. Of the £864k, only additional expenditure of £16k was incurred with the remaining £848k being transferred to reserves to be utilised in 2020/21. We are asking the ceiling to be set as unlimited as we are unsure of future funding requirements or how much funding the Council will receive to support the pandemic.
- Rutland Adult Learning – The adult learning service has outperformed budget during 2019/20 by £20k. It is requested that this is transferred to a specific reserve to support the service in the future and offset any losses. The ceiling is requested to be set at £100k for this reserve
- Neighbourhood Plans – The Council received grant in 2019/20 was not fully spent and will be placed into a reserve to be drawn down as required to support production of Neighbourhood Plans.

2.4.4 There are two reserves where it is requested that ceilings are increased as follows:

- Business Rates – the current ceiling is set to £400k, it is requested this be increased to £450k to ensure sufficient capacity to smooth impact of NNDR movements on the Council MTFP.
- Brexit – The currently ceiling is set to £210k mirroring the amount received from Government not required in 2019/20. Due to the under spend on the grant in 2019/20 of £46k will be added to the reserve and the ceiling is requested to be increased to £300k.

2.4.5 A full list of earmarked reserves is shown below.

<b>Reserve</b>	<b>Reserve Ceiling 2019/20</b>	<b>Balance 01/04/2019</b>	<b>Use 2019/20</b>	<b>Top Up 2019/20</b>	<b>Balance 31/03/2020</b>
Invest to Save	500	272	0	27	299
Internal Audit	20	20	0	0	20
Welfare Reserve	170	162	0	0	162
Training	80	75	0	0	75
Highways	550	508	(85)	0	423
Brexit	210	105	0	161	266
Extreme Weather	100	100	0	0	100
Tourism	40	32	0	0	32
Insurance & Legal	200	180	0	0	180
Digital Rutland	37	25	0	0	25
Social Care (1)	Unlimited	1,035	0	330	1,365
Pressure	1,000	475	0	0	475
Public Health	Unlimited	316	(188)	110	238
Better Care Fund	Unlimited	439	(236)	224	427
NNDR	400	332	0	106	438
Rutland Adult Learning		0	0	20	20
Covid		0	0	848	848
Neighbourhood Plans		0	0	12	12
Repairs Reserve	500	110	0	17	12
Budget Carry Forward (2)	Unlimited	780	(780)	337	127
<b>Total</b>		<b>4,966</b>	<b>( 509)</b>	<b>2,192</b>	<b>5,544</b>

1) Additional Top up approved at budget setting for addressing the pressure on the Dedicated Schools Grant.

2) Subject to Cabinet Approval

## 2.5 Capital Update

2.5.1 The Council spent £4.076m on the capital programme in 19/20. The following table sets out the position against the capital programme as at 31<sup>st</sup> March 2020. A full list of approved schemes is shown in Appendix B.

	<b>Total Project Budget</b>	<b>Prior Years Outturn</b>	<b>Outturn 19/20</b>	<b>Future Year Outturn</b>	<b>Total Outturn</b>	<b>Total Project Variance</b>
	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>	<b>£000</b>
<b>Capital Projects: On Hold</b>						
Commercialisation	10,200	0	0	0	0	(10,200)
Asset Management	3,429	375	2	0	376	(3,053)
Strategic Aims and Priorities	500	343	0	0	343	(157)
<b>Total: On Hold</b>	<b>14,129</b>	<b>718</b>	<b>2</b>	<b>0</b>	<b>720</b>	<b>(13,409)</b>
<b>Capital Projects: Not Started</b>						
Asset Management	687	0	0	687	687	0
Strategic Aims and Priorities	440	0	0	440	440	0
<b>Total: Not Started</b>	<b>1,127</b>	<b>0</b>	<b>0</b>	<b>1,127</b>	<b>1,127</b>	<b>0</b>
<b>Capital Projects: In Progress</b>						
Commercialisation	110	0	66	44	110	0
Asset Management	660	33	214	413	660	0
Strategic Aims and Priorities	7,269	4,363	920	1,986	7,269	0
<b>Total: In Progress</b>	<b>8,039</b>	<b>4,396</b>	<b>1,200</b>	<b>2,443</b>	<b>8,039</b>	<b>0</b>
<b>Capital Projects: Completed</b>						
Commercialisation	0	0	3	0	3	3
Asset Management	3,440	386	2,809	0	3,195	(245)
Strategic Aims and Priorities	70	6	62	0	68	(2)
<b>Total: Completed</b>	<b>3,510</b>	<b>392</b>	<b>2,874</b>	<b>0</b>	<b>3,266</b>	<b>(244)</b>
<b>Total</b>	<b>26,805</b>	<b>5,506</b>	<b>4,076</b>	<b>3,570</b>	<b>13,152</b>	<b>(13,653)</b>

2.5.2 The capital expenditure incurred in the year has been financed as follows:

	<b>Outturn 2019/20</b>
	<b>£000</b>
<b>Financed by:</b>	
Grants	3,355
Capital Receipts	140
Developers Contributions	166
Revenue contribution to capital	415
<b>Total Financing</b>	<b>4,076</b>

2.5.3 The approved capital programme was £26.373m as per the 2019/20 Quarter 3 Budget Monitoring Report (Report No: 28/2020). The net change to the capital programme is £432k, therefore giving a revised capital programme of £26.805m

	Project	Amount £000	Amount £000
<b>Approved Capital Programme (Budget Setting 39/2020)</b>			<b>26,622</b>
<b>New Capital Programme – Requesting Approval</b>			
Asset Management Requirements	Highways – Overheads (Revenue & Capital Split) para 2.5.4	141	
Asset Management Requirements	Highways – Additional Core Projects para 2.5.5	72	
<b>Total New Capital Programme – Requesting Approval</b>			<b>213</b>
<b>Re-profiling</b>			
Strategic Aims and Priorities	Disabled Facilities Grant (Winter Pressures funding) para 2.2.6	(30)	
<b>Total Cancelled Capital Programmes</b>			<b>(30)</b>
<b>Total Adjustments to Capital Programme</b>			<b>183</b>
<b>Revised Capital Programme 2019/20</b>			<b>26,805</b>

2.5.4 Highways Overheads – The Tarmac overheads for highways is budgeted at a 50/50 split between capital and revenue. At the year-end a higher proportion of the overheads was allocated to the capital programme. This was funded from a revenue contribution from the original revenue budget allocated. Overall the Tarmac overheads have come in on budget.

2.5.5 Highways Additional Core Projects – The additional projects are a result of adverse weather conditions resulting for additional emergency works to our network. The projects will be funded from the Highways reserve.

2.5.6 Disabled Facility Grant and Winter Pressures – At the start of the financial year a contribution of £39k was made from the winter pressures funds. This was to support Health and Prevention (HaP) projects based on previous year demand. The level of projects in 2019/20 was lower than expected, therefore £30k was transferred to reserves to support delivery in future years.

2.5.7 As at 31<sup>st</sup> March 2020 the approved capital programme was £26.805m. The table below reflects the changes in the capital programme so far this year. At the time of writing this report the revised capital programme for 2020/21 is £25.419m.

	<b>Project</b>	<b>Amount £000</b>	<b>Amount £000</b>
<b>Approved Capital Programme (as at 31<sup>st</sup> March 2020)</b>			<b>26,805</b>
<b>Completed Capital Project: Year end 2019/20</b>			
Asset Management Requirement	Various (See Appendix B for further details)	(3,440)	
Strategic Aims and Priorities	Various (See Appendix B for further details)	(70)	
<b>Total Completed Capital Projects: Year end 2019/20</b>			<b>(3,510)</b>
<b>Approvals Since 1<sup>st</sup> April 2020</b>			
Asset Management Requirements	Highways	1,957	
Asset Management Requirements	Schofield Rd Culvert (£40k S106, £46k third part contribution)	86	
Commercialisation	Oakham Enterprise Park (Capital Receipts)	81	
<b>Total Approvals Since 1<sup>st</sup> April 2020</b>			<b>2,124</b>
<b>Revised Capital Programme 2021/22</b>			<b>25,419</b>

### 3 2020/21 UPDATE

#### 3.1 Overview

3.1.1 This section of the report summarises the Council's financial position in respect of Covid-19 and other updates. This section is not exhaustive but aims to cover key issues albeit in many areas we are still working with uncertainty. It covers:

- funding received (3.2);
- the amount the Council has spent or is expected to spend as a result of measures taken to respond to Covid-19 - spend which the Council would not have ordinarily incurred and the funding position (3.3);
- the impact of the MTFP of lost income/additional expenditure incurred as the Council has adapted its service offer (3.3);
- other updates to the MTFP (3.3); and
- details of the financial measures put in place by Government in respect of Business grants and reliefs and how the Council has dealt with these (3.4).

#### 3.2 Funding received

3.2.1 The table below shows the funding the Council has received in relation to Covid-19 (this excludes business grants).

<b>Funding</b>	<b>Allocation</b>	<b>Summary of Use</b>	<b>RCC End Recipient</b>
Emergency support for rough sleepers	-	Claimed through North West Leicestershire	No
Council Tax - Covid-19 Hardship Fund	£ 121,611	The hardship fund will be used to provide council tax relief, alongside existing local council tax support schemes.	No
Covid 19 Emergency Funding	£1,970,373	To support Local Government response to Covid	Yes
Infection Control Fund	£ 458,233	Each care home should receive an amount per CQC registered bed, representing 75% of the funding. The remaining 25% must be used for infection control measures based on need. This may involve support for domiciliary care workforce measures.'	No
COVID-19 Bus Services Support Grant	£ 41,697	Pay over to Bus Operators for loss of Income	No
Early Discharge	£ 7,200	Re-imburse additional costs in relation to early discharges. Additional costs reclaimed from the CCG. Amount shown is the amount claimed from the CCG.	Yes
Reopening High Streets Safely Fund guidance	£ 35,627	Allow local authorities in England to put in place additional measures to establish a safe trading environment for businesses and customers, particularly in high streets, through measures that extend to the end of March 2021.	Yes

### 3.3 MTFP impact

3.3.1 The impact on the MTFP has been assessed and will continue to be monitored. In general terms, Covid-19 has had the following broad impacts on our financial position:

- Additional expenditure may be incurred that is not covered by Government funding;
- Some services generating income are no longer in operation as the Council has reviewed its service offer in light of Government advice and is only running essential services; and
- Key areas where the Council collects income (council tax, business rates, rents) are likely to see reduced recovery rates, losses and bad debts.

3.3.2 The impact may be softened by savings in some areas and the additional funding highlighted above but as the Council continues to pay staff and suppliers (in line with national requirements), this is unlikely to make a significant difference.

3.3.3 We are reviewing the position across all areas and the latest estimate is as

follows:

<b>Assumption</b>	<b>Comments/assumptions</b>	<b>Financial Impact</b>
<b>Additional Expenditure</b>		
Increased costs of Social Care	This assumes a 5% increase on current costs. This includes the impact of paying providers an additional 10% for 3 months (this is still to be decided) plus a prudent view on increased demand and the need to cover staff absences.	670,000
Agency / Interim Social Care Support	Additional support now in post	50,000
Public Open Spaces	Re-opening play areas will require additional cleansing costs (sanitising equipment)	10,000
Public Protection	Additional Mortuary Costs (£50k) plus additional resource to catch up with paused safety inspections (£10k)	60,000
Waste	Additional waste due to lockdown as people at home more	20,000
Transport	Additional Routes for School transport / PPE to meet Government Guidelines (approx. 20% increase in budget)	322,500
Additional Costs (extra equipment, overtime etc.)	Including additional reboot costs and WFH provisions and Legal costs in relation to contract extension	200,000
Operation Shield	Costs of supporting the most vulnerable inc food box delivery	133,000
Bus Service Operators Support	Recompense Bus Operators for loss of Income	41,697
Bus Operators Support Grant	Grant to Local Authorities to support Bus Operators	(41,697)
Infection Control	Support Infection Control across Rutland – 75% is being passported to care homes	458,233
Infection Control Funding	Grant to support Local Authorities in Infection Control	(458,233)
<b>Loss of Income</b>		
Parking	50% Loss of Income over the Year	253,000
Development Control	30% Drop in Planning Fee Income	157,000
Planning Policy	Drop in 30% in CIL income (impact on 5% admin fee)	9,000
Highways	Permit Charges £90k – new scheme not able to be implemented. Traffic Road Orders likely to see drop off c70% (c£107k), however this will be slightly offset by a reduction in advertising costs (c£20k). Road Adoption Income down 50% (£17k)	194,000
Registrars	75% drop off in income for 2020/21	94,000
Licensing	Assumed reduction in income c15%	10,000

<b>Assumption</b>	<b>Comments/assumptions</b>	<b>Financial Impact</b>
Castle/Museum Bookings	Assume Nil for 2020/21 as unlikely to be any events during the summer.	40,800
Building Control	30% drop off for 2020/21	12,000
Commercial Property	Impact taken in 2019/20 (£138k) see para 2.3.14 plus budgeted bad debt provision and void provision in 2020/21 (£86k).	-
Active Rutland Hub	Room hire expected to reduce by £10k due to closure of the building	10,000
School Sports	Service not provided therefore unable to recharge schools	25,000
Interest Rate drop / Cashflow drop	With interest rates at 0.1%, cashflow and interest projections suggest a significant reduction in investment income.	154,000
Bad Debt Provision Increase	Increase in bad debts coming forward	75,000
<b>Grants</b>		
Core Covid grant	Amount of grants paid to date by Central Government	(1,728,000)
<b>Impact to MTFP 20/21</b>		<b>771,300</b>
<b>Non-Covid Financial Impact</b>		
Deputy Director Places	Expected to be vacant for 6 months	(55,000)
Head of Service Environmental Services	Cost of Agency cover for the post	29,000
<b>Net MTFP Impact 2020/21</b>		<b>745,300</b>
<b>2021/22</b>		
Council Tax Bad Debt (deficit on collection Fund)*	Many taxpayers are asking for deferred payment so catch up will be required. Figures assume collection levels drop by 1.5%.	477,000
Additional Hardship fund grant	This is additional hardship funding that will offset some of the Council tax losses above.	(121,000)
Business Rates Bad Debt (Deficit on Collection Fund)	The amount that will be collected on business rates has reduced due to the number of additional reliefs given. The Council still expect a drop in collection rates.	100,000
<b>Impact on 2021/22</b>		<b>456,000</b>
<b>Total Impact to MTFP</b>		<b>1,201,300</b>

\*It's likely that this will continue beyond 2021/22, although reducing over the period of the MTFP.

3.3.4 If these projections came to fruition then the impact on the General Fund over the next 5 years would be as per the table below.

	2020/21 £	2021/22 £	2022/23 £	2023/24 £	2024/25 £
Pre Covid General Fund Opening Balance	8,653,930	8,643,335	7,875,997	6,500,445	4,880,544
Budgeted Use of Reserves	(10,595)	(767,338)	(1,375,552)	(1,619,901)	(2,182,261)
Pre Covid General Fund Closing Balance	8,643,335	7,875,997	6,500,445	4,880,544	2,698,283
Impact of 2019/20 Outturn	336,000				
Impact of Covid	(771,300)	(456,000)	(250,000)	(150,000)	(75,000)
Other Impact	26,000				
Revised Closing General Fund Balance	8,234,035	7,010,697	5,385,145	3,615,244	1,357,983
<b>COVID-19 Impact</b>	<b>(409,300)</b>	<b>(865,300)</b>	<b>(1,115,300)</b>	<b>(1,265,300)</b>	<b>(1,340,300)</b>

### 3.4 Government measures – Business grants

3.4.1 Two of the key measures put in place by Government has been to reduce business rate bills for small businesses and businesses in the retail, leisure and hospitality industry and to support the same businesses with grants of either £10k or £25k. The Council's progress in implementing these measures is shown below.

3.4.2 We have also received an additional £575k to pay additional discretionary business grants. At the time of writing the Council is devising its own local scheme.

3.4.3 This position changes regularly and the figures shown are best estimates at the time of writing the report

Measure	Rationale	Data
Amount of Relief Given	Shows how much relief has been given out as per the government announcements	SBRR - 956 - £2,075,856 Retail - 354 - £4,902,979 Nurseries – 9 - £42,020
Number of Zero Bills	Shows the number of business that will get Zero bills this year to support small businesses and businesses in the Retail/Leisure industry	SBRR – c940 Retail – 249
Business Grants Paid	Shows the value of grants paid out to businesses claiming either the £10k or £25k grant.	£11,000,000

## 4 OTHER UPDATES

### 4.1 Debts

4.1.1 In late March and early April, the Council took decisions designed to support local businesses and taxpayers from having to worry about debts at a time when health and wellbeing was the primary concern. These include:

- a) Due to the impact of Covid-19 the Council took the decision to defer rental payments for three months for commercial properties for businesses that needed it. The number of deferrals granted was 63 equating to £46k per month of rent due. In May, it was agreed to extend the option of deferral to the end of August subject to those businesses agreeing a repayment plan with the Council. Discussions with businesses will now take place over the next 6 weeks.
- b) In relation to Council Tax, in late March the Council has temporarily suspended recovery action given the financial circumstances experienced by many people. Whilst many direct debit payers have continued to pay, some taxpayers opted to start their 10 monthly instalment payments in June rather than April.
- c) The Council has also suspended some billing e.g. licensing given that certain businesses were required to close.

4.1.2 The impact of these measure will mean that when the Council returns to normal operations, there will need to be significant resources invested to address the impact of each decision. In relation to debts in particular, individual discussions will be required to fully understand circumstances of individuals/businesses and to find the fairest way of recovering any debts. This could include the agreement of payment plans spanning multiple years. This will clearly impact collection rates and the Councils overall debt position. Allowances for this are included in section 3.

### 4.2 Schools Funding

4.2.1 Schools are funded from ring fenced grants, the most notable of which is the Dedicated Schools Grant (DSG). This funding cannot be used for any other Council function, and essentially schools operate within their own fund with any under or over expenditure being taken forward into future years.

4.2.2 The table below shows the outturn on the DSG.

	<b>Schools £000</b>	<b>High Needs £000</b>	<b>Early Years £000</b>	<b>Central Schools £000</b>	<b>Total £000</b>
<b>Surplus/(Deficit) Carry Forwards from 2018/19</b>	<b>0</b>	<b>(157)</b>	<b>24</b>	<b>21</b>	<b>(112)</b>
DSG Allocations prior to recoupment and deductions	23,453	3,867	1,872	163	<b>29,355</b>

	<b>Schools £000</b>	<b>High Needs £000</b>	<b>Early Years £000</b>	<b>Central Schools £000</b>	<b>Total £000</b>
for direct funding of high needs places by ESFA					
Difference in Clawback			117		<b>117</b>
Transfer between blocks	(117)	117	0	0	<b>0</b>
Academy Recoupment	(21,669)	(176)	0	0	<b>(21,845)</b>
<b>Expenditure in Year</b>	<b>(1,648)</b>	<b>(4,108)</b>	<b>(1,879)</b>	<b>(147)</b>	<b>(7,782)</b>
<b>Under/(Over) spends in 2019/20</b>	<b>19</b>	<b>(300)</b>	<b>110</b>	<b>16</b>	<b>(155)</b>
<b>Surplus/(Deficit) Carried Forward to 2020/21</b>	<b>19</b>	<b>(457)</b>	<b>134</b>	<b>37</b>	<b>(267)</b>
<b>Percentage of DSG</b>	<b>0.06%</b>	<b>1.56%</b>	<b>0.46%</b>	<b>0.13%</b>	<b>0.91%</b>

4.2.3 As reported consistently during the year the main area for concern is around the High Needs element of the DSG. The Council has agreed with Schools Forum a recovery plan to address some of the issues for the overspend. However, if trends continue then this alone will not be enough to turn the position around. The national review may address some of the issues with the current system.

4.2.4 The Councils funding for 2020/21 is £4.248m which would be enough to meet the cost of the current cohort children, but does not leave any contingency for rising demand, trends would indicate the Council will see. It is unlikely that the deficit will be clawed back in the short term.

## **5 CONSULTATION**

5.1 Formal consultation is not required for any decisions being sought in this report. Internal consultation has been undertaken with all officers regarding pressures and forecasts.

## **6 ALTERNATIVE OPTIONS**

6.1 Cabinet are requested to make decisions about whether unspent budgets should be carried forward to 2020/21. In many cases, it should be noted that officers may have already committed such budgets (i.e. work may have been started but not finished) or plan to do so for service delivery in 2020/21. Cabinet can choose to approve the carry forwards or could still request that budget managers assess whether such expenditure can be absorbed within existing budgets or savings made elsewhere. Where this is not possible, there may be budget pressures later in the year.

6.2 Members are also being asked to make additional contributions to earmarked reserves. Members could choose to retain all funds in the General Fund Reserve rather than to prop up earmarked reserves. The former is not the preferred option for the reason that the establishment of earmarked reserves recognises that funds are likely to be needed for a specific cause. Retaining such funds in a General

Reserve could give the impression that the Council's financial health is better than what is actually the case.

## **7 FINANCIAL IMPLICATIONS**

7.1 The report highlights the impact of the forecast on the MTFP. General Fund balances will increase by c£230k in compared to a budgeted decrease of £110k in relation to the 2019/20 Outturn.

7.2 The report also provides an update on the MTFP for 2020/21 which shows that it is estimated that the impact of Covid will have a negative effect on the MTFP by c£1.2m. This position is still uncertain and further updates will be required.

## **8 LEGAL AND GOVERNANCE CONSIDERATIONS**

8.1 The Financial Procedure Rules (FPRs) allow Cabinet to approve budget carry forwards from one period to the next and put additional funds in earmarked reserves up to the approved ceiling value.

8.2 The FPRs allow Council to establish a new reserves and set/revise ceilings for existing earmarked reserves.

8.3 There are no legal implications arising from this report.

## **9 EQUALITY IMPACT ASSESSMENT**

9.1 An Equality Impact Assessment (EqIA) has not been completed because there are no service, policy or organisational changes being proposed.

## **10 DATA PROTECTION IMPLICATIONS**

10.1 A data protection impact assessment has not been completed as there are no data protection implications.

## **11 COMMUNITY SAFETY IMPLICATIONS**

11.1 There are no community safety implications.

## **12 HEALTH AND WELLBEING IMPLICATIONS**

12.1 There are no health and wellbeing implications.

## **13 CONCLUSION AND SUMMARY OF REASONS FOR THE RECOMMENDATIONS**

14 As the Council is required to make savings over the medium term, the outturn position is positive compared to Quarter 3. The approval of budget carry forwards will allow the 2020/21 budget to be updated to reflect spending plans.

## **15 BACKGROUND PAPERS**

15.1 None

**16 APPENDICES**

Appendix A: Approved Budget Changes 2019/20

Appendix B: Capital position

Appendix C: Directorate Forecasts

A Large Print or Braille Version of this Report is available upon request – Contact 01572 722577.

## Appendix A: Approved Budget Changes

This Appendix shows changes to functional budgets and other budget changes. In accordance with FPR's, Cabinet can approve virements in any functional budget of up to £250k in any one year to a cumulative value of £500k across all functions. Changes above £500k must be approved by Council on a recommendation from Cabinet. In approving requests, Cabinet or Council may agree the use of earmarked reserves (ER), use the General Fund (GF) or make virements between directorates.

For the purposes of the rules, Cabinet is allowed to use earmarked reserves (approved by Council) in an unlimited way as long as they are used for their intended purpose and is allowed to carry forward unused budget from one period to the next so use of these reserves are not counted against the delegated limit for functional budget changes and shown as "Cabinet Other".

Description	Net Cost of Services £000	Capital Financing £000	Funding £000	Transfer to/(from) Reserves £000	Spend on Capital £'000	(Surplus)/ Deficit £000	Cabinet* £500k Limit £000	Cabinet Other £000	Council £000	Ch Exec. s151 Officer £000
<b>Approved Budget Q3 (28/2020)</b>	<b>38,413</b>	<b>(746)</b>	<b>(37,022)</b>	<b>(767)</b>	<b>278</b>	<b>156</b>	<b>278</b>	<b>313</b>	<b>0</b>	<b>496</b>
i) Highways Additional Capital Expenditure				(72)	72	0		0		
<b>Approved Budget at Q4</b>	<b>76,826</b>	<b>(746)</b>	<b>(37,02)</b>	<b>(839)</b>	<b>350</b>	<b>156</b>	<b>278</b>	<b>313</b>	<b>0</b>	<b>496</b>

i) Additional budget to fund emergency works required on the Highways due to inclement weather.

## Appendix B: Capital Programme

Project Description	Approved at Budget Setting	New Projects approved	Total Project Budget	Prior Year Outturn	2019/20 Outturn	Estimated Future Year Outturn	Estimated Project Outturn	Project Over / (Under) Spend	Projects Status	Total Project as at 1 <sup>st</sup> April 20
	£000	£000	£000	£000	£000	£000	£000	£000		£000
Oakham Enterprise Park	110	0	110	0	66	44	110	0	In progress	110
St Georges- Officers Mess	0	0	0	0	3	0	3	3	Completed	0
Investment Properties	10,000	0	10,000	0	0	0	0	(10,000)	On Hold	10,000
Invest to Save (New 2019/20)	200	0	200	0	0	0	0	(200)	On Hold	200
<b>Total Commercialisation Capital Programme</b>	<b>10,310</b>	<b>21,075</b>	<b>10,310</b>	<b>0</b>	<b>69</b>	<b>44</b>	<b>113</b>	<b>(10,197)</b>		<b>10,310</b>
School Maintenance	455	0	455	389	41	20	449	(6)	Mixed Status	36
School Capacity & Feasibility	36	0	36	0	0	36	36	0	In progress	36
Increase School Places	3,001	0	3,001	34	0	0	34	(2,967)	On Hold	3,001
Highways Capital Projects	2,440	213	2,653	0	2,547	0	2,547	(105)	Completed	0
Integrated Transport Block	1,322	0	1,332	23	222	944	1,188	(134)	Mixed Status	1,082
Barleythorpe Road Car Park	6	0	6	3	0	3	6	0	In Progress	6
Oakham Town Centre	428	0	428	341	2	0	342	(86)	On Hold	428
Museum Roof	102	0	102	4	86	12	102	0	In Progress	102
Catmose Boiler Renewal	98	0	98	0	99	0	99	1	Completed	0
Air Conditioning Unit	30	0	30	0	28	0	28	(2)	Completed	0
Future Maintenance Requirements	85	0	85	0	0	85	85	0	Not Started	85
<b>Total Asset Management Requirements Capital Programme</b>	<b>8,003</b>	<b>213</b>	<b>8,216</b>	<b>794</b>	<b>3,025</b>	<b>1,099</b>	<b>4,918</b>	<b>(3,298)</b>		<b>4,776</b>
Devolved Formula Capital	11	0	11	0	11	0	11	0	Completed	0
Devolved Formula Capital 2019/20	11	0	11	0	0	11	11	0	Not Started	11
Disabled Facilities Grant	278	(30)	248	0	176	72	248	0	In Progress	248

Project Description	Approved at Budget Setting	New Projects approved	Total Project Budget	Prior Year Outturn	2019/20 Outturn	Estimated Future Year Outturn	Estimated Project Outturn	Project Over / (Under) Spend	Projects Status	Total Project as at 1 <sup>st</sup> April 20
	£000	£000	£000	£000	£000	£000	£000	£000		£000
Disabled Facilities Grants 2019/20	238	0	238	0	0	238	238	0	Not Started	238
SEND	1,049	0	1,049	3	378	668	1,049	0	In Progress	1,049
Sports Grants	500	0	500	343	0	0	343	(157)	On Hold	500
Rutland Agricultural Society	70	0	70	0	0	70	70	0	Not Started	70
Oakham Castle Restoration	2,400	0	2,400	2,167	139	94	2,400	0	In Progress	2,400
Digital Rutland	3,283	0	3,283	2,168	62	1,053	3,283	0	In Progress	3,283
S106 – Third Part Payment	65	0	65	12	10	43	65	0	In Progress	65
Gt Casterton C of E Primary S106	43	0	43	0	0	43	43	0	Not Started	43
Ketton Centre (Library & Hub)	7	0	7	0	0	7	7	0	Not Started	7
9 Buckingham Road - Extension	225	0	225	13	156	56	225	0	In Progress	225
IT Projects	128	0	128	6	50	70	127	(1)	Mixed Status	70
<b>Total Strategic Aims and Priorities Capital Programme</b>	<b>8,309</b>	<b>(30)</b>	<b>8,279</b>	<b>4,712</b>	<b>982</b>	<b>2,426</b>	<b>8,120</b>	<b>(159)</b>		<b>8,209</b>
<b>Total Capital Programme</b>	<b>26,622</b>	<b>183</b>	<b>26,805</b>	<b>5,506</b>	<b>4,076</b>	<b>3,570</b>	<b>13,151</b>	<b>(13,653)</b>		<b>23,296</b>

## Appendix C1: People Budget Monitoring Summary

Function	Revised Budget	Q3 Forecast	Q4 Outturn	Variance to Budget	Budget C/fwd	Transfers to Reserves	Comments
Directorate Management	1,885,500	1,889,700	1,886,500	1,000			
Business Intelligence	159,300	154,200	151,100	(8,200)			
Crime Prevention	199,700	193,600	173,300	(26,400)			Grant income received in year
<b>Total Directorate Costs</b>	<b>2,244,500</b>	<b>2,237,500</b>	<b>2,210,900</b>	<b>(33,600)</b>	<b>0</b>	<b>0</b>	
Public Health	118,680	116,900	9,000	(109,680)		109,680	Reduced demand for Sexual Health services
BCF Programme Support	107,300	107,700	82,000	(25,300)		223,900	Ring fenced funding that is required to be carried forward for use in future years
BCF Unified Prevention	405,000	407,700	339,600	(65,400)			
BCF Holistic Management of Health & Wellbeing	944,900	915,600	840,400	(104,500)			
BCF Hospital Flows	1,046,400	1,007,100	1,017,700	(28,700)			
<b>Adults and Health (Ringfenced)</b>	<b>2,622,280</b>	<b>2,555,000</b>	<b>2,288,700</b>	<b>(333,580)</b>	<b>0</b>	<b>333,580</b>	
Non BCF Contract & Procurement	463,000	463,700	456,300	(6,700)			
ASC Community Inclusion	1,084,000	1,071,900	1,151,700	67,700			Additional agency costs partially offset with additional income from health.
ASC Prevention & Safeguarding	185,600	153,100	125,700	(59,900)			Lower than expected demand for respite plus additional self funder income

Function	Revised Budget	Q3 Forecast	Q4 Outturn	Variance to Budget	Budget C/fwd	Transfers to Reserves	Comments
ASC Prevention & Safeguarding - Staffing	266,000	256,500	261,700	(4,300)			
ASC Housing	207,000	70,500	72,100	(134,900)		102,000	Vacancy management underspend plus grant income in year
ASC Support & Review - Daycare	218,400	201,900	193,500	(24,900)			Underspend resulting from Service User transferring to Direct Payments
ASC Support & Review - Direct Payments	766,400	895,300	866,400	100,000			Drop in health funding of c£40k and an increase in the number of service users from 75 to 84.
ASC Support & Review - Homecare	1,834,900	1,820,200	1,747,800	(87,100)			Lower demand for the MiCare project. Review of MiCare / Reablement team being undertaken
ASC Community Income	(290,500)	(413,500)	(414,700)	(124,200)			Increase in the number of service users assessed as being able to self fund.
ASC Support & Review - Other	399,220	347,300	365,000	(34,220)		22,000	Underspend from Vacancy management. Winter Pressures Funding (£22k) will be transferred to earmarked reserves.
ASC Support & Review - Residential & Nursing	2,830,500	3,192,100	3,237,700	407,200			Two additional high cost placements costing £187k and an increase in the number of service users generally. Reduction in income from Health (£190k).
ASC Support & Review - Staffing	583,700	508,400	497,600	(86,100)			Savings in year due to Vacancy Management

Function	Revised Budget	Q3 Forecast	Q4 Outturn	Variance to Budget	Budget C/fwd	Transfers to Reserves	Comments
ASC Hospital & Reablement	403,600	330,800	284,400	(119,200)			Savings in year due to Vacancy Management
<b>Adults and Health (Non Ringfenced)</b>	<b>8,951,820</b>	<b>8,898,200</b>	<b>8,845,200</b>	<b>(106,620)</b>	<b>0</b>	<b>124,000</b>	
Safeguarding	217,400	229,300	229,100	11,700			Use of Agency Staff
Referral, Assessment and Intervention Service	228,500	212,000	225,400	(3,100)			
Permanency and Protection Service	406,000	613,400	543,100	137,100			Additional demand in Children Looked after and Unaccompanied Asylum Seeking Children (£78k) use of Agency Staff (£56k).
Fostering, Adoption and Care Leaver Service	1,523,000	2,024,700	1,845,500	322,500			Majority of the overspend relates to 6 placements made at Independent Fostering Agencies (IFA's) during the year
Early Intervention - Targeted Intervention	1,417,600	1,110,300	1,099,200	(318,400)			High cost placement transferred to Adults
Early Intervention - SEND & Inclusion	275,800	261,300	260,500	(15,300)			
Early Intervention - Universal and Partnership	461,100	413,800	430,300	(30,800)			
<b>Childrens</b>	<b>4,529,400</b>	<b>4,864,800</b>	<b>4,633,100</b>	<b>103,700</b>	<b>0</b>	<b>0</b>	
Schools & Early Years	392,100	414,000	330,500	(61,600)	27,000		This function has £24k contribution to UCC Send Provision which is funded from reserves with and offset from

Function	Revised Budget	Q3 Forecast	Q4 Outturn	Variance to Budget	Budget C/fwd	Transfers to Reserves	Comments
							grant income for Virtual School Head responsibilities being carried forward and contribution of £50k to meet statutory duty to find school places not required as all children placed through appeals.
Rutland Adult Learning & Skills Service	(29,200)	(81,200)	(49,100)	(19,900)		20,000	
<b>Learning and Skills</b>	<b>362,900</b>	<b>332,800</b>	<b>281,400</b>	<b>(81,500)</b>	<b>27,000</b>	<b>20,000</b>	
<b>Total People - GF (Ringfenced)</b>	<b>2,622,280</b>	<b>2,555,000</b>	<b>2,288,700</b>	<b>(333,580)</b>	<b>0</b>	<b>333,580</b>	
<b>Total People - GF (Non Ringfenced)</b>	<b>16,088,620</b>	<b>16,333,300</b>	<b>15,970,600</b>	<b>(118,020)</b>	<b>0</b>	<b>0</b>	
<b>Total People (Excluding DSG)</b>	<b>18,710,900</b>	<b>18,888,300</b>	<b>18,259,300</b>	<b>(451,600)</b>	<b>27,000</b>	<b>477,580</b>	
Schools Dedicated Schools Grant (DSG)	0	507,900	155,500	155,500			Overspend in Special Educational Needs is £345k due to increasing demand, this is offset by an underspend on Early Years which will be clawed back by the DfE due to revisions to allocations based on published Census data in July
<b>Total People (Including DSG)</b>	<b>18,710,900</b>	<b>19,396,200</b>	<b>18,414,800</b>	<b>(296,100)</b>			

## Appendix C2: Places Budget Monitoring Summary

Function	Revised Budget	Q3 Forecast	Q4 Outturn	Variance to Budget	Budget C/fwd	Transfers to Reserves	Comments
Directorate Management	362,900	308,300	263,208	(99,692)		56,000	Surplus due to Brexit unspent Grant £56k and Brexit Grant expenditure in other Services across the Council.
<b>Directorate Management Costs</b>	<b>362,900</b>	<b>308,300</b>	<b>263,208</b>	<b>(99,692)</b>	<b>0</b>	<b>56,000</b>	
Development Control	189,600	66,700	(18,148)	(207,748)			Surplus due to increase in Planning fees, (£172k) with the balance due to vacancy management.
Drainage & Structures	174,500	197,600	181,861	7,361		(12,622)	Drainage & Structures is showing an overspend of only £7k, the transfer from reserve of £12k is to the Drainage and Jetting cost centre to offset additional work costs identified at Q3
Emergency Planning	30,900	33,500	33,475	2,575			
Environmental Maintenance	1,148,800	1,154,000	1,177,766	28,966		(21,270)	S106 funding for Litter Bins, the purchase of which has created the majority of the overspend in Environmental Services.
Forestry Maintenance	101,400	106,000	116,215	14,815			
Highways Capital Charges	1,613,500	1,613,500	1,613,500	0			

Function	Revised Budget	Q3 Forecast	Q4 Outturn	Variance to Budget	Budget C/fwd	Transfers to Reserves	Comments
Highways Management	174,700	192,600	240,210	65,510			Changes in legislation on advertising for road closures has caused the majority of this overspend, increase in staff advertising costs due to long term vacancies, new software licences in 2019/20 and a reduction of income relating to new roads and Street Works.
Commissioned Transport	1,600,800	1,925,600	1,959,012	358,212			This is a demand led service and the over spend is spread across four cost centres. Overall numbers of students have increased from 1204 to 1273. The requirements for minibus and taxi routes have increased from 46 to 62 with some children not able to share transport and requiring passenger assistants. There have been 11 new foster care placements some spanning across Northants, Lincs and Leics. 3 more parents are receiving mileage due to complex foster care placements and in-house routes have increased from 12 to 14.
Lights Barriers Traffic Signals	143,300	131,500	124,956	(18,344)			

Function	Revised Budget	Q3 Forecast	Q4 Outturn	Variance to Budget	Budget C/fwd	Transfers to Reserves	Comments
Parking	(325,500)	(298,600)	(299,838)	25,662			Parking income generated continues to increase even after introduction of 30 minutes free tariff (£566k in 2018/19, £576k for 2019/20). However an increase in car parks total rateable value (2017 £80k, 2019 £178k), increasing rates payable in 2019/20 from a budget of £51k to £60k as well as the loss of 10 spaces at South Street car park for the Childrens Centre has contributed to the overspend.
Pool Cars & Car Hire	103,800	108,800	106,965	3,165			
Public Protection	403,800	384,600	382,455	(21,345)			Surplus due to new dog warden contract.
Public Rights of Way	92,800	88,100	62,659	(30,141)			Underspend due to projects on bridges and surfacing / drainage works on a bridleway postponed due to COVID-19. Walking leaflets not reordered pending redesign and PROW team have done more tasks themselves as well as using a range of smaller local contractors at a lower cost.

Function	Revised Budget	Q3 Forecast	Q4 Outturn	Variance to Budget	Budget C/fwd	Transfers to Reserves	Comments
Public Transport	842,600	824,600	818,828	(23,772)			The surplus position is due to concessionary travel usage trends. If the winter is particularly bad people are less likely to travel. Although an additional 56 free bus passes have been issued (currently 9,674 holders), usage has remained constant during the year around £22k per month, c£2k per month under budget.
Road Maintenance	399,200	423,000	302,382	(96,818)		140,000	The Tarmac overheads for highways is budgeted at a 50/50 split between capital and revenue. At the year-end a higher proportion of the overheads was allocated to the capital programme. Overall the Tarmac overheads have come in on budget. This shows the transfer of budget from revenue to capital.
Transport Management	328,900	307,800	284,515	(44,385)		4,600	Bikeability underspend to go back to reserves to fund continuation of bikeability going forward as funding is dropping. Ways to improve efficiency/cut costs is being reviewed. The remaining

Function	Revised Budget	Q3 Forecast	Q4 Outturn	Variance to Budget	Budget C/fwd	Transfers to Reserves	Comments
							underspend due to vacancy management.
Waste Management	2,306,900	2,419,400	2,435,278	128,378		(17,151)	S106 funding for equipment purchases at CA sites, which have partly contributed to the overspend together with increased tonnages and indexation being higher than anticipated.
Winter Maintenance	263,400	263,400	205,201	(58,199)			Surplus due to mild winter resulting in less gritting required
<b>Environment, Planning and Transport</b>	<b>9,593,400</b>	<b>9,942,100</b>	<b>9,727,292</b>	<b>133,892</b>	<b>0</b>	<b>93,557</b>	
Planning Policy	582,000	593,300	484,671	(97,329)	85,300	12,000	Local Plan Production £85.3k budget c/fwd and Neighbourhood Plans £12k underspend to reserves
Tourism	15,500	4,400	2,859	(12,641)			
Health & Safety	58,200	55,400	39,651	(18,549)			Surplus due to vacancy management
Property Services	1,096,400	1,172,500	1,135,063	38,663			The overspend is mainly due to programmed capital works which did not progress as quickly as anticipated resulting in under capitalisation of salaries.
Building Control	(50,100)	(29,200)	(30,187)	19,913			Overspend due to competition from external providers

Function	Revised Budget	Q3 Forecast	Q4 Outturn	Variance to Budget	Budget C/fwd	Transfers to Reserves	Comments
							resulting in less income than expected.
Commercial & Industrial Properties	(243,000)	(217,300)	(99,631)	143,369		10,000	Transfer of £10k to King Centre sinking fund to cover any future major work required. The overspend is due to Oakham Enterprise Park, the main movements being Rents £57k shortfall, Bad Debt Void Provisions increased in reaction to Covid-19 £48k, operating costs and repairs £57k overspend. This has been partly mitigated by small surpluses from King Centre, Pit Lane and Ashwell Business Park.
Economic Development	164,300	140,700	131,197	(33,103)			Surplus due to vacancy management
Culture & Registration Services	106,900	120,200	109,126	2,226			
Libraries	455,100	463,900	453,504	(1,596)			
Museum Services	392,700	398,200	392,246	(454)			
Sports & Leisure Services	79,600	74,800	51,057	(28,543)	23,200	6,400	£23.2k for Sports Centre Tender budget c/fwd work on going and £6.4k for Active Rutland Hub sinking fund
<b>Development and Economy</b>	<b>2,657,600</b>	<b>2,776,900</b>	<b>2,669,558</b>	<b>11,958</b>	<b>108,500</b>	<b>28,400</b>	
<b>Total Places</b>	<b>12,613,900</b>	<b>13,027,300</b>	<b>12,660,058</b>	<b>46,158</b>	<b>108,500</b>	<b>177,957</b>	

## Appendix C3: Resources Budget Monitoring Summary

Function	Revised Budget	Q3 Forecast	Q4 Outturn	Variance to Budget	Budget C/fwd	Transfers to Reserves	Comments
Chief Executives Office	252,600	208,200	177,300	(75,300)	49,000		Underspend on St Georges funding £49k requested to be carried forward. Unused professional fees budget for HR policies
Directorate Management	302,800	301,500	289,700	(13,100)			Internal Recharges from external funding St Georges / Garden Communities
Communications	168,700	175,900	173,200	4,500			
Corporate Costs	150,800	163,300	149,100	(1,700)			
Pensions	210,000	195,000	210,600	600			
Audit Services	154,200	142,600	155,800	1,600			
Insurance	256,800	248,900	248,900	(7,900)			
Accountancy & Finance	642,000	613,500	634,600	(7,400)			
Information Technology	1,460,500	1,441,200	1,409,500	(51,000)	45,000		Underspend to be carried forward for Customer Services improvement
Business Support Services	859,200	845,700	792,700	(66,500)			Vacancy management £36k, savings within reprographics £16k and postage £6k
Members Services	218,700	220,800	189,300	(29,400)			Members vacancies during the year
Customer Services Team	394,200	368,000	339,300	(54,900)	55,000		Underspend is in relation to customer services improvements to be carried forward

Elections	151,100	113,500	100,800	(50,300)	48,000		Unspent Individual Electoral Registration grant to be transferred into reserves
Legal & Governance	460,300	567,300	707,700	247,400			Use of agency staff, high litigation costs and employment tribunal costs
Human Resources	590,700	534,900	545,300	(45,400)			Vacancy Management and uncompleted Chief Executive recruitment
Revenues & Benefits	404,900	303,800	266,500	(138,400)			Vacancy Management. Housing Benefit overpayments recovery better than expected
Financial Support	40,000	37,000	39,900	(100)			
<b>Total Resources Directorate</b>	<b>6,717,500</b>	<b>6,481,100</b>	<b>6,430,200</b>	<b>(287,300)</b>	<b>197,000</b>	<b>0</b>	

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## CABINET

16<sup>th</sup> June 2020

### LOCAL PLAN – UPDATE ON TIMETABLE AND CONSULTATION

**Report of the Interim Strategic Director of Places**

Strategic Aim:	Sustainable Growth	
Key Decision: Yes	Forward Plan Reference: FP/150520	
If not on Forward Plan:	Chief Executive Approved Scrutiny Chair Approved	
Reason for Urgency:	N/A	
Exempt Information	No	
Cabinet Member(s) Responsible:	Mr G Brown Deputy Leader and Portfolio Holder for Environment, Finance, Planning and Property	
Contact Officer(s):	Penny Sharp, Interim Director of Places	Tel: 01572 758160 psharp@rutland.gov.uk
	Roger Ranson, Planning Policy Manager	Tel: 01572 758238 rranson@rutland.gov.uk
Ward Councillors	All	

#### DECISION RECOMMENDATIONS

That Cabinet:

1. Considers and approves a revision to the Local Development Scheme (LDS) as set out in Appendix 1 to reflect the proposed updated timetable for the Local Plan.
2. Considers and approves the draft review of the Statement of Community Involvement (SCI) as set out in the Appendix 2 for 4 weeks consultation.

## **1 PURPOSE OF THE REPORT**

- 1.1 Cabinet is requested to consider and approve a revision to the Local Development Scheme in order to provide an updated timetable for the Local Plan taking account of the delay caused by the Covid19 situation.
- 1.2 This report also requests that Cabinet approve for consultation a draft review of the Statement of Community Involvement (SCI) in order to encompass statutory changes to planning regulations for policy making, neighbourhood planning and development management, and to allow national guidance in relation to Covid 19 to be incorporated into the SCI. These changes will ensure that the planning function can continue to operate within current restrictions. Review of the SCI at this time will also allow progress with the Local Plan consultation, enabling the Regulation 19 consultation (and subsequent stages) regarding the Local Plan approved by Council in February 2020 to take place as encouraged by recent Government guidance.
- 1.3 Supporting the continuity of the planning function in the County will in turn aid the recovery of the local economy and the economic resilience of the County by providing greater certainty and confidence for future investment and development.
- 1.4 The SCI is not a development plan document and there is no statutory requirement to consult on it, however it is considered good practice to undertake informal consultation on the proposed changes and therefore Cabinet is asked to approve the draft review for a four week consultation. . It is proposed that the consultation on the revised SCI will run from Friday 19<sup>th</sup> June to Friday 17<sup>th</sup> July 2020.

## **2 BACKGROUND AND MAIN CONSIDERATIONS**

- 2.1 The Local Plan was approved for its statutory Regulation 19 consultation at the meeting of Council held on 10<sup>th</sup> February 2020. There have been some subsequent minor changes to the wording of the plan since that date approved under the responsibility delegated by Council to the Director of Places in consultation with the portfolio holder for Environment, Finance, Planning and Property.
- 2.2 The consultation was planned to commence on Tuesday 24<sup>th</sup> March. However, the Council took the decision to postpone the launch of this public consultation under Regulation 19 on its Draft Local Plan in response to Covid-19 until further notice.
- 2.3 In undertaking this stage of the Local Plan consultation, the Council needs to comply with Regulation 35 (1) of the Local Plan Regulations regarding the availability of documents. This specifies that a document is to be taken to be made available by a local planning authority when—
  - (a) made available for inspection, at their principal office and at such other places within their area as the local planning authority consider appropriate, during normal office hours, and
  - (b) published on the local planning authority's website.

- 2.4 In addition, Section 19(3) of the Planning and Compulsory Purchase Act 2004 provides that in the preparing the local development documents the authority must comply with their Statement of Community Involvement (SCI). Paragraph 4.1 of the current adopted SCI for the Council includes as the method of consultation "making information available [in] the Council's Offices, the libraries and on the website for a minimum of six weeks". Based on this, if either the offices or libraries (i.e. any or either) remain or are closed down such that the minimum six week period is not achieved, then there will not have been compliance with all of the provisions of the SCI.
- 2.5 The decision to postpone the public consultation was therefore taken because neither the statutory or local requirements for this consultation set out in the current SCI would be achievable. This decision was made on the basis that it would be being kept under review until such time as it is appropriate to begin the consultation, taking account of any Government guidance.
- 2.6 A Written Ministerial Statement (HCWS235) was made by Robert Jenrick, Secretary of State for the Ministry of Housing, Local Government and Communities on 13<sup>th</sup> May 2020. Regarding digital documentation, this states; "*The effects of COVID-19 mean that it is not always possible to access public buildings. As a result, access to planning documents by making them physically available for inspection at local libraries, council offices etc, is now not available. During these exceptional circumstances, the Government considers that online inspection of documents should be the default position across all planning regimes, and it is actively exploring all options to achieve this. The Government recognises there are sections of the community with limited or no access to the internet and authorities and developers should take reasonable steps to ensure those without access are involved and consider alternative and creative ways to achieve this where possible. This could for example, include sending out documents by CD or USB stick where this meets the needs of those requesting such documents. As restrictions are eased, planning authorities and others should integrate the range of methods that are available to them into their approaches to ensure all sections of the community are reached as thoroughly as is practically possible.*"
- 2.7 This has been supplemented by more detailed guidance published by the Government. This sets out:

***How should local planning authorities respond to the coronavirus (COVID-19) pandemic when progressing local plans?***

*The government has been clear that all members of society are required to adhere to guidance to help combat the spread of coronavirus (COVID-19). The guidance has implications for local authorities and local plan-making, including how the public are engaged and the ability of authorities to comply with policies set out in their Statements of Community Involvement. This planning guidance focuses on how local authorities can review and update their Statements of Community Involvement and should be read in parallel with existing guidance on Plan-making, including paragraphs 34, 35 and 71. If there is any conflict, this guidance supersedes current Plan-making guidance until further notice.*

*Paragraph: 076 Reference ID: 61-076-201200513*

Revision date: 13 05 2020

## **Statement of Community Involvement**

### **Should the Statement of Community Involvement be reviewed and updated in response to the coronavirus (COVID-19) pandemic?**

*Where any of the policies in the Statement of Community Involvement cannot be complied with due to current guidance to help combat the spread of coronavirus (COVID-19), the local planning authority is encouraged to undertake an immediate review and update the policies where necessary so that plan-making can continue.*

*Paragraph: 077 Reference ID: 61-077-201200513*

*Revision date: 13 05 2020*

### **How can a Statement of Community Involvement be reviewed and updated to comply with COVID-19 guidance?**

*Local planning authorities will need to assess their Statements of Community Involvement to identify which policies are inconsistent with current **guidance on staying at home and away from others** or any superseding guidance. This could include, for example, holding face-to-face community consultation events or providing physical documents for inspection.*

*The local planning authority should then make any temporary amendments that are necessary to allow plan-making to progress, and that continue to promote effective community engagement by means which are reasonably practicable. Local planning authorities are strongly encouraged to use online engagement methods to their full potential. Appropriate methods include virtual exhibitions, digital consultations, video conferencing, social media and providing documents for inspection on a public website. Authorities will also need to take reasonable steps to ensure sections of the community that don't have internet access are involved and consider alternative and creative ways to achieve this. Authorities may wish to consider engaging sections of the community, that do not have internet access, through representative groups rather than directly, targeting only people in areas most affected by proposals, and allowing individuals to nominate an advocate to share views on their behalf. Consulting by telephone or in writing can also be used where this is feasible and alternatives can't be identified. Opportunities to combine public consultations can be explored so that offline methods can be made more cost effective.*

*There is no requirement in legislation for local planning authorities to consult when reviewing and updating their Statement of Community Involvement, although it is good practice for authorities to inform the public of their intentions to update this document and of the changes that have been made. It is also good practice to make clear that the changes are only temporary whilst restrictions relating to COVID-19 are in place. However, where a local planning authority has made a pledge in their Statement of Community Involvement to consult on any changes, they may wish to take independent legal advice on how best to proceed.*

*Paragraph: 078 Reference ID: 61-078-201200513*

*Revision date: 13 05 2020*

- 2.8 In introducing these revisions, the Minister has highlighted that the planning system has a vital role to play in enabling the delivery of housing and economic growth that will support the UK's economic recovery. It is important that the system continues

to operate effectively, ensuring that all those involved, including local authorities, the Planning Inspectorate, developers, statutory consultees, local communities and others can engage in the process while adhering to the Government's guidance on social distancing. This Statement sets out the Government's expectations for how the planning system should be operating during the COVID-19 emergency. It applies to applications and appeals under the Town and Country Planning Act; Development Consent Orders under the Planning Act 2008; the Compulsory Purchase Order regime and to development plans, including neighbourhood plans and spatial development strategies. Local planning authorities and the Planning Inspectorate are therefore expected to drive the planning process forward and should ensure that it continues to operate effectively to support economic recovery. Moving to digital events and processes will be critical.

- 2.9 There is a strong imperative for the Council to respond to the consequences of the unprecedented situation we currently face in terms of the economic resilience of the County and the need to support the recovery of the local economy. One of the key measures that the Council can take to support this objective is to maintain progress with the Local Plan in order to provide greater certainty and confidence for future investment and development in the County.
- 2.10 Postponement of the Regulation 19 consultation has delayed the local plan timetable. It is a requirement of the process to keep the Local Development Scheme up to date it is therefore proposed to revise the timetable for the Local Plan accordingly and this is set out in an amended Local Development Scheme, as appended as Appendix 1 of this report. In summary, the current anticipated timescales for the remaining stages to Examination are as follows:

<b>Remaining stage</b>	<b>Proposed date</b>
Regulation 19 consultation	August - September 2020*
Consideration of Representations & preparation of submission documents	September – December 2020
Submission to Secretary of State	December 2020
Examination	April – May 2021
* Consultation dates are indicative only and are predicated on the Council's ability to provide public access to their principal offices in Oakham for the consultation documents to be inspected during normal office hours.	

- 2.11 If approved by Cabinet, this version of the Local Development Scheme will replace the one approved by Cabinet at its meeting held in December 2019. The revised LDS will be published on the Council website with immediate effect.
- 2.12 In order to provide the opportunity to progress the Local Plan and taking account of recent guidance, a review of the current SCI has been undertaken. One effect of this review, with respect to the Local Plan Regulation 19 consultation, is to delete a minimum requirement set out in paragraph 4.1 and the Appendix 1 of the current SCI for libraries to be deposit locations for the inspection of the Local Plan and associated documents during the course of the Local Planning Regulation 19 consultation and subsequent stages in the plan making process. In addition, further measures are set out in the appendix to the SCI to outline proposals to encourage engagement during the current situation related to Covid-19. The draft reviewed

SCI is attached at Appendix 2 to this report for the consideration and approval for consultation by Cabinet.

- 2.13 Adoption of the SCI Review, which takes account of the above announcement and national guidance, will allow for the statutory consultation on the Local Plan, pursuant to Regulation 19 to take place. It is proposed that this consultation will be for a six week period. The exact dates are still to be finalised, although a draft timetable of the anticipated consultation dates are set out above. The intention will be to start the consultation as soon as practically possible once a decision is made. Consultation will still require the Council's principal office in Oakham to be open during normal office hours for inspection throughout the consultation period in a safe environment, meeting whatever requirements for social distancing are in place at that time. This is required in order that the Council complies with Regulation 35 as set out above. This provision will be particularly important for anyone without access to the internet who wishes to inspect the plan.
- 2.14 At the present time, the opening of libraries is less certain. If they are able to open during the course of the consultation and it is safe for these to be used as deposit locations then these will also be used, but the effect of the SCI review is not to require these to be deposit locations as a minimum requirement for the consultation and notification stages. Additional measures will be put in place (as set out in the revised SCI) to encourage engagement with the consultation focussing on the use of electronic and virtual formats.

### **3 CONSULTATION**

- 3.1 Three stages of consultation have taken place in the preparation of the Local Plan and the recommendation will enable the statutory consultation on the plan at Regulation 19 to progress.
- 3.2 The LDS attached as Appendix 1 will replace that approved by Cabinet in December 2019. There is not requirement to consult on the LDS however it must be kept up to date and published on the Council's website.
- 3.3 The SCI is not a development plan document and there is no statutory requirement to consult on a review of it. However the Council had indicated its intention to consult on the SCI Review in the LDS approved by Cabinet in December 2019. Therefore, it is intended to undertake a four week consultation on the reviewed SCI as outlined above. The nature and form of this consultation is not covered by any legislative requirements.
- 3.4 In line with Government guidance that it is good practice for authorities to inform the public of their intentions to update the SCI and of the changes that have been made as part of the public consultation, measures will be undertaken to inform the public through press release, newsletter and emails to those on the planning policy consultation database.

### **4 ALTERNATIVE OPTIONS**

- 4.1 The alternative option is to await the time when the current SCI can be used as the basis of the Local Plan consultation.
- 4.2 At present, there is uncertainty when the Council would be able to conduct

consultation within the context of the current SCI. The proposed amendments to the SCI would therefore provide the opportunity to maintain progress with the Local Plan in order to aid the economic recovery of the County following the likely impact of the Covid-19 situation on the local economy.

## **5 FINANCIAL IMPLICATIONS**

- 5.1 The Council has a budget in 20/21 to deal with costs arising from the development, consultation and examination stages of the Local Plan. In respect of the consultation stage, there will be some additional costs with respect to printing and distribution in making the proposed changes to the SCI. These are unquantified at present but are expected to be small and should be contained within existing budgets.

## **6 LEGAL AND GOVERNANCE CONSIDERATIONS**

- 6.1 The Council must publicise its intended timetable for producing the Local Plan. This information is contained in the proposed Local Development Scheme (LDS) which authorities should publish on their web site and must keep up to date. An updated timetable was published in December 2019 following approval by Cabinet. The LDS has now been amended again to reflect the delay in bringing forward the Regulation 19 consultation on the Local Plan approved by Council in February 2020.
- 6.2 The Council must comply with any commitments it has made in the adopted Statement of Community Involvement (SCI). Government advice contained in the National Planning Policy Guidance and Covid19 Guidance recommends that changes should be made to SCI's to ensure that Local Plans can continue to progress. The SCI has been reviewed to reflect this guidance and other statutory and regulatory changes relating to the planning function.
- 6.3 Local Authorities are required by legislation to prepare a Local Plan to set the local planning framework for their area. The current Local Plan adopted in 2011 was intended to cover the period until 2026. There is a need to ensure the plan is up to date through a review of the Plan. Failure to have an up to date local plan in place limits the Council's ability to influence the quantum, location and quality of development in its area. The Government have made clear that they expect Councils to have a local plan in place.
- 6.3 The Neighbourhood Planning Act 2017 provides for intervention in the local plan making process. In November 2017, the Government confirmed that it would use these powers to intervene in the case of 15 Councils who failed to meet their deadlines for publishing local plans. The Secretary of State went on to say, "the remaining authorities who are not making progress on their plan-making and fail to publish a plan for consultation, submit a plan to examination or to keep policies in plans up to date are on notice that consistent failure to make sufficient progress will no longer be tolerated. My Department will begin formally considering the case for intervention as deadlines are missed". As a consequence, the threat of intervention into Rutland's Local Plan would be more immediate than previously anticipated should the Council fail to make progress towards submitting a plan for examination by a Local Plan Inspector.

- 6.4 The Council has produced the Pre-Submission version of the Plan in line with the Statutory requirement to do so and this has been approved by Council in February 2020. The Council is required by statute to invite representations on the Proposed Submission Documents (i.e. the Plan, the Sustainability Appraisal and other relevant supporting documents) over a 6 week period prior to Submission to the Secretary of State. These representations should be on matters of soundness and legal compliance only, as these are the only matters the Inspector can consider at the Examination.

## **7 DATA PROTECTION IMPLICATIONS**

- 7.1 A Data Protection Impact Assessments (DPIA) has not been completed.

## **8 EQUALITY IMPACT ASSESSMENT**

- 8.1 An Equality Impact Assessment has not been completed. The current equality screening assessment for the Local Plan will require updating to take account of the amended proposals for the SCI should these go ahead. It is recognised that the greater use of online engagement methods could disadvantage residents who are without internet access. Whilst these numbers are expected to be low in Rutland, the provision of documents in the Councils' Principal Office in Oakham for inspection together with specific proposals set out in the reviewed SCI will help to address this need.

## **9 COMMUNITY SAFETY IMPLICATIONS**

- 9.1 None identified.

## **10 HEALTH AND WELLBEING IMPLICATIONS (MANDATORY)**

- 10.1 None identified.

## **11 ORGANISATIONAL IMPLICATIONS (OPTIONAL DETERMINED BY SUBJECT)**

- 11.1 Environmental implications - None identified
- 11.2 Human Resource implications - None identified
- 11.3 Procurement Implications - None identified

## **12 CONCLUSION AND SUMMARY OF REASONS FOR THE RECOMMENDATIONS**

- 12.1 The Covid-19 pandemic has affected all aspects of the implementation of the Council's statutory functions. In the context of the Local Plan, a decision was made not to commence the planned Regulation 19 consultation on 24th March but to keep this decision under review. Since then recent MHCLG advice encourages Local Planning Authorities to progress with the preparation of local plans as these will be key to enabling the inevitable economic recovery which will be necessary once the pandemic is over.
- 12.2 As a result of postponement of the consultation the Local Plan timetable needs to be updated and published. Appendix 1 to this report sets out the revised timetable for the remaining stages in the process.

- 12.3 The current SCI has been reviewed in order to update all elements of community engagement in the planning process and to ensure that Covid-19 restrictions are appropriate covered. This review will also provide the opportunity to maintain progress with the Local Plan in circumstances where there are limitations on access, movement and face to face contact which make the current provisions of the SCI impossible to implement for an uncertain period of time. The draft reviewed SCI is set out in Appendix 2 and Cabinet is asked to approve this document for a four week consultation period beginning on Friday 19<sup>th</sup> June 2020.
- 12.4 The proposed changes to the SCI are in line with recent guidance issued by the Government.

### **13 BACKGROUND PAPERS**

- 13.1 There are no additional background papers to the report.

### **14 APPENDICES**

- 14.1 Appendix 1 – Revised Local Development Scheme Statement of Community Involvement
- 14.2 Appendix 2 – Draft Reviewed Statement of Community Involvement

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**RUTLAND**

**LOCAL DEVELOPMENT SCHEME**

**2020 - 2023**



**Rutland**  
County Council

**June 2020**

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### 1.0 INTRODUCTION

- 1.1 Local Planning Authorities are required by legislation to prepare and maintain a Local Development Scheme (LDS) to provide a timetable for the preparation of a Local Plan and any other Local Development Documents.
- 1.2 The national Planning Practice Guidance (PPG) requires the LDS to be kept up to date and be made publicly available, so that local communities and interested parties can keep track of Local Plan progress.
- 1.3 This LDS covers the period 2020 to 2023 and sets out the documents the Council intends to prepare over this period. It replaces the previous LDS published in April 2018 and the LDS timetable for preparation of the Rutland Local Plan 2018 – 2036 approved in December 2019.

### 2.0 RUTLAND LOCAL PLAN

#### Adopted Rutland Local Plan

- 2.1 At the time at which this LDS comes into effect, Rutland County Council has adopted the following documents:
  - **Minerals Core Strategy & Development Control Policies DPD – adopted October 2010:** Provides the overall vision for future minerals development in Rutland having regard to future predicted needs up to 2026 and contains development control policies to guide decision making on planning applications for minerals development. It replaced policies in the Leicestershire Minerals Local Plan Review (May 1995).
  - **Rutland Core Strategy DPD - adopted July 2011:** This provides the overall spatial vision, objectives and spatial strategy for Rutland. It identifies the broad locations, distribution and overall scale of development up to 2026 including a strategic allocation in Oakham. It contains a range of development control policies and addresses future waste development in Rutland, having regard to future predicted needs. It replaced a number of the policies in the Rutland Local Plan (2001) and the Leicestershire, Leicester and Rutland Waste Local Plan (2002).
  - **Site Allocations and Policies DPD – adopted October 2014:** The purpose of this DPD is to identify and allocate sites for development (i.e. housing, retail, waste) and to set out more detailed policies that will be used to determine planning applications in accordance with the overarching policies in the Rutland Core Strategy. It replaced the remaining policies in the Rutland Local Plan (2001) and the Leicestershire, Leicester and Rutland Waste Local Plan (2002).
- 2.2. Work is underway on preparing a new Local Plan that will replace the above documents. The new Local Plan will contain strategic and other policies and allocations to guide development in the County up to 2036. Details of the timetable for this are set out in Section 4.0.

#### Supplementary Planning Documents (SPDs)

- 2.3. SPDs are typically produced to provide more detailed guidance on how a particular policy should be implemented or site developed. SPDs are not subject to independent examination and there is no requirement for the LDS to include a timetable for the preparation of SPDs.
- 2.4. To date the Council has adopted the following SPDs:
  1. Wind Turbine Developments SPD (adopted November 2012)
  2. Ashwell Business Park SPD (adopted January 2013)
  3. Extensions to Dwellings SPD (adopted March 2015)

4. Garden Extensions SPD (adopted March 2015)
5. Shop Fronts including Signs and Shop Security SPD (adopted March 2015)
6. Planning Obligations SPD (adopted January 2016)

2.5. It is proposed that the following SPDs will be prepared and adopted:

- Design SPD
- Stamford North SPD (masterplan for site – joint SPD with South Kesteven District Council)
- Planning Obligations SPD (update of SPD adopted in 2016)

2.6. The Council will also consider the possibility of producing additional SPDs if the need arises during the three year period of the LDS.

2.7. Information on adopted [SPDs](#) can be found on the Council's website.<sup>1</sup> This will also provide information on progress in preparation of the proposed SPDs.

### **Other Relevant Documents**

#### **Statement of Community Involvement (SCI)**

The SCI was adopted in January 2014. It sets out the standards and approach the Council takes to involving individuals, groups and organisations in preparing or revising policy documents and considering planning applications. A review of the SCI began in 2019, however progress with the review has been impacted by the Covid19 restrictions and rapidly changing government policy and advice. As a result of this guidance the Council will publish a review of the SCI which addresses Covid19 related issues as well as updating the SCI provisions in line with Regulations which will ensure that the Council can continue its statutory planning functions, in particular making progress with the Local Plan Review and neighbourhood plans. This will form a Second Review of the SCI and will be published during the summer of 2020. There is no requirement in legislation for local planning authorities to consult when reviewing and updating their Statement of Community Involvement, although it is good practice for authorities to inform the public of their intentions to update this document and of the changes that have been made.

2.8 .

#### **Community Infrastructure Levy (CIL)**

2.9 The Council adopted CIL in January 2016. CIL is a locally set charge on development. It is intended to give more certainty to developers over how much their development will need to contribute to meeting the costs of infrastructure. It is intended to supplement other funding streams to ensure that new community infrastructure can be provided to support local growth and to give councils and communities more choice and flexibility in how they fund infrastructure. The CIL is supported by a detailed [Charging Schedule](#) which sets out the CIL rate for specific types of development in Rutland.<sup>2</sup>

2.10 There are currently no proposals to review CIL.

#### **Authority Monitoring Report (AMR)**

2.11 The purpose of an AMR is established in legislation and should provide annual updates on the following:

- Progress on the timetable and milestones for preparation of documents set out in the LDS;
- the progress and effectiveness of the Local Plan, including details of policies and proposals which are not being implemented and the reasons for this;
- details of any neighbourhood plans and progress with work on the Duty to Cooperate;
- information regarding the Community Infrastructure Levy;

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<sup>1</sup> <https://www.rutland.gov.uk/my-services/planning-and-building-control/planning/planning-policy/supplementary-planning-documents-spd/>

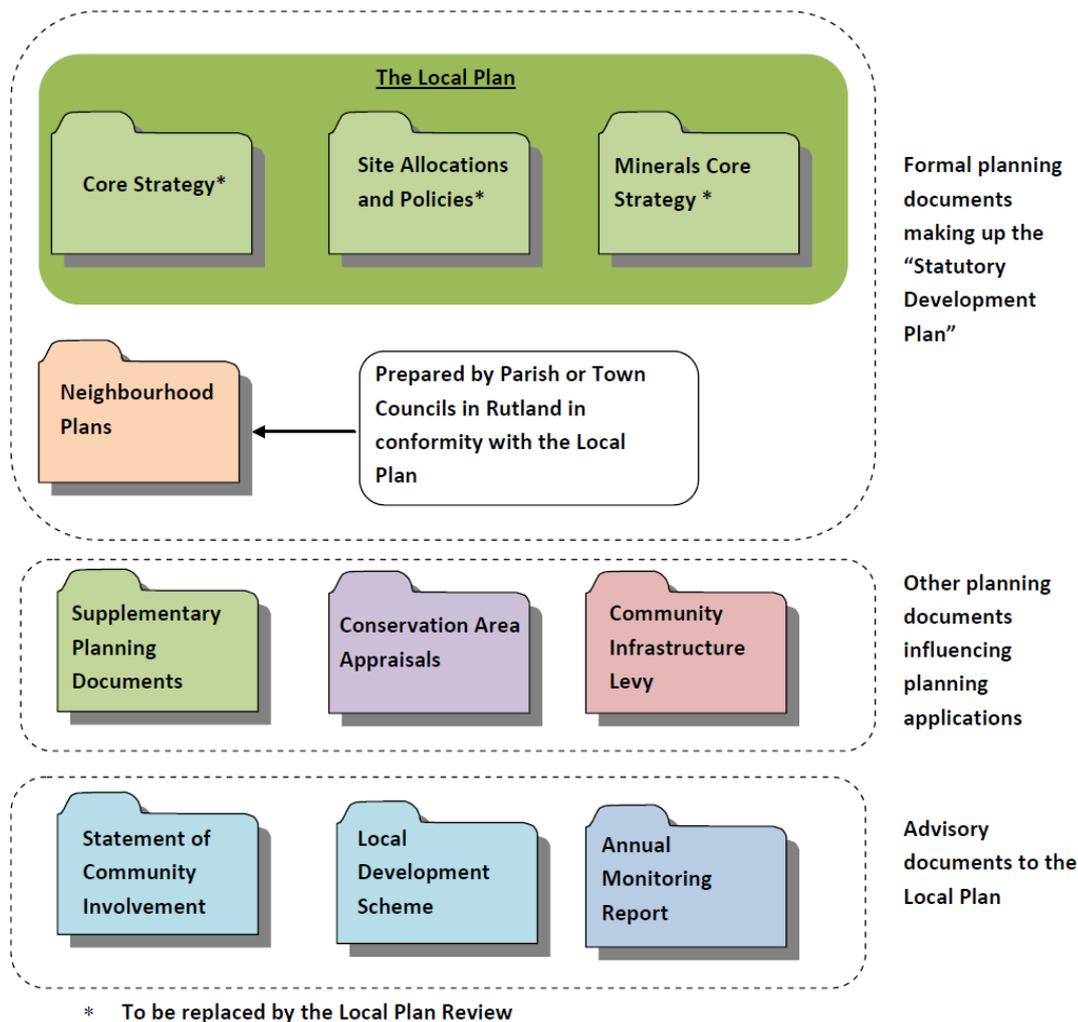
<sup>2</sup> <https://www.rutland.gov.uk/my-services/planning-and-building-control/planning/planning-policy/community-infrastructure-levy-cil/>

- information collected for monitoring purposes.

2.12 The [latest AMR](#) can be found on the Council’s website.<sup>3</sup>

2.13 A diagram showing an overview of the different documents which currently make up the Rutland Local Plan is shown in Diagram 1.

**Diagram 1: The Local Plan and Planning Policy Framework**



### 3.0 NEIGHBOURHOOD PLANS

3.1. Neighbourhood plans provide an opportunity for local people to influence development in the areas where they live or work. Neighbourhood Plans become part of the development plan and the policies within them used in determining planning applications within the relevant Neighbourhood Plan Area. A key criteria for a neighbourhood plan is that it is general conformity with the overarching strategic policies in the Rutland Core Strategy DPD (or emerging Local Plan).

3.2. At the time this LDS comes into effect, the following Neighbourhood Plans have been ‘made’:

- Edith Weston Neighbourhood Plan – June 2014

<sup>3</sup> <https://www.rutland.gov.uk/my-services/planning-and-building-control/planning/planning-policy/annual-monitoring-report/>

- Uppingham Neighbourhood Plan – January 2016
- Cottesmore Neighbourhood Plan – July 2016
- Langham Neighbourhood Plan – April 2017
- Greetham Neighbourhood Plan – October 2017
- Barrowden and Wakerley Neighbourhood Plan – November 2019

3.3. Neighbourhood Plans are currently being prepared for the following designated Neighbourhood Areas: Wing, Ketton and Tinwell, Market Overton, North Luffenham and Oakham and Barleythorpe. Further information on these plans can be found on the [Neighbourhood Planning](#) pages of the Council's website.<sup>4</sup>

**4.0 RUTLAND LOCAL DEVELOPMENT PROGRAMME**

4.1. The documents the Council will prepare over the next three years are:

**Rutland Local Plan 2018 - 2036**

4.2. The Council is preparing a new Local Plan, which when adopted will replace all existing adopted Local Plan documents. Since the approval of the last LDS in December 2019, publication of the Local Plan under Regulation 19 for formal consultation, has had to be postponed as a result of Covid19 restrictions this has resulted in the need to revise the LDS.

4.3. The stages of preparing emerging Local Plan 2018 – 2036 and updated timing for key milestones is set out below (and in Appendix 1).

<b>Key Milestones for Preparation of Rutland Local Plan 2018 - 2036</b>		
	<b>Stage of Plan Making</b>	<b>Timetable</b>
Regulation 18	Consultation on Issues and Options	November 2015 – January 2016 (completed)
	Public consultation on preferred options consultation document	August – September 2017 (completed)
	Public consultation on focused changes and additional sites	July – August 2018 (completed)
Regulation 19	Formal public consultation on proposed submission Plan	Summer 2020 (planned)
Regulation 22	Submission to Secretary of State	December 2020 (planned)
Regulation 24	Examination of Local Plan	April – May 2021 (planned)
	Receipt of Inspector's Report	To be advised
Regulation 26	Adoption of Local Plan	To be advised

4.4. It should be noted that once the Local Plan is submitted to the Secretary of State the timing of subsequent stages is in the hands of the appointed Inspector and dependent on the need to publish and consult on Main Modifications recommended by the Inspector following the examination hearings.

4.5. The Local Plan is accompanied by a Policies Map, which will be updated to reflect any changes to area specific policies and site allocations.

**Statement of Community Involvement**

4.6. The SCI is in the process of being reviewed to reflect experiences of people using the planning service, updated regulations and guidance (including around the accessibility of documents and electronic means of communication) and in response to Covid19 restrictions.

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<sup>4</sup> <https://www.rutland.gov.uk/my-services/planning-and-building-control/planning/neighbourhood-planning/>

**5.0 RESOURCES AND PROGRAMME MANAGEMENT**

- 5.1 The lead role in the production of Local Plan documents will be taken by the Council’s planning policy team. However, recognising that the Local Plan will reflect the objectives and priorities of the Council’s Corporate Plan and other strategies, there will be input from various parts of the Council. Consultants will need to be engaged on specific projects where there is a lack of expertise (e.g. retail).
- 5.2 Close working with a range of stakeholders and partners will also be important to the preparation of the Local Plan and other planning policy documents.
- 5.3 At Examination stage, the Council will be expected to demonstrate evidence of having effectively co-operated to plan for issues with cross boundary impacts. Details of how the Council has undertaken this engagement will be set out in a Duty to Cooperate Statement, which will be published as supporting document when the Council submits the Local Plan for examination.
- 5.4 The County Council has a good track record of working with other authorities in particular on joint evidence based work (e.g. Strategic Housing Market Assessment) and the Council’s minerals waste planning service is currently provided in conjunction with Northamptonshire County Council.
- 5.5 The Council will keep open the possible production of joint evidence studies and if appropriate, the preparation of joint Local Plans, DPDs or SPDs. In order to co-ordinate the potential proposed development on the north side of Stamford within the Rutland and South Kesteven Local Plans, there will be a Memorandum of Cooperation agreed between the Council with South Kesteven District Council and Lincolnshire County Council.
- 5.6 The Portfolio Holder for Environment, Planning, Property and Finance has responsibility for the Local Plan and other planning policy documents. The Growth, Infrastructure and Resources Scrutiny Committee will consider draft policies and proposals and make recommendations to Cabinet. The approval for publication of the Local Plan (under Regulation 19) was given by Full Council on 10<sup>th</sup> February 2020, with delegated powers to the Strategic Director of Places, in consultation with the Portfolio Holder, to make any required modifications prior to submission. Post examination approval for adoption is given by Full Council.

**6.0 RISK ASSESSMENT**

6.1 The main risks to the successful progress on the preparation of the documents in the LDS are:

Risk	Impact	Mitigation
<p><b>Resources</b> Inadequate resources to undertake specific areas of work</p>	<p>Unable to progress work  Potential impact on quality of work</p>	<p>Regular monitoring of resources, budgets and costings  Explore opportunities for joint working and more cost effective way to deliver services  Flexibility in preparation of documents so resources can be moved between different documents according to need and progress</p>
<p><b>Staff turnover</b></p>	<p>Delays in document preparation</p>	<p>Flexibility in use of staff resources  Secondment of staff or use of short term contract staff</p>

**Rutland Local Development Scheme 2020-2023**

<b>Risk</b>	<b>Impact</b>	<b>Mitigation</b>
<b>Evidence base requirements</b>	Evidence base becomes out of date and may require reviewing, creating delays in delivery of Local Plan	Anticipate what information is required in advance so can be built into programme
<b>Planning Inspectorate (PINS) unable to meet the timescale for examination and report</b>	Delay to examination/reporting  Key programme milestones not met	Liaise with PINS on timetable and provide early notification of anticipated submission date  Close liaison with PINS to highlight any potential issues/problems at early stage
<b>Legal Challenge/soundness</b>	Local Plan fails tests of soundness which would significantly delay process  Legal challenge to document could see Local Plan, or part of it, quashed and requirement to repeat work	Ensure procedures, Acts and Regulations are complied with  Use of PAS Local Plan Toolkit  Draw on external expertise where necessary to ensure evidence and approach to policy is robust
<b>Continuation of Covid19 Restrictions</b>	Regulation 35 requires a copy of the Regulation 19 Local Plan to be available for public inspection at the Council's principle Office.  Closure of public buildings and restrictions on public access, public meetings and peoples movement  Postponement of Local Plan Examination hearings until further notice	Review ways in which copies of the documents can be made available for inspection at the Council's Principal Office in a safe manner which confirms to the latest Covid19 restrictions and regulations.  Review the SCI to remove need to use consultation methods which rely on public access and face to face contact and replace with greater use of virtual and electronic formats whilst responding to the needs of those who do not have access to the internet and a computer.  Continue close liaison with PINS to respond to any potential issues/problems at early stage

**7.0 MONITORING AND REVIEW**

7.1 Any changes in content of documents or timetable will be monitored through the AMR. In the event of work proceeding more quickly or slowly than programmed, adjustments will be highlighted in the AMR and the LDS amended as necessary.



**APPENDIX 2 - Glossary**

Authority Monitoring Report (AMR)	Report on how authority is performing with regard to meeting the timetables for preparation of Local Plan documents and the performance of planning policies, with the identification of any remedial action to be taken if required
Community Infrastructure Levy (CIL)	Charge that local planning authorities can impose on new developments in their area. Money can be used to support development by funding infrastructure that has been identified by the Council and the local community
Development Plan	Includes adopted local plans and neighbourhood plans that have been made. Currently comprises the Minerals Core Strategy and Development Control Policies DPD, Rutland Core Strategy DPD and Site Allocation and Policies DPD. Will be replaced on adoption by the Rutland Local Plan 2018 – 2036.
Local Development Scheme (LDS)	The Council's three-year programme for preparing Local Development Documents.
Local Plan	In law described as a Development Plan Document (DPD) can consist of either strategic or non-strategic policies, or a combination of the two. They are subject to an independent examination by a planning inspector and are prepared in consultation with the local community
Neighbourhood Plan	A plan prepared by a Town/Parish Council or neighbourhood forums for a specific neighbourhood area. They are subject to community consultation, an independent examination by an examiner and a local referendum process. Once made, these documents form part of the statutory development plan for the area
Policies Map	This is a map on an Ordnance Survey base for the whole of the local planning authority's area which shows where the policies in the Local Plan applies. The Policies Map may include inset maps for particular villages or areas to show information at a larger scale. The Policies Map may be updated each time that a Local Plan is adopted
Statement of Community Involvement (SCI)	Sets out how the Council will engage and consult with the public and other stakeholders during the production of the Local Plan and when dealing with planning applications
Supplementary Planning Document (SPD)	Expand on policies and proposals in Local Plans. They do not form part of the statutory development plan and are not subject to independent examination. SPDs are typically produced to provide more detailed guidance on how a particular policy should be implemented or site developed. Once adopted, SPDs form part of the Local Plan as non-statutory documents.



# Statement of Community Involvement

## Second Review



**June 2020**

**Title**

Statement of Community Involvement – Second Review

**Subject matter**

To provide a clear structure and guidance on how the Council intends to engage with the community and stakeholders through the planning process

**Adoption Date**

The Statement of Community Involvement (SCI) was adopted by the Council on xxxx

**Contact Information**

~~This document can be made available on request, in other languages and formats (large print, Braille or on audio tape) by contacting:~~

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## Contents

To be updated on publication

## Section 1: Introduction

### Background

- 1.1 The Council's Statement of Community Involvement (SCI) was last updated in 2014.
- 1.2 Since that time, there have been a number of legislative changes to the planning system and in the way personal data is held and processed and it is appropriate for the SCI to be updated to reflect these. It is also important to learn from previous experience and whether the means through which the Council has engaged on plan making and in the consideration of planning applications remains effective. More recently a requirement<sup>1</sup> has been introduced which requires the SCI to be reviewed at least every five years.
- ~~4.21.3~~ This Review also includes changes which need to be made to the SCI to address the impact of Covid-19 on the planning process. These changes will ensure that the Council can continue to determine planning applications and make progress on the Local Plan Review and Neighbourhood Plans. All of which will enable the County to respond positively to address the inevitable economic impact of Covid-19.
- 1.4 Local Planning Authorities (LPAs) including Rutland County Council are required to produce a SCI under section 18 (Part 2) of the Planning and Compulsory Purchase Act 2004.
- 1.5 The minimum requirements for consultation on planning policy documents and planning applications are set out in The Town and Country Planning (Local Planning) (England) Regulations (the Local Planning Regulations)<sup>2</sup> in the case of planning policy documents and the Town and Country Planning (Development Management Procedure) Order (DMPO)<sup>3</sup> (2) for planning applications.

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<sup>1</sup> The Town and Country Planning (Local Planning)(England)(Amendment) Regulations 2017

<sup>2</sup> The Town and Country Planning (Local Planning) (England) Regulations 2012 (as amended)

<sup>3</sup> The Town and Country Planning (Development Management Procedure) (England) Order 2015

~~The Council's first Statement of Community Involvement (SCI) was adopted in June 2006.~~

~~1.3 Since this time, the Government has introduced a series of changes to the planning system. These were principally through the Localism Act 2011 and the issue of the National Planning Policy Framework (NPPF) in March 2012.~~

~~1.4 This has resulted in the streamlining of plan preparation, as well a number of other relevant changes. It has also introduced a duty to cooperate with neighbouring local authorities and other organisations on matters of strategic cross boundary significance.~~

~~1.5 In recognition of these reforms, the Government published revised local planning regulations in 2012. These are the Town and Country Planning Local Planning (England) Regulations 2012.~~

### **Purpose of the SCI**

1.6 The Statement of Community Involvement sets out how the Council intends to engage with communities through the planning process. This includes the preparation and revision of Development Plan Documents (DPDs) (commonly referred to as local plans) and Supplementary Planning Documents (SPDs) and procedures for consulting the public on planning, listed building and other applications.

1.7 Its purpose is to identify the standards to be met and provide a clear public statement enabling people to know how and when they will be involved in the preparation of planning policy documents and how they will be consulted on planning applications.

~~1.6 1.3 Its purpose is to identify the standards to be met and provide a clear public statement enabling people to know how and when they will be involved in the preparation of local development documents and how they will be consulted on planning applications.~~

1.8 Having clear arrangements for carrying out consultation will help to establish a two-way process between the community and the Council. It will provide the community with opportunities to help shape their local areas and create a transparent, fair and open planning process. The SCI sets out the techniques available and which are likely to be used, however it is important to retain a degree of flexibility so that methods can be appropriately tailored to the planning document in question, to allow for changes in the regulations or best practice guidance, and to reflect that new methods of communication and engagement may become available over the life of the document.

1.9 The Council will prepare a Statement of Consultation for each DPD it prepares setting out who was consulted at each stage together with a summary of the main issues raised in any representations and how these have been taken into account.

~~This will enable people making representations to consider whether the DPD is prepared in accordance with this document as required by the Legal compliance test at the Examination.~~

## Need for review

1.10 The review of the Council's SCI takes account of the changes in legislation and regulations since the last review. The Government is committed to increasing the ability of local communities to influence planning decisions and future development in their areas by making the planning system more simple and accessible. The National Planning Policy Framework (2019) says that (paragraph 16):

'Plans should:

c) be shaped by early, proportionate and effective engagement between plan-makers and communities, local organisations, businesses, infrastructure providers and operators and statutory consultees'

~~The review of the Council's Statement of Community Involvement takes account of the recent changes in legislation and regulations. The Government's aim is for every area to have a clear local plan which sets out local people's views of how they wish their community to develop, consistent with the NPPF and against which planning applications for planning permission will be judged.~~

1.11 On 13<sup>th</sup> May 2020 Ministry of Housing, Communities and Local Government (MHCLG) published temporary measures designed to make it easier to continue to operate the planning system. These measures include an update to the National Planning Practice Guidance (NPPG) in relation to Local Plan preparation and the making of temporary changes to an SCI to allow progress on plan making to continue<sup>4</sup>. In particular the NPPG states that

Where any of the policies in the Statement of Community Involvement cannot be complied with due to current guidance to help combat the spread of coronavirus (COVID-19), the local planning authority is encouraged to undertake an immediate review and update the policies where necessary so that plan-making can continue.

1.12 ~~There are no requirements on how the SCI is produced in legislation for the Local Planning Authority to consult when reviewing and updating the SCI, and Rutland's current SCI makes no commitment to consult on future changes to it. However the Council will undertake four weeks consultation on this review before considering its adoption. However, the Council intends to follow best practice relating to consultation undertaken for other planning documents. This review will also provide an opportunity to incorporate new ideas on community involvement and ensure the Council's practices remain of the highest standard.~~

## Changes in consultation methods

1.132 The Covid 19 pandemic has affected all aspects of the implementation of the Council's statutory planning functions. In particular it has affected the ability to make documents available in public places including local libraries, hold exhibitions, circulate leaflets, attend forums or meetings and the submission of paper based

<sup>4</sup> NPPG Paragraph: 076 Reference ID: 61-076-201200513 to Paragraph: 078 Reference ID: 61-078-201200513

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representations as well as the ability for people and groups to meet together to prepare joint responses to applications and DPDs.

1.14 MHCLG and the Planning Advisory Service has issued clear advice that Local Planning Authorities should forge ahead with the preparation of local plans as these will be key to enabling economic recovery which will be necessary once the pandemic is over.

1.15 To do this, changes need to be made to the SCI which will enable the planning process to progress with a focus on electronic and web based formats as recommended by the Government. The changes outlined in this document provide the opportunity to maintain progress with the Local Plan and to continue to determine planning applications in circumstances where there are significant limitations on access, movement and face to face contact which make the current provisions of the SCI impossible to implement. The Statutory Regulations will continue to be met throughout the process and are included within this SCI as the minimum consultation. A subsequent review of the SCI will be undertaken when the Covid19 related changes are no longer considered necessary. It is however recognised that there will continue to be a focus on electronic, web based and virtual methods of consultation going forward. Since the previous SCI was adopted in 2006, the Council has moved to more electronic engagement and consultation methods. These include regular updates to the web pages and the production of an electronic Local Plan newsletter which provides updates on progress in preparing the Local Plan and is sent to all on the email update list.

1.13 The use of social media will also be considered in order to reach areas of the communities that would not normally respond to traditional consultation methods.

## Section 2: Community Involvement on the Local Plan Preparation

### The Rutland Local Plan

- 2.1 The Rutland Local Plan is currently made up of a series of Development Plan Documents that contain policies and allocations that will promote sustainable development in Rutland. It comprises the Core Strategy DPD (July 2011), Site Allocations & Policies DPD (October 2014) and Minerals Core Strategy and Development Control Policies DPD (October 2010). Work is underway on preparing a new Rutland Local Plan that when adopted (anticipated in 2021) will replace all of these documents. The new Local Plan will contain strategic and other policies and allocations to guide development in the County up to 2036<sup>a</sup> ~~folder of documents (see diagram below) that will replace existing policies in the Rutland Local Plan (2001) and provide planning policies for Rutland for the period to 2026 and beyond.~~
- ~~2.2 Development plan Documents (DPDs) are subject to examination by an Inspector appointed by the Secretary of State. Supplementary Planning Documents (SPDs) are adopted by the Council but not subject to external examination.~~
- ~~2.3 The Council has already adopted a number of local plan documents. The Core Strategy DPD was adopted by the Council on 11 July 2011. The Minerals Core Strategy and Development Control Policies DPD was adopted by the Council in October 2010. The Council is preparing the Site Allocations & Policies DPD with adoption of the document anticipated in February 2014.~~
- 2.24 The Council will also prepare SPDs which will provide guidance and information on the implementation of particular policies in the Local Plan that will need to be considered when submitting development proposals. SPDs do not form part of the Development Plan. Information on adopted SPDs<sup>5</sup> can be found on the Council's website

~~Diagram: The Local Plan~~

### Key stages for preparing Development Plan Documents

- 2.35 The Key stages for preparing DPDs are set out in Town and Country Planning (Local Planning) (England) Regulations 2012 (as amended). For further details see **Appendix 1**.
- 2.46 In summary these are set out in stages:
- a) Public Participation in preparation of DPDs (Regulation 18) and Publication of a DPD ~~and making representations~~**

<sup>5</sup> <https://www.rutland.gov.uk/my-services/planning-and-building-control/planning/planning-policy/supplementary-planning-documents-spd/>

- There is considerable flexibility in how the initial stages of plan preparation may be carried out but typically This-it may involve two stages of consultation ~~and on~~ draft documents, if the Council considers it appropriate, consisting of Issues and Options and Preferred options.
- These stages involve evidence gathering and targeted consultation with key stakeholders to identify main issues and options and to seek views about what the local plan ought to contain including the production of and consultation on draft documents as appropriate.
- A Sustainability Appraisal (SA) Report will be prepared which identifies and reports on the likely significant effects of the plan and the mitigation measures which can be taken to reduce them. The SA process is iterative and is therefore reported and updated throughout preparation of the plan including at Adoption.

**b) Publication of a DPD for making representations (Regulation 19)**

- The Publication (or Pre-Submission) version of the Plan is the final version of the document which the Council intends to submit for public examination. This version will be developed having considered the views and evidence gathered under Regulations 18.
- The proposed document will be published for a minimum of six weeks. Views will be sought on whether the document is “sound” and legally compliant.
- The Council will prepare a Statement of Consultation to present to the Inspector setting out how the community has been consulted at each stage together with a summary of the main issues raised in any representations and how these have been taken into account.

**b) Submission of documents to the Secretary of State (Regulation 22)**

- ~~The proposed submission is the final version of the document the Council intends to submit to the government for public examination having considered the views and evidence gathered under Regulations 18 and 19.~~
- ~~The proposed document will be published for a minimum of six weeks. Views will be sought on whether the document is legally sound and compliant.~~
- The ~~document—Plan~~ and relevant supporting information, including representations made about the Regulation 19 consultation, will then be submitted to the Secretary of State for independent examination.

**c) Examination process**

- An Inspector, appointed by the Secretary of State, will examine the document and consider whether the preparation of the plan has been legally compliant.
- Any person with an outstanding representation from the Regulation 19 stage will be notified of the Examination process.

- Any person who has made a representation seeking a change to the plan, within the deadline set by the LPA for regulation 19 consultation responses, has a right to be heard at Examination in accordance with section 20(6) of the Planning and Compulsory Purchase Act (PCPA) 2004 with an outstanding representation from the plan publication stage will be notified and at
- The Planning Inspector will determine the issues that they wish to consider through Hearing sessions and will determine who is invited to participate at these session. Hearing sessions may be held virtually. the discretion of the Inspector, may have an opportunity to be involved at the examination hearing.
- If the Plan is legally compliant the Inspector will then consider whether the document is 'sound'. The Plan will be considered 'sound' if it is positively prepared, justified, effective and consistent with national policy.
- Where the Inspector identifies that Main Modifications (MMs) may be needed, the nature and likely extent of these will be discussed at the examination hearings. Following the hearings, the Inspector will ask the Council to produce a schedule of proposed MMs and to carry out public consultation on these to ensure anyone whose interests may be affected by the modification has an opportunity to comment on it. The consultation period will normally last for a minimum of 6 weeks.
- The Inspector will publish prepares an Inspector's Report with recommended modifications which the Council must follow if it is to adopt the Plan with recommendations to either adopt the Plan, or adopt with modifications or not adopt.

#### **d) Adoption of DPD**

- The Council will publish and consider the Inspector's Report and whether it wishes to adopt the Plan as recommended by the Inspector. If the Council decides to adopt the Plan, it will be adopted by the Full Council.

### **Key stages for preparing Supplementary Planning Documents**

2.75 SPDs have fewer stages in their preparation and are not subject to examination. For further details see Appendix 2. However, their preparation still requires community involvement and involves the following formal stages:

#### **a) Preparation**

- This stage involves the Council developing a range of evidence to support the document. This may involve informal consultation with relevant stakeholders and interested parties where appropriate.
- A screening report will be prepared to establish whether a Strategic Environmental Assessment (SEA) and/or Habitats Regulations Assessment

(HRA) is required. Where considered necessary, these will be undertaken throughout the preparation process.

- A draft version of the Supplementary Planning Document is prepared based on the evidence collected.

**b) Consultation**

- The Council will consult on a draft document for at least 4 weeks. Any representations made during the consultation period will be considered and the document revised, where appropriate, to take into account the comments received.

**c) Adoption**

- The final version of the Supplementary Planning Document will be adopted by the Council. Notice of the adoption will be published on the Council’s website. Consultee’s that have requested it will be notified.

**Key stages for Reviewing the Community Infrastructure Levy**

2.6 The Community Infrastructure Levy (CIL) is a charge that local authorities can choose to levy on specified new development in their area and which can be used to help deliver a wide range of infrastructure needed to support growth in their area. The Council must demonstrate an infrastructure funding gap; charges will be based on the type of development and be set out in a charging schedule. The Council adopted its CIL charging schedule in January 2016.<sup>6</sup>

2.7 Government guidance is that the preparation or review of CIL charging schedules should be undertaken at the same time as preparing a Local Plan. The Council are not proposing to review the charging schedule at present. Should a review be commenced at some point in the future this would be undertaken in accordance with the following stages set out in the Community Infrastructure Regulations 2010 (as amended) .For further details see **Appendix 3**.

2.8

**a) Preparation**

- The Council will develop appropriate evidence base to support the document. This will involve informal consultation with relevant stakeholders and interested parties such as developers and other service providers to gain views on matters to take into account when setting the CIL

**b) Consultation**

<sup>6</sup> <https://www.rutland.gov.uk/my-services/planning-and-building-control/planning/planning-policy/community-infrastructure-levy-cil/>

- The Council will publish a draft charging schedule on which representations can be made. This consultation will be for a minimum of 6 weeks. These will be taken into account by the Council prior to its submission for an independent examination.

**c) Examination and Adoption**

- The draft charging schedule will be submitted with relevant supporting information to a suitably qualified examiner.
- Objectors to the document may be allowed to appear at the examination. Recommendations suggested in the Examiner's Report may be binding on the Council. If there are significant issues, the Council may be required to withdraw the charging schedule and re-submit a revised version to a fresh examination.

Should the Council decide to cease charging CIL there is a requirement to publish a statement setting out the implications of doing so and invite representations on the proposal. This consultation would be for a minimum of 4 weeks.

## **Neighbourhood Planning**

2.9 The Localism Act 2011 introduced the ability for town and parish councils to shape new development by preparing a Neighbourhood Plan and granting planning permission through Neighbourhood Development Orders and Community Right to Build Orders. Neighbourhood Plans can be short and simple or go into considerable detail and include the allocation of sites. They set out local planning policies for that neighbourhood area. Neighbourhood Plans have to be in general conformity with national policy and the strategic elements of the County Council's local plan, they cannot propose less development than that proposed by the Council's Local Plan.

2.10 If the Plan is agreed by the local community in a referendum it will become part of the Development Plan and be used in the determination of planning applications.

2.11 The Neighbourhood Planning (General) Regulations 2012 (as amended) sets out the requirements for publicity and consultation in relation to the preparation of Neighbourhood Plans and Neighbourhood Development Orders. The approach taken to engaging and involving local residents, business and other stakeholders is a matter for the Parish or Town Council and is it up to them to decide how they involve people and undertake consultation.

2.12 However, the Council does have some statutory functions, which are set out in the Regulations. These include publicising the intention to produce a Neighbourhood Plan on its website, undertaking consultations when the Neighbourhood Plan is submitted, facilitating the examination, publishing the examiner's report and organising a referendum. The Council will undertake these functions in accordance with the requirements of the Regulations and the principles of this SCI (see Appendix 3).

2.13 The Council also has a duty to provide technical advice and support to communities in the preparation of their plans. Further information on the support available can be found on the Council's website<sup>7</sup>.

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<sup>7</sup> <https://www.rutland.gov.uk/my-services/planning-and-building-control/planning/neighbourhood-planning/neighbourhood-planning-and-guidance/>

## Section 3: Who will be involved in the Local Plan Preparation Process?

### Consultees

- 3.1 When preparing DPD's and SPDs, the Council will seek to engage and consult, where appropriate with the general public and the wider community.
- 3.2 The Town and Country Planning (Local Planning) (England) Regulations 2012 ([as amended](#)) specify a number of organisations that must be consulted. These organisations are referred to as 'specific consultation bodies' and general consultation bodies'.
- 3.3 The lists below refer only to types of group rather than naming every individual group and organisation. This is to ensure that the Statement of Community Involvement does not contain out of date information, these lists are not exhaustive.
- 3.4 **Specific consultation bodies** include Town and Parish Councils and Parish Meetings, neighbouring Local Authorities utilities [and health](#) providers and [organisations such as Historic England, Environment Agency and Natural England](#) ~~relevant Government agencies.~~
- 3.5 **General consultation bodies**, include a range of community groups and organisations representing Rutland interests, whom the Council considers it appropriate to consult on comprising of:
- Voluntary bodies
  - Different racial, ethnic or national groups
  - Different religious groups
  - Disabled persons groups
  - Business groups
- 3.6 **Other consultees** have been identified in addition to specific and general consultation bodies to ensure that local groups, organisations and individuals in Rutland have the opportunity to become involved in the preparation of the Local Plan. These are grouped under the following headings:
- Amenity groups
  - Built Environment
  - Community
  - Economy
  - Education
  - Ethnic Minority Groups Including Gypsies & Travellers
  - Healthcare
  - Housing
  - Landowners/Agents
  - Minerals & Waste Operators
  - Natural Environment
  - Older Persons Groups
  - Service Providers
  - Sports & Leisure
  - Transport

## The Duty to Co-operate

- 3.7 The Localism Act 2011 places a duty on Local Planning Authorities and other public bodies to co-operate with each other. The duty requires on-going, constructive and active engagement on strategic cross boundary matters in order to maximise the effectiveness of the Plan, including considering joint approaches to plan making. This could include joint evidence base documents with adjoining local authorities.
- 3.8 Council's must also produce, maintain and update statements of common ground documenting the strategic cross boundary matters to be addressed and the progress which has been made in cooperating to address these. These should be produced using the approach set out in national planning guidance and be made publicly available.
- 3.9 The Council will prepare a Duty to Cooperate Statement of Compliance to demonstrate how it considers it has satisfied the duty in preparing the Local Plan. The Local Plan examination will assess whether the Council has complied with the duty to cooperate.

## Consultation Database

- 3.10 To manage the consultation process and to ensure records are up to date, the Council maintains a database with the relevant contact details of the various bodies to be consulted. This includes those that have either commented upon previous consultation documents or expressed an interest in being involved with the preparation of the Local Plan. In 2018 in compliance with the General Data Protection Regulations (2018) (GDPR) the Council contacted all those on the Local Plan mailing list asking them to confirm that they wished to remain on the list. All subsequent consultation response forms have included information about how data is stored and processed in accordance with the GDPR.
- 3.11 Any organisation or individual can be added to the database at any time by contacting the planning policy team and providing their contact details. Wherever possible electronic contact details will be required. It should be noted, however, that not all bodies and organisations will be consulted on every document.
- 3.12 The subject matter of the document and the interests of the individual bodies and organisations concerned will determine this, for example where a consultation is limited to a particular topic or is particularly specialist in nature.
- 3.16 The Council will ensure access to its information in accordance with the Freedom of Information Act 2000, the Data Protection Act 1998 and the storing and processing of personal data in accordance with the General Data Protection Regulations (2018)<sup>8</sup>. Information and comments provided to the Council through consultation on the local plan will be made publicly available, unless there are specific and justifiable reasons for it to

<sup>8</sup> For the Planning Policy Privacy Notice see <https://www.rutland.gov.uk/my-services/planning-and-building-control/planning/planning-policy/planning-policy-including-housing-strategy/>

be confidential.

3.17 The Council may publish letters and completed web forms which are submitted as part of Local Plan consultations. Contact details such as email and telephone numbers will be removed, however individual names and organisations will be published. Original documents will be retained at the Council Offices where all information will be available for public inspection.

### **Engaging groups representing community and stakeholder interests**

3.18 At an early stage, it is important to involve the local community in the preparation of planning policy documents. This is essential to achieve local ownership of the planning policies for Rutland.

### **Key Stakeholders**

3.19 Key stakeholders include general and specific bodies as set out in the 2012 Local Planning Regulations where considered appropriate and may include interest groups and other organisations including local businesses or any organisation or person who has an interest in the development of land.

3.20 The Council has identified the following key bodies representing community interests in Rutland:

#### **a) Town and Parish Councils**

Town and Parish Councils and parish meetings offer an important means by which the local community can be consulted at formal and informal stages. These bodies will be consulted through a variety of means including parish briefings (including virtual briefings), email and other meetings and events.

#### **b) Rutland Water Partnership**

Rutland Water Partnership is a group of stakeholders that meet to discuss matters concerning Rutland Water and the surrounding area.

Engagement with the Rutland Water Partnership will ensure that the various views of organisations representing different interests regarding the water are considered.

### c) **The Rutland Compact**

— The Council is a signatory of the Rutland Compact, which is a written agreement between the voluntary and community sector and statutory organisations that provides a framework for the way in which they can work together effectively in Rutland.

— Part of this undertaking includes the Communication and Consultation Protocol, which outlines how all parties that are working in partnership will communicate and consult, and how they will engage, this includes having clear consultation processes and procedures. This Statement of Community Involvement will have regard to the principles set out in the protocol.

**Voluntary and community sector** The Council will consult where appropriate with the on all major planning consultations and any proposals that may have a significant effect on their services.

### d) **The Uppingham Neighbourhood Forum**

The Uppingham Neighbourhood Forum represents the voluntary sector in Uppingham. It meets quarterly and is governed by an Executive Committee of 14 community groups.

### e) **The Rutland Consortium**

The Rutland Consortium represents the voluntary sector in Rutland. It comprises of local charities and trusts within the County.

## **Engaging under-represented groups**

3.21 The Council's vision is to engage with all sections of the community, but some sections of the community are not usually involved in the planning process. Consultation will be helped by ensuring, as far as possible, that documents are produced in a clear, concise and understandable manner.

3.22 The groups identified as falling into this category and how they can be engaged in the Local Plan process is considered below.

3.23 **Young people** - The Council is keen to encourage the involvement of young people in the preparation of the local plan. This will take place through engagement with:

**Rutland Youth Council** – This is a forum for young people representing all the secondary schools in Rutland. The Rutland Youth Council is a formal decision making and discussions group made up of young people from across Rutland. The main aim of the forum is to discuss issues that affect young people and take action on them. Engagement will be through publicity and meetings, as necessary.

3.25 **The Rural Community** - Rutland has a high level of car ownership but there are still members of the rural community that, for a variety of reasons, are not mobile and have limited access to community services.

3.26 In order to keep this group informed, the Council will issue press releases to local newspapers, radio and regional TV as well as local digital media. It will distribute information to parish councils for display on village notice boards and ensure the Council's website is updated regularly.

3.27 The Parish Councils and the Council's mobile library service will also act as a source of further information for this group.

3.28 **Minority Groups** – Minority ethnic groups have a relatively small presence in Rutland. As there are no established local groups or apparent informal groupings, involvement and consultation will be through regional and national organisations.

3.29 The number of Gypsy and Travellers is relatively few in Rutland; the Council will take practical steps to involve Gypsy's, Travellers and Travelling Show Persons wherever possible, building on existing relationships where they exist.

3.30 As well as liaising with Leicestershire & Leicester City Multi Agency Traveller Unit to ensure the best approach to engagement is achieved. Consultation will also be with regional and national organisations representing these groups including The National Federation of Gypsy Liaison Groups.

### 3.31 **Vulnerable and Shielded residents – Covid19**

Measures put in place to shield the most vulnerable residents in the county from the impact of Covid19 means that there are residents who are not currently able to leave their homes and may not therefore be able to engage with the Local Plan consultation in the usual ways. The Council will seek to proactively engage with those residents who are being shielded to support them in accessing and responding to consultation.

3.32 The Council will undertake an Equality Impact Assessment on all new policy documents to ensure due regard to the general duty of the Equality Act 2010 has been given.

## Section 4: How and when will the community be involved?

### How the Council will Consult

- 4.1 Planning legislation sets out the minimum requirements for public participation when preparing Local Plan documents and Supplementary Planning Documents. This includes making consultation documents information available ~~on~~at the Council's Principal offices, ~~the libraries~~ and on the website. Local Plan consultations will be a minimum of six weeks, ~~with the exception of Consultation on~~ SPD's ~~where consultations~~ will be a minimum of four weeks. The Council considers these to be the minimum standards and aim to do better than the minimum requirements where possible. In light of the restrictions in place in response to Covid19 it is recognised that a number of the "normal" consultation techniques will not be available and new methods of engaging in virtual and electronic formats will be developed.
- 4.2 The Council will notify organisations and individuals where appropriate of any consultation events electronically or where a person does not have an email address, letters will be sent to them to inform them of the consultation. The preferred method of consultation is by email this will help reduced the spread of the disease and supports the ability of the planning team to work remotely, it also enables those involved in the Local Plan to be regularly updated during current restrictions. The submission of representations on electronic forms will in turn facilitate the Examination process and support the work of the Planning Inspector.

### Consultation Methods

- 4.3 The Council intends to use a range of methods to inform and consult with the community in preparing ~~local development~~ planning policy documents.
- 4.4 Some key potential methods of consultation, together with the main benefits are set out below. It is important to note that not all of these methods will be relevant or applicable to each stage or for every document, and some of these techniques may not be possible as Covid19 restrictions remain in place. ~~The~~ is list below is not therefore exhaustive but gives an indication of the different techniques which might be used. Appendices 1- 4 set out what the minimum consultation requirements which will be used for each stage in preparing the Local Plan (Appendix1); SPDs (Appendix 2) CIL (Appendix 3) and Neighbourhood Plans (Appendix 4) :

**Table 1: Potential Consultation techniques which might be used to the preparation of planning policy documents**

Method	Benefits
<p>Make documents and supporting information available at the Council's <del>main</del> <u>Principal Office in Oakhams</u> and public libraries at <del>Oakhams, Uppingham, Ketton, Ryhall and on the Rutland mobile library</del></p>	<p><u>Access to <del>C</del>consultation documents in printed and in electronic format, information and forms for submitting responses are free of charge and access to the submission of electronic representations and available</u>  <u>This may be by appointment</u> -during opening hours.</p>
<p><u>Make documents and supporting information available at the public libraries in Rutland *</u></p>	<p><u>Access to consultation documents in printed and electronic format free of charge and access to the submission of electronic representations available during opening hours.</u></p>
<p><u>Make provision for online engagement through the availability of all relevant documents and the submission of representations online and in electronic format.</u></p>	<p><u>Easy access to consultation documents alongside online response forms which allow for submission of representations in a user friendly format which meets the requirement of Planning Inspectorate (PINs) available 24 hours a day</u></p>
<p>Make documents and supporting information available on the Council's website</p>	<p>Information easily accessible from people's own homes and businesses, 24 hours a day.</p>
<p><u>Make additional copies of consultation documents or extracts of documents available the Local Plan on request</u>  <u>A charge will be made for printed documents and postage (in accordance with the Councils Schedule of Fees and Charges)</u></p>	<p><u>To support those who do not have access to the consultation documents via the internet or in electronic format.</u>  <u>Copies of the Local Plan can be obtained on request from Planning Policy for a fee of £35 collected from Oakham or £40 by post.</u></p>
<p><u>Hold exhibitions* (Including the use of virtual exhibitions, webinars and online presentations )where practical &amp; appropriate</u></p>	<p><u>Publicises information and enables early engagement in options</u> in a user friendly way and in a variety of locations.  <u>The use and format of exhibitions will be determined in relation to the proposed consultation stage, the document type and ability to hold such exhibitions.</u></p>
<p>Include information in a Summary Leaflet where appropriate</p>	<p>Provides a brief summary of the document and can be circulated to households where appropriate to inform plan preparation progress and encourage further involvement in the process</p>
<p>Local Plan <u>e</u>Newsletter</p>	<p>Online newsletter informs people of Local Plan progress and encourages further involvement in the process.</p>

Method	Benefits
<p><del>Include information in Rutland Parish briefing</del> <u>Distribute information to Parish and Town Councils through existing available channels</u></p> <p><del>Distribute information to Parish Councils and Meetings to be displayed on village notice boards</del></p> <p><del>Attend the Rutland Parish Forum (quarterly meetings) and/or attend Parish Council meetings where relevant</del></p> <p><u>Include updates at Parish Briefings during Covid crisis</u></p>	<p><u>Information circulated to all Town and Parish Councils and Meetings in Rutland, using existing communication channels</u></p> <p>Allows information to be displayed in public locations in local towns and villages.</p> <p>Gives opportunity for representatives of all Parish Councils and Meetings in Rutland to raise and discuss issues.</p> <p><u>Fortnightly/monthly virtual briefing to Town and Parish representatives</u></p>
<p>Press releases to local newspapers, radio and regional tv as well as local digital media</p>	<p>Information to the local community and stimulates debate. With two weekly local newspapers and a local radio station Rutland has good media coverage which reaches all parts of the community.</p>
<p>Use of social media such as Twitter @rutlandcouncil to notify followers of Local Plan progress and involvement opportunities</p>	<p>Means of engaging hard to reach groups. Provides an opportunity to encourage and facilitate discussion with interested parties.</p>
<p>Engage Rutland Youth Council and use Rutland's young people's* <u>webpage – <a href="https://www.rutland.gov.uk/my-services/health-and-family/youth-services/available-services/rutland-youth-council/">https://www.rutland.gov.uk/my-services/health-and-family/youth-services/available-services/rutland-youth-council/</a></u></p> <p><u>website <a href="http://www.RAW4youth.com">www.RAW4youth.com</a></u></p>	<p>Means of engaging young people in Rutland to promote and raise any awareness of planning issues and consultations on planning documents.</p>
<p><del>Engage 'Rutland Together' through its theme groups</del></p>	<p><del>Uses a significant body of organisations that represents a wide range of community groups and stakeholders, which meets regularly.</del></p>
<p><u>Engage with existing relevant partnership, forums and groups such as the 'Rutland Water Partnership'*</u></p>	<p><u>Using existing forums and partnerships helps to engage with and capture the views of groups on specific issues. The Rutland Water is partnership meets regularly and ; it will allow</u>s the Council to capture views relating to Rutland Water specific issues</p>

Method	Benefits
<u>Engage Meet</u> with target groups, community groups and forums, including use of <u>meetings</u> , workshops and focus groups.*	Gives opportunity for groups to raise and discuss issues
Make consultation documents available on request to Town and Parish Councils and Meetings	Disseminates information effectively to local communities.
<u>Letters and e-mails sent to consultees</u> <u>Notifications sent to those on the Local Plan mailing list</u> <u>(Letters will only be used where no email address is available)</u>	Formal means of communication with those on database; ensures communication is received  <u>Those on mailing list will be actively encouraged to provide email contact details to reduce paper notifications</u>
On-line response form on the Council's website	Comments can be submitted to the Council quickly at any time of day, with no postage costs. <u>Follows a standard format which allows Responses to can be copied accurately to database and facilitates the Examination process.</u>
Dedicated e-mail address for Local Plan matters	Means of submitting comments and contacting the Council for further information and assistance.
* <u>Assuming that this method can be safely carried out in a way which is consistent with Covid19 restrictions. This may mean ensuring social distancing measures are in place and through the use of web base, virtual and electronic formats</u>	

4.5 Further details of how these methods will be applied to development plan documents (DPDs) and supplementary planning documents (SPDs) are shown in **Appendices 1 & 2**. These identify at each stage:

- Statutory requirements for consultation (what we must do)
- Options for additional publicity and community involvement (what we could or will do extra)

4.6 Details about when consultation will take place on each document are shown in the [Local Development Scheme \(LDS\)](#)<sup>9</sup>. Progress against the key milestones for document preparation are reported annually in the [Authority Monitoring Report \(AMR\)](#)<sup>10</sup>.

<sup>9</sup> <https://www.rutland.gov.uk/my-services/planning-and-building-control/planning/planning-policy/local-development-scheme/>

<sup>10</sup> <https://www.rutland.gov.uk/my-services/planning-and-building-control/planning/planning-policy/annual-monitoring-report/>

4.7 Further information and advice on the planning process is available through a number of sources (see **Appendix 7**).

~~Local Development Scheme (LDS). A quarterly update of the documents in the LDS will be provided on the Council's website. Consultation is an on-going process and there will be opportunities for continuous involvement throughout the process.~~

~~4.7 For individuals and community groups who are not in a position to pay for the help of professional planning consultants, free and independent planning advice is available through numerous sources. See **Appendix 6** for access to further information and advice on the planning process.~~

## Section 5: Community Involvement in Planning Applications

### Development Control

5.1 The Council's Development Control Section is responsible for processing all planning applications within the County. This section of the Statement of Community Involvement sets out the Council's proposed approach for involving statutory bodies and the community in the planning application process.

5.2 Planning applications include new development, tree applications and telecommunications proposals, applications for minerals or waste proposals, listed building and conservation area consents. Opportunities exist for the community and stakeholders to be informed and consulted on development proposals.

5.3 The three main stages in this process are

- Pre-application
- Planning Application
- Planning Appeals
- ~~Advertisement Consent~~

### Pre-Application Advice and Fees

5.4 The Council encourages pre-application discussions for certain types of development before making a formal application. The objective of these discussions is to establish whether the principle of the development is acceptable and to clarify the format, type and level of detail required enabling the Council to determine the application.

5.5 As a result of the Localism Act 2011, developers are now required to consult communities before submitting certain planning applications for large scale development proposals. This gives local people a chance to comment which can then be taken into account by the developer in finalising their planning application.

5.6 Since January 2012, the Council has formal procedures in place for dealing with pre-application planning advice. The formalisation of this stage with appropriate fees allows the Council to dedicate time with applicants to improve the quality of development schemes.

5.7 Further guidance on the development control process and charges for pre-application advice is available on the Council's website [www.rutland.gov.uk/developmentcontrol](http://www.rutland.gov.uk/developmentcontrol)

## Planning Applications

- 5.8 The statutory requirements for publicity for applications for planning permission are set out in the Town and Country Planning (Development Management Procedure) (England) Order 2015<sup>9</sup>.
- 5.9 This requires the local planning authority to publicise planning applications either by site notice and/or by notification to neighbours and sometimes by advertising in the local newspaper.
- 5.10 Other regulations set out the requirements for applications for listed building and conservation area consent and for applications for planning permission affecting the setting of a listed building, or demolition within a conservation area.
- 5.11 There are a number of ways to consult on planning applications, depending on which is most appropriate. **Appendix 45** sets out in detail, publicity for planning applications published in June 2012.
- 5.12 The Council meets the statutory requirements and has an established process for publicising planning applications which includes:
- Letters/email to statutory organisations and interest groups
  - Letters to residents/businesses properties adjoining the application site
  - Site notices
  - Weekly list published on website
  - Planning applications with plans & document submitted uploaded on the on website
  - Advertisements in the local newspaper when required
  - Application available for inspection at the Council offices where required
- 5.13 Details of all planning applications are available to view on the Council's website: [view planning applications](#)
- [https://publicaccess.rutland.gov.uk/online-applications/?\\_ga=2.79940119.1621564901.1585842800-995025687.1585842800](https://publicaccess.rutland.gov.uk/online-applications/?_ga=2.79940119.1621564901.1585842800-995025687.1585842800)
- It can be used to:
- View the planning application and associated plans and documents
  - Make comments on an application
  - Search a weekly list of applications and decisions

- See if appeals have been lodged and any decisions made
- See recent planning history and property details, including maps and constraints

### Commenting on a planning application

- 5.14 Comments can be made on the website or in writing direct to the Council or by email and are uploaded on to the Council's website. The Council will take account of all responses received as a result of its consultations on planning applications where the issues raised are material planning considerations.
- 5.15 The Council can only consider objections or comments which raise relevant planning issues, e.g. highway issues, loss of daylight or sunlight or the effect a proposal might have on the appearance of the surrounding area.
- 5.16 The issue for the planning system is whether or not the proposed use, or development of the site, would be acceptable in land use and environmental terms. Responses concerning other issues cannot be taken into account when determining a planning application. These matters include, but are not restricted to:
- Loss of value of property;
  - Boundary disputes;
- 5.17 The Council has prepared a brief guide on 'Putting Your Views to the Council' which provides advice on how to comment on a planning application. This is available on the Council's website [Viewing and commenting on a planning application](http://www.rutland.gov.uk/development_control/search_and_view_applications/comment_on_a_planning_applicat.aspx)  
[http://www.rutland.gov.uk/development\\_control/search\\_and\\_view\\_applications/comment\\_on\\_a\\_planning\\_applicat.aspx](http://www.rutland.gov.uk/development_control/search_and_view_applications/comment_on_a_planning_applicat.aspx)

### Decision Stage

- 5.18 The majority of planning applications are determined by officers under delegated powers. Major or contentious applications ~~can also be determined by~~ **are decided by** the Council's Development Control & Licensing Committee, where the Development Manager or case officer considers it appropriate given the nature of the development.
- 5.19 However, a Member may request for an application to be determined by Committee but this will be subject to additional assessment and the Chairman or vice-Chairman in consultation with the Development Manager will decide whether the application should go to the Development Control & Licensing Committee. Further details are available on the Council's website in Part 8 – Scheme of Delegation which is part of the Council's Constitution.

- 5.20 Meetings of the Council's Development Control & Licensing Committee are held approximately every 4 weeks. Applications presented to Committee are accompanied by a written report and officer recommendation.
- 5.21 The applicant/agent for an application will be informed that it will be considered at a committee meeting. Members of the public who have commented on the application will also be notified about the committee meeting. Other interested parties will need to monitor the Council's website or check with Customer Services 5 days before each meeting in order to check this.
- 5.22 The Council offers all members of the public the opportunity to submit a petition, deputation and/or written question to any of its meetings, further information is available on the Council's website.
- 5.23 Details of decisions are published on the Council's website.

## Planning Appeals

- 5.24 An appeal may be submitted by the applicant where permission has been refused or permitted with conditions which the applicant considers to be unacceptable. There is also a right of appeal if the application has not been determined within the relevant time limit.
- 5.25 All those who were notified of the original application or submitted comments will be informed if an appeal is made. They also have the opportunity to make further written comments, except in the case of Householder Appeals where the Inspector makes the decision based solely on all the information on the original application file.
- 5.26 For appeals decided by informal hearing or public inquiry, interested parties are also given the opportunity to appear before the Inspector at the hearing or inquiry. The Inspectorate will consider the evidence and decide whether to 'allow' or 'dismiss' the appeal.
- 5.27 The Planning Inspectorate will inform the Council and interested parties of the outcome. The Planning Inspector's decision is binding on the Council, although it can be challenged on a point of law in the High Court. Third parties do not have the right to appeal decisions.
- 5.28 Further information is available on the Council's website and provides links to the Planning Inspectorate's website and to the appeal section on the Planning Portal website.

## Recent Changes

- ~~5.29 The government has made recent changes to how the Council deals with certain development to stimulate growth. On household extensions a new neighbour notification process has been brought in over the next 3 years until 30<sup>th</sup> May 2016.~~

5.30 Further information on the changes can be viewed on the council's website  
[http://www.rutland.gov.uk/development\\_control/do\\_i\\_need\\_planning\\_permission/new\\_rules\\_for\\_home\\_extensions.aspx](http://www.rutland.gov.uk/development_control/do_i_need_planning_permission/new_rules_for_home_extensions.aspx)



## Appendix 1: Consultation on Local Plan Documents

This table sets out the minimum consultation or notification which will be used for each stage in the Plan making process. Additional complementary techniques (from table 1 within the SCI) may also be used depending on the stage, nature of the documents and the relevance of the consultation method proposed.

Stage	Who will be notified?	Period of consultation/notice period	Minimum consultation or notification method	Additional consultation methods which may be used
<p><b>Plan Preparation (Regulation 18)</b></p> <p>Issues &amp; Options/ Preferred Options</p>	<p>Those bodies or persons that the Council considers to have an interest in the Plan, such bodies will include relevant:</p> <ul style="list-style-type: none"> <li>• specific consultation bodies</li> <li>• general consultation bodies</li> <li>• Residents or businesses within the area where appropriate</li> </ul>	<ul style="list-style-type: none"> <li>• Informal and on-going involvement in plan preparation will be possible up to its publication</li> <li>• There will be at least one 'formal' consultation period during the plan preparation, normally with a minimum consultation period of 6 weeks (up to a maximum of 12 weeks)</li> </ul>	<ul style="list-style-type: none"> <li>• Engage with/involve as appropriate <ul style="list-style-type: none"> <li>— <u>Rutland Together</u></li> <li>— <u>Rutland Parish and Town Forum Councils</u></li> <li>— Target groups and stakeholders</li> </ul> </li> <li>• Those considered to have an interest will be informed by email or letter setting out: <ul style="list-style-type: none"> <li>- the consultation period</li> <li>- the plan stage</li> <li>- how the plan can be viewed (including an electronic copy or link where relevant)</li> </ul> </li> <li>• Draft Plan(s) and accompanying documents will be made available at the Council offices, Libraries and published on the Council's website <a href="http://www.rutland.gov.uk">www.rutland.gov.uk</a></li> </ul>	<ul style="list-style-type: none"> <li>• <del>Press release to local newspapers, radio and regional tv as well as local digital media;</del></li> <li>• <del>Advert in local newspapers may be considered appropriate</del></li> <li>• <del>Notice circulated to Town and Parish Councils and Meetings for public display</del></li> <li>• <del>Public meetings and/or exhibitions</del></li> </ul>

Stage	Who will be notified?	Period of consultation/notice period	Minimum consultation or notification method	Additional consultation methods which may be used
			<ul style="list-style-type: none"> <li>• Online response form on Council's website <a href="http://www.rutland.gov.uk">www.rutland.gov.uk</a></li> <li>• Dedicated e-mail address <a href="mailto:localplan@rutland.gov.uk">localplan@rutland.gov.uk</a> for responses and enquiries</li> <li>• <u>Press release to local newspapers, radio and regional tv as well as local digital media,</u></li> </ul>	<ul style="list-style-type: none"> <li>• <del>Stakeholder group meetings</del></li> <li>• <del>Summary Leaflet prepared which may be circulated to households in Rutland</del></li> <li>• <del>Local Plan Newsletter</del></li> <li>• <del>The Council will investigate the use of social media</del></li> </ul>
<p><b>Plan Publication (Regulation 19 &amp; 20)</b></p> <p><b>Proposed Submission <u>Plan</u></b></p>	<ul style="list-style-type: none"> <li>• All those notified at plan preparation stage will be notified</li> <li>• Inform those who responded to plan preparation consultation</li> </ul>	<ul style="list-style-type: none"> <li>• Statutory period of at least 6 weeks</li> </ul>	<ul style="list-style-type: none"> <li>• A statement of the representations procedure will be sent to general and specific consultation bodies as required;</li> <li>• Inform appropriate target groups and stakeholders by email (or letter) setting out: <ul style="list-style-type: none"> <li>- the consultation period</li> <li>- the plan stage</li> <li>- <u>how the plan can be viewed</u></li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• <del>prior or during the consultation period</del> <u>press release to local newspapers radio and regional tv as well as local digital</u></li> </ul>

Stage	Who will be notified?	Period of consultation/notice period	Minimum consultation or notification method	Additional consultation methods which may be used
			<p>(including an electronic copy or link where relevant)</p> <ul style="list-style-type: none"> <li>- <u>advise those without internet access to contact the Local Plans team directly to discuss their needs</u></li> <li>• <u>Draft Plan(s) and accompanying documents will be made available at the Council's principal office and on the Council's at the Council offices, Libraries and published on the Council's website <a href="http://www.rutland.gov.uk">www.rutland.gov.uk</a></u></li> <li>• <u>Copies or extracts of the Plan made available in print at cost or electronic format at cost and on request.</u></li> <li>• Online response form on Council's website <a href="http://www.rutland.gov.uk">www.rutland.gov.uk</a></li> <li>• <u>Dedicated e-mail address <a href="mailto:localplan@rutland.gov.uk">localplan@rutland.gov.uk</a> for responses and enquiries</u></li> <li>• <u>Press release to local</u></li> </ul>	<p>media, Local Plan newsletter</p> <ul style="list-style-type: none"> <li>• <u>Advert in local newspapers maybe considered appropriate</u></li> <li>• <u>Notice circulated to Town and Parish Councils and Meetings for public display</u></li> <li>• <u>Public meetings and/or exhibitions</u></li> <li>• <u>Stakeholder group meetings</u></li> <li>• <u>summary</u></li> </ul>

Stage	Who will be notified?	Period of consultation/notice period	Minimum consultation or notification method	Additional consultation methods which may be used
			<p><u>newspapers radio and regional tv as well as local digital media.</u></p>	<p>Leaflet to households in Rutland may be considered appropriate <u>Use of Council monthly Newsletter</u></p>
<p><b>Submission of Plan to Secretary of State (Regulation 22)</b></p>	<ul style="list-style-type: none"> <li>All those notified at plan preparation and publication stage will be notified that the plan has been submitted and where it can be inspected</li> <li>Anyone who has specifically asked to be notified when the plan is submitted</li> </ul>	<ul style="list-style-type: none"> <li>Not a consultation stage</li> </ul>	<ul style="list-style-type: none"> <li>Plan and accompanying documents to be sent <del>in paper form and</del> electronically to the Secretary of State</li> <li>Plan and accompanying documents will be <u>made available at the Council's principal office and made available at the Council offices, Libraries and</u> published on the Council's website <a href="http://www.rutland.gov.uk">www.rutland.gov.uk</a></li> <li><u>A statement will be placed on the Council's website setting out how the plan and accompanying documents can be accessed</u></li> <li><u>Press release to local</u></li> </ul>	<ul style="list-style-type: none"> <li><del>A</del></li> <li><del>Press release to local newspapers radio and regional tv as well as local digital media,</del></li> <li><del>Advert in local newspapers may be considered appropriate</del></li> <li><del>U</del></li> </ul>

Stage	Who will be notified?	Period of consultation/notice period	Minimum consultation or notification method	Additional consultation methods which may be used
			<p><u>newspapers radio and regional tv as well as local digital media.</u></p> <ul style="list-style-type: none"> <li><del>A statement will be placed on the Council's website and made available at the Council offices and Libraries setting out where the plan and accompanying documents are available and the times at which they can be inspected.</del></li> </ul>	
<p><b>Independent Examination (Regulation 24)</b></p>	<ul style="list-style-type: none"> <li>Any person with an outstanding representation from the plan publication (Reg 19) stage</li> </ul>	<ul style="list-style-type: none"> <li>Notification about examination at least 6 weeks before the opening of the hearing</li> <li>6 week consultation period if there are main modifications <u>(or as required by the Inspector)</u></li> </ul>	<ul style="list-style-type: none"> <li>Public notice on the Council's website and a hard copy on display in the Council <u>principal</u> offices setting out where the hearing will be held and the name of the Inspector appointed to carry out the examination</li> <li>Email <u>(or letter)</u> to any person with an outstanding representation from the plan publication (Reg 19) stage</li> <li>In the event of main modifications being proposed, notification will be via email <del>or letter</del> and public notice on</li> </ul>	<ul style="list-style-type: none"> <li><del>Press release to local newspapers</del></li> <li><del>Advert in local newspapers</del></li> </ul>

Stage	Who will be notified?	Period of consultation/notice period	Minimum consultation or notification method	Additional consultation methods which may be used
			Council's website and at the Council office	
<b>Publication of Inspector's recommendations (Regulation 25)</b>	<ul style="list-style-type: none"> <li>All persons who requested to be notified will be given notice that the recommendations are available</li> </ul>	<ul style="list-style-type: none"> <li>Not a consultation stage</li> </ul>	<ul style="list-style-type: none"> <li>Inspector's recommendations will be made available at the Council's <u>principal</u> offices and published on the Council's website <a href="http://www.rutland.gov.uk">www.rutland.gov.uk</a></li> <li><u>Give notice to those persons</u> <del>Email or letter to</del> those who have requested to be notified</li> <li><u>Press release to local newspapers radio and regional tv as well as local digital media</u></li> </ul>	<ul style="list-style-type: none"> <li><del>Use of Council monthly Newsletter</del></li> <li><del>Press release to local newspapers radio and regional tv as well as local digital media</del></li> </ul>
<b>Adoption of a plan (Regulation 26)</b>	<ul style="list-style-type: none"> <li>The Secretary of State</li> <li>Anyone who has specifically asked to be notified when the plan is adopted.</li> </ul>	<ul style="list-style-type: none"> <li>Not a consultation stage</li> </ul>	<ul style="list-style-type: none"> <li><u>As soon as is reasonably practicable</u> after the Council adopts a plan, the plan and accompanying documents will be made available at the Council offices <del>and Libraries</del> and on the Council's website</li> <li><del>A notice setting out where how the plan and accompanying documents can be accessed will be published on Council's website and at the Council office</del></li> </ul>	<ul style="list-style-type: none"> <li><del>Press release to local newspapers radio and regional tv as well as local digital media, T</del></li> <li><del>Local Plan newsletter</del></li> <li><u>Use of Council monthly</u></li> </ul>

Stage	Who will be notified?	Period of consultation/notice period	Minimum consultation or notification method	Additional consultation methods which may be used
			<p><del>are available and the times at which they can be inspected.</del></p> <ul style="list-style-type: none"> <li>• <u>A copy of the adoption statement will be sent via email or letter to the Secretary of State and to anyone who has specifically asked to be notified and have provided an email address</u></li> <li>• <u>Press release to local newspapers radio and regional tv as well as local digital media</u></li> </ul>	<p><u>Newsletter</u>  <del>—</del> <u>Press release to local newspapers radio and regional tv as well as local digital media.</u></p>

## Appendix 2: Consultation on Supplementary Planning Documents

This table sets out the minimum consultation or notification which will be used for each stage in the SPD making process. Additional complementary techniques (from table 1 within the SCI) may also be used depending on the stage, nature of the documents and the relevance of the consultation method proposed.

<u>Stage</u>	<u>Who will be notified?</u>	<u>Period of consultation/notice period</u>	<u>Minimum consultation or notification method</u>
<u>Preparation and Publication of Draft SPD (Regulation 12)</u>	<p>Those bodies or persons that the Council considers to have an interest in the document, such bodies will include relevant:</p> <ul style="list-style-type: none"> <li>• <u>specific consultation bodies</u></li> <li>• <u>general consultation bodies</u></li> <li>• <u>Residents or businesses within the area where appropriate</u></li> </ul>	<ul style="list-style-type: none"> <li>• <u>There will be one 'formal' consultation period during the preparation, normally with a minimum consultation period of 4 weeks</u></li> </ul>	<ul style="list-style-type: none"> <li>• <u>Engage with/involve as appropriate</u> <ul style="list-style-type: none"> <li>- <u>Rutland Parish and Town Council</u></li> <li>- <u>Target groups and stakeholders where relevant</u></li> </ul> </li> <li>• <u>Those considered to have an interest will be informed by email or letter setting out:</u> <ul style="list-style-type: none"> <li>- <u>the consultation period</u></li> <li>- <u>how the document can be viewed (including an electronic copy or link where relevant)</u></li> </ul> </li> <li>• <u>Draft document will be made available at the Council offices, Libraries and published on the Council's website <a href="http://www.rutland.gov.uk">www.rutland.gov.uk</a></u></li> <li>• <u>Online response form on Council's website <a href="http://www.rutland.gov.uk">www.rutland.gov.uk</a></u></li> </ul>

<u>Stage</u>	<u>Who will be notified?</u>	<u>Period of consultation/notice period</u>	<u>Minimum consultation or notification method</u>
			<ul style="list-style-type: none"> <li>• <u>E-mail address <a href="mailto:localplan@rutland.gov.uk">localplan@rutland.gov.uk</a> for responses and enquiries</u></li> </ul>
<b><u>Adoption of SPD (Regulation 14)</u></b>	<ul style="list-style-type: none"> <li>• <u>Anyone who has specifically asked to be notified when the SPD is adopted</u></li> </ul>	<u>Not a consultation stage</u>	<ul style="list-style-type: none"> <li>• <u>An adoption and consultation statement together with the adopted SPD, will be made available at the Council offices, Libraries and published on the Council's website <a href="http://www.rutland.gov.uk">www.rutland.gov.uk</a></u></li> <li>• <u>Anyone who has asked to be notified will be sent an email or letter including a copy of the Adoption Statement</u></li> </ul>

### **Appendix 3: Consultation on Community Infrastructure Levy**

This table sets out the minimum consultation or notification which will be used for each stage in the process of reviewing of CIL. Additional complementary techniques (from table 1 within the SCI) may also be used depending on the stage, nature of the documents and the relevance of the consultation method proposed.

<b><u>Stage</u></b>	<b><u>Who will be notified?</u></b>	<b><u>Period of consultation/notice period</u></b>	<b><u>Minimum consultation or notification method</u></b>
<b><u>Consultation on Draft Charging Schedule (Regulation 15)</u></b>	<p>Those bodies or persons that the Council considers to have an interest in the document, such bodies will include relevant:</p> <ul style="list-style-type: none"> <li>• <u>Consultation bodies</u></li> <li>• <u>Residents, businesses, voluntary bodies or business bodies within the area where appropriate</u></li> </ul>	<ul style="list-style-type: none"> <li>• <u>Minimum of 6 weeks</u></li> </ul>	<ul style="list-style-type: none"> <li>• <u>Copy of the draft charging schedule, relevant evidence and a statement of the representations procedure will be sent to the Consultation bodies inviting them to make representations</u></li> <li>• <u>Copy of the draft charging schedule, relevant evidence and a statement of the representations procedure available for inspection at the Council offices, Libraries and published on the Council's website <a href="http://www.rutland.gov.uk">www.rutland.gov.uk</a></u></li> <li>• <u>Local advertisement notice which sets out a statement of the representations procedure and a statement of the fact that the draft charging schedule and relevant evidence are available for inspection and of the places at which they can be inspected.</u></li> <li>• <u>Online response form on Council's website <a href="http://www.rutland.gov.uk">www.rutland.gov.uk</a></u></li> <li>• <u>Dedicated e-mail address</u></li> </ul>

<u>Stage</u>	<u>Who will be notified?</u>	<u>Period of consultation/notice period</u>	<u>Minimum consultation or notification method</u>
			<p><a href="mailto:localplan@rutland.gov.uk">localplan@rutland.gov.uk</a> for responses and enquiries</p> <ul style="list-style-type: none"> <li>•</li> </ul>
<b><u>Withdrawal of a draft charging schedule (Regulation 18)</u></b>	<u>All those previously consulted on the draft charging schedule</u>		<ul style="list-style-type: none"> <li>• <u>Publish statement on the Council's website <a href="http://www.rutland.gov.uk">www.rutland.gov.uk</a></u></li> <li>• <u>Place notice in the local newspapers</u></li> <li>• <u>Remove the draft charging schedule from the Council's website, the Council offices &amp; libraries</u></li> </ul>
<b><u>Submission of documents and information to the Examiner (Regulation 19)</u></b>	<ul style="list-style-type: none"> <li>• <u>Those who requested to be notified that the draft charging schedule has been submitted</u></li> </ul>	<u>Not a consultation stage</u>	<ul style="list-style-type: none"> <li>• <u>Copy of the draft charging schedule, relevant evidence and a statement of the representations procedure available for inspection at the Council offices, Libraries and published on the Council's website <a href="http://www.rutland.gov.uk">www.rutland.gov.uk</a></u></li> <li>• <u>Give notice to those persons who requested to be notified of the submission of the draft charging schedule to the examiner that the draft has been submitted</u></li> <li>• <u>If modified send a copy of the statement of modifications to all those consulted on the draft charging schedule</u></li> </ul>
<b><u>Examination (Regulation 21)</u></b>	<ul style="list-style-type: none"> <li>• <u>Those who have made representations</u></li> </ul>	<u>Not a consultation stage</u>	<ul style="list-style-type: none"> <li>• <u>Publish details of the examination and Inspector on the Council's website</u></li> </ul>
<b><u>Publication of Examiner's</u></b>	<ul style="list-style-type: none"> <li>• <u>Those who requested to be notified of the examiner's</u></li> </ul>	<u>Not a consultation stage</u>	<ul style="list-style-type: none"> <li>• <u>Copy of the examiner's recommendations made available for inspection at the Council</u></li> </ul>

<u>Stage</u>	<u>Who will be notified?</u>	<u>Period of consultation/notice period</u>	<u>Minimum consultation or notification method</u>
<u>recommendations (Regulation 23)</u>	<u>recommendations</u>		<p><u>offices, Libraries and published on the Council's website <a href="http://www.rutland.gov.uk">www.rutland.gov.uk</a></u></p> <ul style="list-style-type: none"> <li>• <u>Give notice to those persons who requested to be notified of the publication of the examiner's recommendations and reasons that they have been published</u></li> </ul>
<u>Approval and publication of a charging schedule (Regulation 25)</u>	<ul style="list-style-type: none"> <li>• <u>Those who requested to be notified of the approval of the charging schedule</u></li> </ul>		<ul style="list-style-type: none"> <li>• <u>Publish the charging schedule and make available for inspection at the Council offices, Libraries and on the Council's website <a href="http://www.rutland.gov.uk">www.rutland.gov.uk</a></u></li> <li>• <u>Give notice by advertisement in local newspaper of the approval of the charging schedule</u></li> <li>• <u>Give notice to those persons who requested to be notified of the approval of the charging schedule that it has been approved</u></li> <li>• <u>Send a copy of the charging schedule to each of the relevant consenting authorities</u></li> </ul>



## Appendix 4: Neighbourhood Planning – Rutland County Council Statutory Requirements

This table sets out the minimum consultation or notification which will be used for each stage in the process of preparing a Neighbourhood Plan. Additional complementary techniques (from table 1 within the SCI) may also be used depending on the stage, nature of the documents and the relevance of the consultation method proposed.

<u>Stage</u>	<u>Who will be notified?</u>	<u>Period of consultation/notice period</u>	<u>Minimum consultation or notification method</u>
<u>Designation of Neighbourhood Area (Regulation 5)</u>	<ul style="list-style-type: none"> <li>• <u>Consult with relevant consultees including adjoining Parishes, statutory bodies<sup>11</sup></u></li> <li>• <u>Confirm designation to Qualifying Body and anyone who made representations on application</u></li> </ul>	<u>6 weeks</u>	<u>Publish application on website</u>  <u>Publish designation notice on website</u>
<u>Publish Submitted Plan (Regulation 16)</u>	<ul style="list-style-type: none"> <li>• <u>Notify relevant consultation bodies</u></li> </ul>	<u>6 weeks</u>	<u>Copy of the submitted Plan, relevant evidence and a statement of the representations procedure available for inspection at the Council offices and published on the Council's website</u>  <u>Online response form</u>  <u>Dedicated email address for responses and enquiries</u>

<sup>11</sup> If the Parish Council is proposing the area to be designated covers the whole of the Parish there is no requirement to consult as the Council must designate the Neighbourhood Area

<u>Publication of Examiners Report (Regulation 18)</u>	<ul style="list-style-type: none"> <li>• <u>Notify:</u> <ul style="list-style-type: none"> <li>- <u>relevant consultation bodies</u></li> <li>- <u>Qualifying Body</u></li> <li>- <u>Anyone who has specifically requested to be notified</u></li> <li>- <u>Residents and businesses within Neighbourhood Area</u></li> </ul> </li> </ul>	<u>Not a consultation stage</u>	<u>Give notice by email (or letter) of publication of Examiners Report and Decision Statement</u>  <u>Copy of the Examiners Report and Decision Statement available for inspection at the Council offices and published on the Council's website</u>
<u>Referendum</u>		<u>Not a consultation stage</u>	<u>Publish information statement at least 28 days before referendum on website</u>
<u>Making Neighbourhood Plan (Regulation 20)</u>	<ul style="list-style-type: none"> <li>• <u>Notify :</u> <ul style="list-style-type: none"> <li>• <u>anyone who has requested to be notified</u></li> <li>• <u>Qualifying Body</u></li> </ul> </li> </ul>	<u>Not a consultation stage</u>	<u>Give notice by email (or letter) that the Plan has been made and where it can be inspected</u>  <u>Copy of made Neighbourhood Plan made available for inspection at Council offices and published on Council website</u>

## Appendix 5: Consultation on Planning Applications

### STATEMENT OF CONSULTATION - JUNE 2012

#### Publicity for planning applications

1. Publicity for planning applications will take many forms. Some of these are statutory and some are non-statutory. The Council does publicise well beyond its statutory requirements.
2. A "Planning Application" includes all outline-and full applications.
3. Applications for Lawful Development Certificates, Works to Trees in Conservation Areas, Non - Material Amendments, Discharge of Conditions, Certificates of Appropriate Alternative Development, Advertisement consent Hazardous Substances Consent and Prior Notifications for Agricultural Works and Buildings, Demolitions, Telecommunications or Railways will not normally be the subject of publicity, except in accordance with paragraph 9. The only exception is Telecommunications Prior Notifications, which do require a site notice. Publicity for Prior Notifications for Demolition and sometimes for Agriculture is the responsibility of the applicant.
4. Applications for Listed Building Consent and Conservation Area Consent will be publicised in accordance with the statutory requirements contained in Regulation 5 of the Planning (Listed Buildings and Conservation Areas) Regulations 1990 (LB regulations). These regulations require a site notice and press advertisement in most cases. The exception would be when works only affect the interior of a Grade 2 Listed Building.

#### Statutory Publicity

Nature of Development	Publicity to be Given	Regulations
Environmental Statement	Newspaper and Site Notice	Town and Country Planning ( Development Management Procedure) Order 2015 <del>0</del> Article 1 <del>5</del> <del>3</del> (2)(a)
Does not accord with the provisions of the Development Plan	Newspaper and Site Notice	DMPO 2015 <del>0</del> Article 1 <del>5</del> <del>3</del> (2)(b)

Affect a Right of Way	Newspaper and Site Notice	DMPO 2015 <del>0</del> Article 15 <del>3</del> (2)(c)
<p>Major development. (unless in 2(a) to 2 (c) above)</p> <p><u>(a) The wining and working of minerals or the use of land for mineral-working deposits:</u></p> <p><u>(b) Waste development:</u></p> <p><del>(a)(c)</del> n/a  <del>(b)(d)</del> n/a  <del>(c)(e)</del> the provision of dwelling houses where-</p> <p>(i) the number of dwelling houses to be provided is 10 or more; or</p> <p>(ii) the development is to be carried out on a site having an area of 0.5 hectare or more and it is not known whether the development falls within paragraph (c)(i);</p> <p>(d) the provision of a building or buildings where the floor space to be created by the development is 1,000 square metres or more; or</p> <p>(e) development carried out on a site having an area of 1 hectare or more.</p>	Newspaper and Site Notice	DMPO 2015 <del>0</del> Article 15 <del>3</del> (4)
All other "Planning Applications"	<p>(a) <u>By Site Notice</u> (unless site notice is required under Sections 67 or 73 of the Planning (Listed Buildings and Conservation Areas) Act 1990)</p> <p><u>or</u></p> <p>(b) <u>by serving notice on any adjoining owner or occupier</u></p>	DMPO 2015 <del>0</del> Article 15 <del>3</del> (5)

Lawful Development Certificates, Works to Trees in Conservation Areas or covered by a Tree Preservation Order, Non – Material Amendments, Discharge of Conditions, Certificates of Appropriate Alternative Development, Hazardous Substances Consent and Prior Notifications for Agricultural Works and Buildings, Demolitions or Railways	None.	-
Prior Notifications for Telecommunications.	<ol style="list-style-type: none"> <li>1. Site Notice always;</li> <li>2. A newspaper advert only if <a href="#">Part 3 of the Wildlife and Countryside Act (1981) Article 8</a> applies, e.g. affects a public right of way, contrary to the development plan or site area exceeds 1 hectare.</li> <li>3. If site area exceeds 1 hectare must notify all adjoining owners or occupiers.</li> </ol>	Part <del>16</del> <sup>24</sup> of the Town and County Planning (General Permitted Development) Order <del>1995</del> <sup>2015</sup> .
<del>Conservation Area Consent Application.</del>	<del>Newspaper and Site Notice.</del>	<del>Regulation 5 of the LB Regulations.</del>
Listed Building Consent Application.	Newspaper and Site Notice, unless works are wholly internal on a Grade 2 listed building.	Regulation 5 of the LB Regulations.
Development affecting the setting of a listed building.	Newspaper and Site Notice.	Section 67 of the Planning (Listed Buildings and Conservation

		Areas) Act 1990.
Development affecting the character or appearance of a conservation area.	Newspaper and Site Notice.	Section 73 of the Planning (Listed Buildings and Conservation Areas) Act 1990.

5. All newspaper advertisements are published in the public notices section of the Rutland Times ~~on a Thursday.~~

## **Non-Statutory Publicity**

6. Applications for Reserved Matters do not require statutory publicity. They will normally be the subject of a site notice or notification of adjacent owners / occupiers on a discretionary basis.
7. Neighbour notifications will take place on Planning and Reserved Matters Applications, in most cases this will be on a non-statutory, discretionary basis where a site notice has been posted near the site, but on a non-statutory, discretionary basis. They are a secondary means of publicity. The primary method ~~-, where one is use will be the is~~ the site notice. The notifications will be undertaken on the basis of properties that, in the opinion of the case officer, are affected to a material extent by the development. The Council does not have property ownership records, so land without any buildings in active residential or commercial use will not be notified. Notifications will normally be limited to properties sharing a common boundary with an application site. For larger developments such as a new dwelling it may, at the case officer's discretion, be appropriate to notify properties on the opposite side of a road. For major developments the Council cannot hope to notify all who consider themselves affected, but the case officer will in such a case give consideration to properties that do not share a common site boundary.
8. Weekly lists of applications are provided for publicity purposes to:
  - Amenity societies
  - Local newspapers
  - Local radio
  - Published on the Council's website
  - Parish and town councils

## **Revised Plans submitted on a Planning Application**

9. There is no statutory publicity requirement. Where an application is amended through negotiation in a manner which, in the opinion of the case officer, improves the ~~—~~ circumstances for neighbours there is generally no need to re-consult them. The exception would be if the changes are sufficiently major that the neighbours might reasonably have expected to be notified, or if the impact on a neighbour has worsened.

## **Advertisement Consents**

10. There is no statutory requirement for publicity and in general the publicity in paragraph 9 is sufficient. The exception is cases which, in the opinion of the case officer, result in a material impact on a residential property. For example, an illuminated sign close to and visible from principal rooms in a residential property.

### **Non – Material Amendments**

11. The applicant is responsible for notifying anyone with an ownership interest. As the amendment is non – material then by definition it should not affect anyone. No wider publicity is therefore required.

### **Discharge of Conditions**

12. This is a matter of detail and the key elements of the development are already approved. No publicity is therefore required.

### **Works to Trees Covered by a TPO**

13. A discretionary site notice will be displayed if any tree is to be felled as this is likely to be of wider public interest. Other tree applications have a more limited effect and no publicity is required.

## Appendix 6: Glossary

<u>Title</u>	<u>Abbreviation</u>	<u>Description</u>
<u>Adoption</u>		<u>The final confirmation of the status of a planning policy document by a local planning authority (LPA).</u>
<u>Authority Monitoring Report</u>	<u>AMR</u>	<u>Report on how authority is performing with regard to meeting the timetables for preparation of Local Plan documents and the performance of planning policies, with the identification of any remedial action to be taken if required</u>
<u>Community Infrastructure Levy</u>	<u>CIL</u>	<u>Mechanism for securing developer contributions towards the cost of providing essential community infrastructure.</u>
<u>Development Plan</u>		<u>The statutory plan that provides the basis for determining planning applications. Comprises adopted Local Plans and neighbourhood plans that have been made.</u>
<u>Development Plan Document</u>	<u>DPD</u>	<u>Document subject to independent examination, which will form part of the statutory development plan for the area. Sets out the planning policy framework against which planning applications are assessed. Part of the Local Plan.</u>
<u>Equalities Impact Assessment</u>	<u>EIA</u>	<u>An evaluation tool which analyses the effect that a policy or procedure will have on a particular group of people to highlight whether their needs are being met and if there are any issues requiring further action. The tool promotes equality and aims to ensure there are no discriminatory effects.</u>
<u>Issues and Options</u>		<u>Produced during the initial stage of the preparation of Development Plan Documents.</u>
<u>Local Development Scheme</u>	<u>LDS</u>	<u>The Council's three-year programme for preparing Local Development Documents. Part of the Local Plan.</u>
<u>Local Plan</u>		<u>In law described as a Development Plan Document (DPD) can consist of either strategic or non-strategic policies, or a combination of the two. They are subject to an independent examination by a planning inspector and are prepared in consultation with the local community</u>
<u>Localism Act 2011</u>		<u>The Localism Act aims to shift power away from central government and towards local people, communities and councils. Contains</u>

<u>Title</u>	<u>Abbreviation</u>	<u>Description</u>
		<u>provisions intended to simply and clarify the planning system.</u>
<u>National Planning Policy Framework</u>	<u>NPPF</u>	<u>Sets out the government's planning policies and how these are expected to be applied. .</u>
<u>Neighbourhood Plan</u>	<u>NP</u>	<u>A plan prepared by a Town/Parish Council or neighbourhood forums for a specific neighbourhood area. They are subject to community consultation, an independent examination by an examiner and a local referendum process. Once made, these documents form part of the statutory development plan for the area</u>
<u>Neighbourhood Development Order</u>		<u>Enables the community to grant planning permission for development it wishes to see</u>
<u>Planning Inspectorate (PINS)</u>		<u>Executive agency of the Ministry of Housing, Communities and Local Government. Responsible for determining outcome of planning and enforcement appeals and holding examinations into local plans.</u>
<u>Public Examination</u>		<u>The Local Plan will be examined by an independent Inspector whose role it is to assess whether the plan has been prepared in accordance with the Duty to Co-operate, legal and procedural requirements and whether it is sound.</u>
<u>Statement of Consultation</u>		<u>A report on how the Council has consulted the communities on the preparation of the development plan, met the key milestones set out in the Local Development Scheme and the main issues raised and responses to those issues.</u>
<u>Statement of Community Involvement</u>	<u>SCI</u>	<u>Sets out how the Council will engage and consult with the public and other stakeholders during the production of the Local Plan and when dealing with planning applications</u>
<u>Supplementary Planning Document</u>	<u>SPD</u>	<u>Expand on policies and proposals in Local Plans. They do not form part of the statutory development plan and are not subject to independent examination. SPDs are typically produced to provide more detailed guidance on how a particular policy should be implemented or site developed. Once adopted, SPDs form part of the Local Plan as non-statutory documents.</u>
<u>Stakeholder</u>		<u>A person, group, company, association, etc with an interest in, or potentially affected by planning decisions in Rutland.</u>

<u>Title</u>	<u>Abbreviation</u>	<u>Description</u>
<u>Sustainability Appraisal</u>	<u>SA</u>	<u>Document setting out the appraisal of plans and policies to ensure they reflect sustainable development objectives.</u>
<u>Test of Soundness</u>		<u>A series of questions the Independent Inspector asks during the examination of the development plan document(s) to assess whether it has been positively prepared, justified, effective &amp; consistent with national policy.</u>
<u>The Council</u>		<u>Rutland County Council</u>
<u>Town and Country Planning (Local Plans) (England) Regulations 2012 (as amended)</u>		<u>The regulations that set out the process by which the Local Plans and SPDs must be prepared</u>

## **Appendix 7: Further information and advice on planning**

### **The Planning Portal**

The Planning Portal is the Government's online 'one-stop-shop' for planning and building services. It provides information on the planning system, allows you to submit a planning application, find out about development in your area, appeal against a decision and research government policy.

Website: [www.planningportal.gov.uk](http://www.planningportal.gov.uk)

Email: [support@planningportal.gsi.gov.uk](mailto:support@planningportal.gsi.gov.uk)

### **Department of Communities and Local Government (DCLG)**

The DCLG provides general information on the planning system including the latest national planning policy, decisions on planning appeals, research and statistics and reform of the planning systems.

Website: [www.communities.gov.uk](http://www.communities.gov.uk)

Email: [contactus@communities.gov.uk](mailto:contactus@communities.gov.uk)

Postal Address: Eland House, Bressenden Place, London SW1E 5DU

Telephone Number: 030 3444 0000

### **Planning Aid England (PAE)**

Planning Aid England provides free, independent and professional planning advice to communities and individuals who cannot afford to pay professional fees. It is provided by the Royal Town Planning Institute.

Website: [www.rtpi.org.uk/planningaid](http://www.rtpi.org.uk/planningaid)

Email: [info@planningaid.rtpi.org.uk](mailto:info@planningaid.rtpi.org.uk)

Telephone Number: 0330 1239244

Postal Address: The Royal Town Planning Institute, 41 Botolph Lane, London EC3R 8DL

Telephone: 020 32061880

### **The Planning Inspectorate**

The Planning Inspectorate processes planning appeals and holds examinations into planning policy documents and the Community Infrastructure Levy (CIL).

Website: [www.planning-inspectorate.gov.uk](http://www.planning-inspectorate.gov.uk)

Postal Address: The Planning Inspectorate, Room 3/13, Temple Quay House, 2 The Square, Temple Quay, Bristol BS1 6PN

Telephone: 0303 444 5000