



# CABINET AND COMMISSIONERS' DECISION MAKING MEETING

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**Monday, 10 July 2017**

**10.00 a.m.**

**Council Chamber, Town Hall,  
Moorgate Street, Rotherham. S60 2TH**

**Cabinet Members:-**

Leader of the Council  
Deputy Leader of the Council  
Adult Social Care and Health Portfolio  
Corporate Services and Finance Portfolio  
Housing Portfolio  
Jobs and the Local Economy Portfolio  
Neighbourhood Working & Cultural Services Portfolio  
Waste, Roads and Community Safety Portfolio

Councillor Chris Read  
Councillor Gordon Watson  
Councillor David Roche  
Councillor Saghir Alam  
Councillor Dominic Beck  
Councillor Denise Lelliott  
Councillor Taiba Yasseen  
Councillor Emma Hoddinott

**Commissioners:-**

Commissioner Patricia Bradwell  
Commissioner Julie Kenny  
Commissioner Mary Ney

## **CABINET AND COMMISSIONERS' DECISION MAKING MEETING**

**Venue: Town Hall, The Crofts,  
Moorgate Street,  
Rotherham. S60 2TH**

**Date: Monday, 10th July, 2017**

**Time: 10.00 a.m.**

### **A G E N D A**

**1. Apologies for Absence.**

To receive apologies of any Member or Commissioner who is unable to attend the meeting.

**2. Declarations of Interest.**

To invite Councillors and Commissioners to declare any disclosable pecuniary interests or personal interests they may have in any matter which is to be considered at this meeting, to confirm the nature of those interests and whether they intend to leave the meeting for the consideration of the item.

**3. Questions from Members of the Public.**

To receive questions from members of the public who wish to ask a general question.

**4. Minutes of the previous meeting held on 26 June 2017**

To note that the record of proceedings of the Cabinet and Commissioners' Decision Making Meeting held on 26 June 2017 will be submitted to the next meeting to be held on 11 September 2017.

**5. Exclusion of the Press and Public.**

If necessary, the Chair to move the following resolution:-

That under Section 100(A) 4 of the Local Government Act 1972, the public be excluded from the meeting for the following item(s) of business on the grounds that it/they involve(s) the likely disclosure of exempt information as defined in paragraph(s) of Part 1 of Schedule 12(A) of such Act indicated, as now amended by the Local Government (Access to Information) (Variation) Order 2006.

## **DECISION FOR COMMISSIONER BRADWELL**

### **6. The introduction of a Resource Allocation System (RAS) for Children and Young People (Pages 1 - 21)**

Report of the Strategic Director of Children and Young People's Services

Cabinet Member: Councillor Watson  
Commissioner: Bradwell (in advisory role)

Recommendations:

1. That approval be given to the implementation of the Children's RAS as a tool to support social care assessments, associated financial allocation and the offer of Personal Budgets to disabled children, young people and their families from August 2017.
2. That approval be given to a 12 month implementation period for the RAS tool based on the need to review children and young people's current packages of care to inform their new packages of support supported by a personal budget.
3. That approval be given to a three month notice period for packages of care assessed as lower than previously calculated, as new arrangements are being put into place.

### **7. Early Help Strategy: Phase Two, Whole Service Review (Pages 22 - 32)**

Report of the Strategic Director of Children and Young People's Services

Cabinet Member: Councillor Watson  
Commissioner: Bradwell (in advisory role)

Recommendations:

1. That the guiding principles for the Early Help Whole Service Review be approved.
2. That the associated timeline for the whole service review in order to achieve implementation by 1<sup>st</sup> April 2018 be approved.

## **DECISION FOR COMMISSIONER NEY**

### **8. Corporate Performance Report for Quarter 4 2016-17 (Pages 33 - 125)**

Report of the Assistant Chief Executive

Cabinet Member: Councillor Read (in advisory role)

Commissioner: Ney

Recommendations:

1. That the overall position and direction of travel in relation to performance be noted.
2. That consideration be given to measures which have not progressed in accordance with the target set and the actions required to improve performance, including future performance clinics.
3. That the future performance reporting timetable for 2017/18 be noted.
4. That the progress made on delivering the Asset Management Improvement Plan (AMIP) in the period be noted.

## **DECISIONS FOR CABINET**

### **9. 2016/17 Budget Outturn Report (Pages 126 - 159)**

Report of the Strategic Director of Finance and Customer Services

Cabinet Member: Councillor Alam

Commissioner: Ney (in advisory role)

Recommendations:

That Cabinet:

1. Note the Revenue outturn position of £765k underspend, (Directorate details are set out in Appendix 1) and the capitalisation of £1.968m of qualifying revenue expenditure.
2. Approve that the final revenue budget saving of £2.733m be a reduction to the planned transfer from the Transformation Reserve.
3. Approve the Housing Revenue Account (HRA) outturn of £7.224m underspend and its transfer to the HRA Reserve.
4. Note the carry-forward to 2017/18 of the combined schools' balance of £2.834m in accordance with DfE regulations.
5. Approve the reserves position as set out in section 3.20.

6. Note the final capital expenditure and resourcing position, incorporating expenditure of £56.490m against a final budget of £66.340m, and the carry-forward of underspends to re-profile the relevant scheme budgets into 2017/18 as set out in Appendix 3.

**10. Annual Treasury Management Report and Actual Prudential Indicators 2016/17 (Pages 160 - 172)**

Report of the Strategic Director of Finance and Customer Services

Cabinet Member: Councillor Alam  
Commissioner: Ney (in advisory role)

Recommendations:

That Cabinet

1. Note the Treasury Management Prudential Indicators out-turn position as set out in section 3 and Appendices A and B of the Annual Treasury Management Report for 2016/17.
2. Agree that the report is forwarded to Audit Committee for information

**11. May 2017/18 Financial Monitoring Report (Pages 173 - 185)**

Report of the Strategic Director of Finance and Customer Services

Cabinet Member: Councillor Alam  
Commissioner: Ney (in advisory role)

Recommendations:

That Cabinet:

1. Notes the current forecast overspend for 2017/18 of £6.9m.
2. Notes that management actions continue to be developed to address areas of overspend and to identify alternative and additional savings to mitigate shortfalls in achieving planned savings in 2017/18.
3. Notes that a detailed Dedicated Schools Grant (DSG) Recovery Strategy which will transfer £3m in 2017/108 to reduce the forecast High Needs Block deficit and mitigate the in-year pressure through a series of measures has been set in place.
4. Notes that the Capital Programme position and Treasury Management key indicators for the first quarter of 2017/18 will be reported as part of the July monitoring cycle.

**12. Interim Review of Polling Places 2017 (Pages 186 - 206)**

Report of the Strategic Director of Finance and Customer Service

Cabinet Member: Councillor Alam  
Commissioner: Ney (in advisory role)

Recommendations:

1. That Cabinet recommend to Council that:
  - a) approval is granted to undertake an interim review of polling places in 2017 following the process described in this report.
  - b) the scope of the review and the proposals for changes be noted.
  - c) the outline timetable for the review, as set out in Appendix 1, be agreed.
  - d) power to designate polling places in accordance with section 18B of the Representation of the People Act 1983 be delegated to the Chief Executive, such power to be exercised only in circumstances where a decision is required at short notice and it is not possible to await a decision of Council.
2. That following the outcome of the consultation on the review, the Assistant Director of Legal Services reports to Cabinet with final interim review proposals for determination in order for Cabinet to make final recommendations to Council.

**13. Business Rates Discretionary Relief Applications (Pages 207 - 214)**

Report of the Strategic Director of Finance and Customer Services

Cabinet Member: Councillor Alam  
Commissioner: Ney (in advisory role)

Recommendation:

That the applications for Discretionary Rate Relief for the organisations listed in Sections 2.3 to 2.6 of this report be approved.

**14. Strategic Acquisition of Housing Waverley HC5 (Pages 215 - 221)**  
Report of the Strategic Director of Adult Care and Housing

Cabinet Member: Councillor Beck  
Commissioner: Kenny (in advisory role)

Recommendation:

That the purchase of ten homes at Waverley parcel HC5 from Avant Homes, using the Housing Revenue Account Strategic Acquisition budget be approved.

**15. Site Cluster II (Pages 222 - 242)**  
Report of the Strategic Director of Adult Care and Housing

Cabinet Member: Councillor Beck  
Commissioner: Kenny (in advisory role)

Recommendations:

1. That the Assistant Director for Housing and Neighbourhoods, in consultation with the Council's Section 151 Officer, be authorised to approve the implementation of the development programme and phasing plan.
2. That the Assistant Director for Legal Services be authorised to enter into a development agreement and construction contracts.
3. That all development costs associated with the Construction Stage be funded from the Housing Revenue Account (HRA) as set out in section 7.
4. That the Assistant Director for Housing and Neighbourhoods in consultation with the Council's Section 151 Officer be authorised to determine the appropriate tenure for 21 of the units that have been identified as shared ownership or rent to buy homes under the government's Shared Ownership and Affordable Housing Programme (SOAHP).

**16. District Heating Scheme Charges Review (Pages 243 - 252)**  
Report of the Strategic Director of Adult Care and Housing

Cabinet Member: Councillor Beck  
Commissioner: Kenny (in advisory role)

Recommendations:

1. That the Cabinet notes the content of the report and recommends to Council:-
  - a) To approve the revised district heating cost model.
  - b) To reduce the unit Kwh charge across all district heating schemes to 5.65p per kwh (incl. VAT) and apply retrospectively from 1 April 2017.
  - c) To introduce a standing charge of £2 per week (incl. VAT) on all schemes and apply retrospectively from 1 April 2017.
  - d) To reduce weekly pre-payment charges on all pooled schemes as detailed at 3.10 of the report.

**17. Outcome of the consultation and recommendations on the Learning Disability Offer and the future of in house services for Adults with a Learning Disability and or Autism (Pages 253 - 343)**  
Report of the Strategic Director of Adult Care and Housing

Cabinet Member: Councillor Roche  
Commissioner: Ney (in advisory role)

Recommendations:

1. Cabinet is asked to:
  - a) Approve the key principles for the adult social care pathway as outlined in section 5 which clearly defines the aspirations and the overall offer to the residents of Rotherham and underpins the Adult Social Care Vision and Strategy (March 2016).
  - b) Approve that a Prevention and Technology Strategy is developed in line with the Care Act 2014 by August 2017 for all user groups.
  - c) Approve a 12 week period of consultation with customers, staff and stakeholders on the options for Oaks Day Centre (Wath), and following the completion and analysis of the consultation agree to receive a further report outlining future recommendations.



- d) Approve a 12 week period of consultation with customers, staff and stakeholders on the options for Addison (Maltby) and following the completion of the consultation and analysis agree to receive a further report outlining future recommendations.
- e) Approve a 12 week period of consultation with customers, staff and stakeholders on the options regarding the re-provision of respite care to enable a closure of Treefields and Quarryhill respite and following the completion and analysis of the consultation agree receive a further report outlining future recommendations.
- f) Approve the retention of the REACH Day service with the option of reviewing the current accommodation.
- g) Note that all current customers will be individually re-assessed to ensure they receive the appropriate package of care.
- h) Approval to receive final proposals following analysis of the consultation responses.

**18. Proposal for new council bungalows on Catherine Avenue, Swallownest and St Marys Drive, Treeton (Pages 344 - 352)**

Report of the Strategic Director of Adult Care and Housing

Cabinet Member: Councillor Beck  
Commissioner: Kenny (in advisory role)


Recommendations:

1. That the use of £323,500 from Housing Revenue Account (HRA) capital resources to fund the development of four bungalows at Catherine Avenue, Swallownest and two bungalows at St Mary's Drive, Catcliffe be approved.
2. That the use of £230K of Affordable Housing commuted sums monies to part fund the scheme be approved.
3. That the use of £180K of grant funding from the Homes and Communities Agency's Shared Ownership and Affordable Homes Programme to part fund the scheme be approved.
4. That the Assistant Director of Housing and Neighbourhood Services be authorised to accept a Tender for the construction works and enter into a development contract with the successful construction company.

**19. Recommendations from Overview and Scrutiny Management Board (Pages 353 - 355)**

To receive a report detailing the recommendations of the Overview and Scrutiny Management Board in respect of the following items that were subject to pre-decision scrutiny on 5 July 2017:

- 2016/17 Budget Outturn Report
- May 2017/18 Financial Monitoring Report
- Site Cluster II
- Outcome of the consultation and recommendations on the Learning Disability Offer and the future of in house services for Adults with a Learning Disability and/or Autism

A handwritten signature in black ink that reads "Sharon Kemp". The signature is written in a cursive, flowing style.

**SHARON KEMP,**  
Chief Executive.

## Summary Sheet

### Cabinet and Commissioners' Decision Making Meeting – 10 July 2017

#### The introduction of a Resource Allocation System (RAS) for Children and Young People

#### Is this a Key Decision and has it been included on the Forward Plan?

Yes

#### Strategic Director Approving Submission of the Report:

Ian Thomas, Strategic Director, Children and Young Peoples Services

#### Report Author(s):

Ailsa Barr, Head of Locality Social Work;

Mary Jarrett, Service Manager, Children with Disabilities

#### Ward(s) Affected:

All

#### Executive Summary:

To support the implementation over the next year of a Children and Young People's Resource Allocation System (RAS) to promote financial transparency and to deliver person-centred outcomes for children and young people with Special Educational Needs and Disabilities (SEND).

#### Recommendations:

1. That approval be given to the implementation of the Children's RAS as a tool to support social care assessments, associated financial allocation and the offer of Personal Budgets to disabled children, young people and their families from August 2017.
2. That approval be given to a 12 month implementation period for the RAS tool based on the need to review children and young people's current packages of care to inform their new packages of support supported by a personal budget.
3. That approval be given to a three month notice period for packages of care assessed as lower than previously calculated, as new arrangements are being put into place.

**List of Appendices Included:**

Appendix i - Clinical Commissioning Group (CCG) Children's Personal Budget policy

Appendix ii - Equality Analysis

**Background Papers:**

Children and Families Act, 2014

SEND Code of Practice, 2014

Chronically Sick and Disabled Persons Act, 1970

Direct Payments Leaflet for Families with Education (attached)

Resource Allocation System (attached)

**Consideration by any other Council Committee, Scrutiny or Advisory Panel**

Improving Lives Select Commission

**Council Approval Required**

No

**Exempt from the Press and Public**

No

## **Title (Main Report)**

### **1. Recommendations**

- 1.1 That approval be given to the implementation of the Children's RAS as a tool to support social care assessments, associated financial allocation and the offer of Personal Budgets to disabled children, young people and their families from August 2017.
- 1.2 That approval be given to a 12 month implementation period for the RAS tool based on the need to review children and young people's current packages of care to inform their new packages of support supported by a personal budget.
- 1.3 That approval be given to a three month notice period for packages of care assessed as lower than previously calculated, as new arrangements are being put into place.

### **2. Background**

- 2.1 The Children and Families Act (2014) and subsequent Special Educational Need and Disabilities (SEND) Code of Practice makes it mandatory for Local Authorities to have a Personal Budgets policy and to consider, upon request from parents, any instance where a Personal Budget could contribute in part or full towards a young person's Education, Health and Care Plan (EHCP).
- 2.2 A Personal Budget is an amount of money identified by the local authority to deliver support and services (education, health, and/or social care) to meet the assessed support needs of a child or young person as outlined in their EHCP or Care Plan. This will be established during the EHC or Care planning process and will be clearly communicated to families. The Personal Budget will not replace or replicate existing services and will only be used to create bespoke services, where there is an identified need or gap in a child's plan.
- 2.3 A Direct Payment is one way of taking control of a Personal Budget for the child, young person and family. Direct payments are made directly to the child's parent or the young person into a designated bank account, which allows them to arrange provision themselves. In all instances the direct payment arrangement will be underpinned by a signed written agreement and supported by the positive risk taking policy. Whatever the individual then purchases with their direct payment is bought as a private purchaser, although the money is still public money and remains so for the purpose of recovery when the support package ends. It will cover aspects of the Child's Plan that can be offered as a Personal Budget. It will not cover the cost of funding a school place, residential care placement or post-16 institution.
- 2.4 In Rotherham personal budgets are already being used to facilitate, where necessary, the provision of support and care for children and young people with SEND, particularly where personal care is required or where a child, young person or their family requires a break from their caring responsibilities. At present 111 children or young people receive a Direct Payment from Children and Young People's Services. These are allocated on the basis of an Early

Help assessment or Social Care assessment and there is little transparency of process. Decisions about Direct Payments are agreed by the Children's Short Breaks Panel, which contributes to work in developing person-centred, outcome-focused plans for children and young people.

- 2.5 In 2015/16 spend on Direct Payments was £210,000. In 2016/17, this increased to £420,000. The increase was in part due to a move away from commissioning care for children via block contracts and an increase in families requesting personal budgets as personalisation has become a more established way of providing care for children and young people with SEND. Moreover, an increasing number of children and young people are living longer with more complex disabilities and families are increasingly choosing to support their children and young people at home and in their communities rather than institutionalising them.
- 2.6 Children's Disability Services has worked with the leading national personalisation charity 'In-Control' to develop a RAS which will enable, in the first instance, social workers and disability family support workers to develop an outcome-based, person-centred plan which is costed to match the level of need of the young person. A RAS therefore creates equity of provision and an understanding of the resource required to deliver social care.
- 2.7 The outcomes identified for children and young people within the Rotherham Children's RAS include enabling them to develop independence skills, behaviour management skills, enjoy good relationships with their families and communities and achieve success in education. The aim and underlying principles of the support plan are to enable children and young people with SEND to lead ordinary lives as a matter of course within their local communities.
- 2.8 The Children's RAS was created using the actual costs of care currently in Rotherham, based on a detailed analysis of payments made in the last year to children, young people and families receiving a Direct Payment to meet the costs of their care.
- 2.9 The Children's RAS is primarily a tool to support outcome based plans for children, young people and families who require additional support, whilst simultaneously providing a financial rationale for decisions.
- 2.10 The Children's RAS has been piloted 'in principle' (i.e. applying the tool to existing packages of care in current use) to ensure it is viable and that it accurately reflects the relationship between the outcomes needed for the child or young person, the resources already present within the child's environment to support them achieving these outcomes and the additional resource required to achieve these outcomes in the short, medium and long term.
- 2.11 It is proposed that all packages of care will be reviewed every 6 months using the RAS to recognise that children and young people's care needs will not be static. The annual review will take place in alignment with a child or young person's EHCP review to ensure that children and young people have a holistic package of care.

2.12 Worthy of note, Rotherham CCG adopts a similar outcomes based support plan to enable families with children who are eligible for continuing healthcare to develop personal, health budget support plans (appendix i) and examples of local practice have been shared with Rotherham CCG to inform the development of the RAS.

### **3. Key Issues**

3.1 Use of a RAS in Children's services will create a more equitable system and also provide some bench-marking and calculation of Social Care costs for children with SEND in Rotherham

3.2 Implementation of the RAS in Children's services will take a year, with pilot use of the tool demonstrating that in the majority of instances, care packages will remain unchanged by the system. However, plans for children and young people will become more clearly understood by all parties involved in a child or young person's care and plans will be more child-centred.

3.3 Where the pilot has demonstrated a lower figure for care than the family is currently receiving, this has been mitigated by the improved Care and Support plan which is the key feature of the proposed RMBC Children's RAS. Subject to approval, families will be given sufficient time (3 months) and support to find alternative packages of care, which demonstrably meet their child or young person's identified needs.

### **4. Options considered and recommended proposal**

4.1 RMBC faced the following options when considering the distribution of Personal Budgets and use of a Resource Allocation System:

- **Do nothing**- not recommended as current system lacks transparency for families and does not produce equitable support plans based on identified outcomes.
- **Buy an 'off the shelf' RAS** –not recommended because it will not recognise Rotherham's ambitions in becoming a child-centred borough and will not recognise local costs or local needs.
- **Develop a new RAS using advice and expertise from 'In-Control'** – This is the recommended option as it allows local flexibility within an established methodology for agreeing outcomes and calculating costs, relative to the context (and high ambitions) in Rotherham.

### **5. Consultation**

5.1 A meeting was held with Rotherham Parent Carers Forum at the end of March 2017, where the RAS and Personal Budgets policy was shared with stakeholders, with alterations made as appropriate and outcomes agreed.

### **6. Timetable and Accountability for Implementing this Decision**

6.1 If approved the roll out will commence in August 2017.

6.2 It is anticipated that the implementation of the RAS will take one year. During this year existing packages of care will be reviewed and new packages assessed using the RAS.

6.3 Accountability for implementation rests with the Strategic Director of Children's and Young People's Services.

## **7. Financial and Procurement Implications**

7.1 As children, young people and families have requested more personalised packages of care the Direct Payments budget within Children's Services has increased. At present there is no mechanism for ensuring that spend is equitable, meets needs and delivers outcomes. The RAS will enable spend to become more predictable and should enable the Children's Direct Payments budget to be standardised and fair. The Children's Commissioning team will be undertaking a market development exercise to ensure that children, young people and families have a good range of local services to meet their needs.

7.2 The 2017/18 Direct Payments budget was increased to £450k in order to align the budget to previous year's expenditure and anticipated future increase in demand. Some of this provision has been funded by the recent review of Short Breaks. The implementation of the RAS should ensure spend is contained within this 2017/18 budget allocation.

7.3 A review of the 2017/18 budget and resulting impact of RAS will be picked up as part of the budget monitoring process.

7.4 The reviewing of children and young people's current packages of care and introduction of new packages will be monitored as part of this budget monitoring process and any impact identified.

7.5 Governance and administration processes will be reviewed and revised to ensure effective and efficient management of payments and desired outcomes.

## **8. Legal Implications**

8.1 The Children and Families Act 2014 (section 49) creates a statutory duty for the Local Authority to prepare a personal budget for a child or young person if asked to do so by the child's parent or the young person. The Special Educational Needs (Personal Budgets) Regulations 2014, require the Authority to ensure that the amount of direct payments is adequate to secure the agreed provision and may adjust direct payments to ensure this. Following a review, should the Authority decide to reduce the amount of a direct payment, then it must provide reasonable notice to the recipient before decreasing the payment and provide written reasons for the decision. The Authority would also be required to reconsider its decision where requested to do so by the recipient of the direct payment.

8.2 The Authority also has statutory duties to provide short breaks for Disabled Children in accordance with section 2 of the Chronically Sick and Disabled Persons Act 1970.



- 8.3 The proposed RAS will provide support to the Authority in managing challenge and operating fairly and transparently when meeting these duties.

## **9. Human Resources Implications**

- 9.1 None.

## **10. Implications for Children and Young People and Vulnerable Adults**

- 10.1 The RAS will support the more equitable provision of Personal Budgets to children and young people with SEND and their families within their community. The RAS will promote outcomes-based plans, which are more ambitious in using resources to support children and young people within their communities to achieve their full potential.

## **11. Equalities and Human Rights Implications**

- 11.1 The RAS will promote equality of access for children and young people with SEND and ensure that the Council continues to address issues of Disability Discrimination by supporting children and young people with SEND with equitably resourced person-centred plans. An Equality Analysis (EA) was completed subsequent to formal consultation with service users. Decision-makers should give due regard to the result of the EA which can be found at appendix ii to this report.

## **12. Implications for Partners and Other Directorates**

- 12.1 The Children's RAS has been shared with colleagues in Adults Social Care who will be involved with the implementation of the Children and Young People's RAS
- 12.2 The RAS has been shared with partners via the SEND Commissioning Group.

## **13. Risks and Mitigation**

- 13.1 The primary risk to the Council is via challenge from families whose personal budgets decrease as a result of the implementation of the RAS. This will be mitigated by the three month notice period, the transparency of process involved in calculating the RAS and the regular review process.
- 13.2 The secondary risk to the Council is increased spend on personal budgets, this has been mitigated by a commissioning review of short breaks for disabled children undertaken by Children and Young people's services and exploration of some joint commissioning with adults, including the current Home Care contract.

## **14. Accountable Officer(s)**

Mel Meggs, Deputy Strategic Director, Children and Young People's Services  
Linda Harper, Interim Assistant Director, Commissioning, Children and Young People's Services

Approvals Obtained from:-

On behalf of the Strategic Director of Finance & Customer Services:-  
Mark Chambers

On behalf of the Assistant Director of Legal Services:-  
Neil Concanon/Moira Cooper

Head of Procurement:- N/A

Human Resources:- N/A

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# **Rotherham's Personal Budget Policy**

For Children and Young People aged 0 - 25 with Special  
Educational Needs and Disabilities

in partnership with



Version Six: 03.05.16

# Personal Budget Policy

## 1. Introduction

Within the SEND Code of Practice 2015 Parents have a legal right to request a Personal Budget if their child has an EHC Plan or is assessed as needing an EHC Plan.

The Local Authority has a legal duty to assess this request and must publish it's Personal Budget Policy on the Local Offer Web-site.

The purpose of this document is to outline the policy of Rotherham Metropolitan Borough Council and NHS Rotherham Clinical Commissioning Group (RCCG) in relation to the Children and Families Act, 2014, the Statutory Guidance and Code of Practice for special educational needs and disability 0-25 years, and the Special Educational Needs {Personal Budgets} Regulations 2014.

## 2. What is Personalisation?

Personalisation is a key feature of the Special Educational Needs and Disability (SEND) reforms, and is about putting children, young people and their families at the centre of the Education Health and Care (EHCP) planning processes. It means starting with the person as an individual with strengths, preferences and aspirations, identifying their needs and making choices about how and when they are supported to live their lives based on an asset based approach.

There are a number of ways in which personalisation is being developed. These include:

- **engaging** disabled children, young people and their families in developing support rather than being passive recipients of services
- supporting disabled children, young people and their families to have increased **influence, choice and control** about how services are provided.
- **personalising** the support that families receive by working in partnership with services across education, health, social care and wider partners.
- implementing funding mechanisms through the use of **Personal Budgets** including direct payments
- providing support to help families to develop a **Personalised Support Plan** that describes how they will use their budget to meet **agreed outcomes**.

## 3. Who does this policy apply to?

The Policy applies to any child or young person with special educational needs and disabilities where a personal budget has been requested from either RCCG or the Local Authority

Parents have control of a personal budget up to the end of year 11 {post compulsory school age}. It is then the young person who has this responsibility, as long as they have the mental capacity in relation to exercising choices in relation to their education as defined by the Mental Capacity Act, and should be consulted; they can choose their parent/carer to manage their funding.

## 4. What is a Personal Budget?

**A Personal Budget is not the sum total of all the resources that are available to support a child or young person.**

A Personal Budget is an amount of money identified by the local authority and / or RCCG to deliver support and services (education, health, and/or social care) to meet the assessed support needs of a child or young person as outlined in their EHCP or Care Plan. This will be established during the EHC or Care planning process and will be clearly communicated to families. The Personal Budget will not replace or replicate existing services and will only be used to create bespoke services where there is an identified need or gap in a child's plan.

A Personal Budget is used to purchase the services and support required by a child/young person with SEND to meet their specific assessed needs.

The Personal Budgets section of the EHCP does not need to list all the costs associated with supporting a child or young person. It should provide a detailed explanation of how a personal budget will be used to deliver identified and agreed support; the needs and outcomes it will meet, and will explain how the money will be used and managed, including arrangements in relation to any direct payments.

- **A personal social care budget:** This refers to the budget that will be made available if it is clear that a young person or child needs additional support at home, a Short Break or when out and about in the local and wider community. This will be assessed by the child or young person's Social Worker, Early Help worker or Transitions worker using a Person-centred plan.
- **A personal health budget:** This refers to the budget that will be made available should a young person or child have complex, long term and/or a life-limiting condition/s. A personal health budget may also be made available to help with equipment costs or other health services. This provision will be assessed and agreed by Rotherham Clinical Commissioning Group.
- **A personal SEN budget:** This is a sum of money made available by a local authority because it is clear that without this additional {top-up} funding it will not be possible to meet the child's learning support needs. It will be pupils or students with more complex learning support needs or students whose needs cannot be met within existing provision who might require a personal SEN budget.

## 5. How can Personal Budgets be made up?

Personal budgets can be made up in the following different ways:

- **A Direct Payment** is one way of taking control of a Personal Budget for the child, young person and family. Direct payments are made directly to the child's parent or the young person into a designated bank account which allows them to arrange provision themselves. In all instances the direct payment arrangement will be underpinned by a signed written agreement and supported by the positive risk taking policy. Whatever the individual then purchases with their direct payment is bought as a private purchaser, although the money is still public money and remains so for the purpose of recovery

when the support package ends. It will cover aspects of the Child's Plan that can be offered as a Personal Budget. It will not cover the cost of funding a school place or post-16 institution.

- **Notional Budget**- this is where no money changes hands. Parent carers are informed how much money is available and with support identify the different ways to spend that money meeting the outcomes of the EHCP. The services can then be commissioned on the family's behalf if the family chose this.
- **Budget held by a third party**- this is where a different organisation or trust holds the money and helps parent carers to decide the best way to spend the funding and then buy the chosen services. This is known as an Individual Service Fund.

Personal budgets can be a mixture of these three options but can only be used for outcomes identified in the EHCP. and where existing services cannot meet identified need.

## 6. Principles and Commitments

Rotherham Council and Rotherham Clinical Commissioning Group are committed to empowering children, young people with SEND and their families by working towards a shared vision which:

- offers a process that is open, fair and transparent
- Achieves ambitious outcomes for children and young people
- provides greater choice and control for children, young people and families
- focuses on the outcomes identified in the EHC Plan and Social Care Plans
- ensures that children, young people and families are offered help and support to manage their budget and personalised support plan

Professionals working with children and young people will adhere to these principles in order to ensure that the purpose of the policy is fulfilled.

## 7. What is in scope?

The exact aspects of what can be included in a personal budget, relating to an individual child or young person will be outlined in the EHCP or Child's Care Plan.



The E.H.C. Plan for the child or young person should reference how all the various services including community (for example family or local clubs), universal resources (for example schools) and targeted resources (for example C.A.M.H.S.; physiotherapy or S.A.L.T.) are supporting the agreed outcomes for the child or young person, contained in their E.H.C. plan. The Individual resources required (for example a Personal assistant to support access to a Community Group) should also be identified and these can be taken as a Personal Budget.

## 8. What is not in scope?

- Areas where it is difficult to separate an individual cost from an overall amount will not normally be offered as part of a personal budget. For example, where it is not possible to separate funding that is currently supporting provision of services to a number of children and young people.
- Provision which already exists within the Local Authority.
- Day care provision for working parents

## 9 How will funding be made available?

If a personal budget is agreed, and a Direct Payment is the chosen way of receiving this, each partner agency will agree their individual contributions according to their individual assessments and care plans and ensure that they take responsibility for monitoring their agreed share of the budget. Any agreed costs from the R.C.C.G. would be paid by the agreed process to fund the plan. The eventual aim will be for pooled budgets between the R.C.C.G. and the Council.

The Social Care element of any Personal Budget will be calculated using a Resource Allocation System or determined via an Early Help Assessment; Carer's Assessment or Child and Family Assessment to ensure that the totality of a child or young person's needs are assessed.

## 10 Decision Making

**1. Within the Education, Health and Care Planning Process:** When a statutory integrated assessment starts, the personal budget process will be discussed with the family by their (EHC Assessment Coordinator) to see if this is something they may be interested in pursuing, if appropriate. The benefits and responsibilities around the personal budget will be explained by the lead professional.

An indicative amount will be given, as soon as possible following the completion of the integrated assessment and if an EHCP is the outcome of the assessment. Some families may already be accessing personal budgets for care or health and these will continue and be incorporated in the final EHCP if one is issued.

All professional reports will outline the provision required from their perspective. However, the vital part of the assessment and support planning process will be the views and aspirations of the child, young person and family. The assessment will be asset based, working with the strengths of the young person rather than the needs and deficits. This person centred planning approach will include each party to the plan and what they will contribute, including the community, young person/child and their family.

**2. Within Social Care:** Social Care use Personal Budgets as a resource to provide Short Breaks from Caring or to support a child or young person to access social activities which their disability would otherwise prevent them from accessing.. Where a Social Care professional identifies that a child or young person might benefit from a Personal Budget to meet their Social Care Needs then they will complete a Support Plan and Resource Allocation tool with the family to identify levels of need and indicative costs.

**3. Within Health-** RCCG will, as a minimum, accept any expression of interest in a Personal Health Budget and will offer a personalised conversation to explore the reasons for the request. These conversations will focus on improving outcomes, and whether needs could be met differently, resulting in a personalised care plan. RCCG :

The following links outline the position of RCCG regarding personal health budgets.

<http://www.rotherhamccg.nhs.uk/personal-health-budgets.htm>

<http://www.rotherhamccg.nhs.uk/local-offer-20162017.htm>

## 11 Who would be excluded from holding a Personal Budget as a Direct Payment?

The legal guidance for the law relating to personal budgets states the following people may not receive direct payments:

- A person who is subject to a drug rehabilitation order
- A person who is subject to an alcohol treatment order
- A person who is subject to a youth rehabilitation order
- A parent whose child is in care. If in long term foster care the foster parents may access a personal budget if there is agreement as part of the plan



- A child who has a Safeguarding Plan. Any use of a personal budget would have to be a part of the agreed plan. If the use of it was felt not to meet the aims of the plan, and to compromise the safety of the child/young person, it would not be agreed

## **12. Management of Direct Payments.**

**The responsibility for managing the Direct Payment lies with the Parent.**

The Local Authority has a separate booklet (see appendix A) which outlines the responsibilities for managing the Direct Payment for Parents and their duties.

## **13. Transitions:**

The person with Parental responsibility will manage direct payments for their child until they are 16 years of age.

Once a young person reaches 16, it is possible for payments to be made to them in their own right, so long as the local authority believes that they have the ability to manage direct payments with help. This is regardless of whether that help comes from parents, a user controlled trust or a local support service. This allows a 16/17 year old to choose if they want to take control of part or all of their direct payments. Alternatively their parent can continue to receive direct payments on their behalf. As a young person approaches their 18<sup>th</sup> Birthday the Adults Transitions Team will assess needs for adulthood using the Rotherham Adults Resource Allocation System.

## **14. Reviews and Appeals Processes:**

If Parents, carers and young people disagree with the decisions relating to their Personal Budgets or Direct Payments they can request that these decisions are reconsidered either by contacting the appropriate agency SEN; Social Care or R.C.C.G. or alternatively contact Rotherham S.E.N.D.I.A.S.S. ([www.rotherhamsendiass.org.uk](http://www.rotherhamsendiass.org.uk)) who can advise parents and young people regarding SEND appeals and Tribunals.

**RMBC - Equality Analysis Form for Commissioning, Decommissioning, Decision making, Projects, Policies, Services, Strategies or Functions (CDDPPSSF)**

<b>Under the Equality Act 2010 Protected characteristics</b> are age, disability, gender, gender identity, race, religion or belief, sexuality, civil partnerships and marriage, pregnancy and maternity. Page 6 of guidance. Other areas to note see guidance appendix 1	
<b>Name of policy, service or function. If a policy, list any associated policies:</b>	Personal Budget Policy and Children's Resource Allocation System.(RAS)
<b>Name of service and Directorate</b>	CYPS: Children with Disabilities Team
<b>Lead manager</b>	Mary Jarrett
<b>Date of Equality Analysis (EA)</b>	12/4/17
<b>Names of those involved in the EA (Should include at least two other people)</b>	Linda Harper Jackie Parkin
<p><b>Aim/Scope</b> (who the Policy /Service affects and intended outcomes if known) See page 7 of guidance step 1</p> <p>The Personal Budgets Policy will affect children and young people with Special Education Needs and Disabilities (SEND) and their families. The outcomes of the policy are to inform children, young people and their families about their entitlements to be assessed for a Personal Budget in accordance with the Children and Families Act 2014 and the SEND Code of Practice and to use the Children's Resource Allocation System to determine a support plan and resources necessary to implement this plan.</p>	
<p><b>What equality information is available? Include any engagement undertaken and identify any information gaps you are aware of. What monitoring arrangements have you made to monitor the impact of the policy or service on communities/groups according to their protected characteristics?</b> See page 7 of guidance step 2</p> <p><b>Engagement was undertaken with Rotherham Parent Carers Forum (RPCF) who shared the policy with their members and then attended a formal consultation meeting where the Policy was revised and agreed with them.</b> <b>During this meeting the RPCF supported staff to alter language so that it became more inclusive and less technical, bought examples of policies they felt were useful and agreed the process described within the RAS to create a child-centred plan.</b></p> <p><b>The Disability register which is held by Children's Services gives a definitive profile of Rotherham children whose parents have registered them as disabled, their level of need, postcode and family composition.</b> <b>It will be possible to use this information to analyse whether the distribution of Personal Budgets is equitable across the range of families who have children with a disability. And this should be undertaken as a matter of course every 6 months.</b></p> <p><b>Legally the Policy and supplementary documents should be available on the Council's SEND Local Offer to ensure equality of access and information.</b></p>	

**RMBC - Equality Analysis Form for Commissioning, Decommissioning, Decision making, Projects, Policies, Services, Strategies or Functions (CDDPPSSF)**

<p><b>Engagement undertaken with customers. (date and group(s) consulted and key findings)</b> See page 7 of guidance step 3</p>	<p>Policy sent to RPCF on 21/3/17 Meeting with representatives from Forum on 29th March 2017.</p> <p>Issues addressed in meeting:</p> <p>Use of jargon- addressed and revised during meeting Presentation of information- revised during meeting Accessibility of information- information can only be uploaded to Local Offer web-site when approved by Council, I agreed to notify RPCF when this was completed.</p>
<p><b>Engagement undertaken with staff about the implications on service users (date and group(s) consulted and key findings)</b> See page 7 of guidance step 3</p>	<p>The policy was shared and discussed at the SEND strategic Commissioning Group on 8<sup>th</sup> March 2017 It was shared with Finance colleagues on 3<sup>rd</sup> March 2017 It was shared with colleagues from education on 10<sup>th</sup> March 2017 The RAS has been discussed with Managers from the Disability Family Support team and they are piloting it with families during April 2017.</p> <p>The key findings were addressed in subsequent revisions of the Document, with issues such as use of language, including the appeals process and ensuring financial accuracy of Resource Allocation System.</p>
<p>The Analysis</p>	
<p><b>How do you think the Policy/Service meets the needs of different communities and groups?</b> Protected characteristics of age, disability, gender, gender identity, race, religion or belief, sexuality, Civil Partnerships and Marriage, Pregnancy and Maternity. Rotherham also includes Carers as a specific group. Other areas to note are Financial Inclusion, Fuel Poverty, and other social economic factors. This list is not exhaustive - see guidance appendix 1 and page 8 of guidance step 4</p>	

**RMBC - Equality Analysis Form for Commissioning, Decommissioning, Decision making, Projects, Policies, Services, Strategies or Functions (CDDPPSSF)**

**Analysis of the actual or likely effect of the Policy or Service:**

See page 8 of guidance step 4 and 5

**Does your Policy/Service present any problems or barriers to communities or Group? Identify by protected characteristics Does the Service/Policy provide any improvements/remove barriers? Identify by protected characteristics**

**The Personal Budgets Policy and Resource Allocation System will meet the needs of families with SEND by offering a transparent and equitable service which is clearly described and published on the Council web-site (with translations available as appropriate)**

**The Policy and the Resource Allocation System were co-produced through consultation with the Rotherham Parents Carers Forum and they are happy with the final documents.**

**The publication of the Policy will lead to increased requests for Personal Budgets and assessment of these is part of the Statutory Duties of the Local Authority. The use of the Resource Allocation System will lead to increased transparency of decision-making in relation to the allocation of specific Social Care resources in the form of Direct Payments to disabled children, young people and their families. Financial profiling of Children and young people currently receiving Direct Payments for Social Care suggests that the implementation of the Personal Budgets Policy and Resource Allocation System will have little financial impact on the Local Authority but will allow the Authority to clearly articulate the rationale for decisions made in relation to Direct Payments, what these are being spent on and to allow the Authority to more accurately forecast spend.**

**The policy will therefore improve access to services for disabled children and their families from all ethnic groups and regardless of family composition, the policy is actively endorsed and co-produced with the RPCF.**

**The Policy will not affect older people unless they are carers for children and young people with SEND.**

**At present the lack of a Personal Budget's Policy and Resource Allocation System disadvantages parents and carers of children with SEND as they cannot ascertain their statutory entitlements are be supported to understand the support they are entitled to.**

**What affect will the Policy/Service have on community relations? Identify by protected characteristics**

**The policy will support vulnerable children and young people with SEND living in their own communities. Personal Budgets and Direct Payments are part of a wider personalisation agenda, designed to enable children and young people with SEND to live with support**

**RMBC - Equality Analysis Form for Commissioning, Decommissioning, Decision making, Projects, Policies, Services, Strategies or Functions (CDDPPSSF)**

within their communities rather than being moved into external residential care.

Please list any **actions and targets** by Protected Characteristic that need to be taken as a consequence of this assessment and ensure that they are added into your service plan.

**Website Key Findings Summary:** To meet legislative requirements a summary of the Equality Analysis needs to be completed and published.

**RMBC - Equality Analysis Form for Commissioning, Decommissioning, Decision making, Projects, Policies, Services, Strategies or Functions (CDDPPSSF)**

**Equality Analysis Action Plan** - See page 9 of guidance step 6 and 7

**Time Period** .....

Manager:..... Service Area:..... Tel:.....

**Title of Equality Analysis:**

If the analysis is done at the right time, i.e. early before decisions are made, changes should be built in before the policy or change is signed off. This will remove the need for remedial actions. Where this is achieved, the only action required will be to monitor the impact of the policy/service/change on communities or groups according to their protected characteristic.

List all the Actions and Equality Targets identified

Action/Target	State Protected Characteristics (A,D,RE,RoB,G,GI O, SO, PM,CPM, C or All)*	Target date (MM/YY)
Review applications for Personal Budgets and match against profile of Disabled children in Rotherham as per Disability Register	All	December 2017
Name Of Director who approved Plan		Date

\*A = Age, C= Carers D= Disability, G = Gender, GI Gender Identity, O= other groups, RE= Race/ Ethnicity, RoB= Religion or Belief, SO= Sexual Orientation, PM= Pregnancy/Maternity, CPM = Civil Partnership or Marriage.

**RMBC - Equality Analysis Form for Commissioning, Decommissioning, Decision making, Projects, Policies, Services, Strategies or Functions (CDDPPSSF)**

**Website Summary – Please complete for publishing on our website and append to any reports to Elected Members, SLT or Directorate Management Teams**

<b>Completed equality analysis</b>	<b>Key findings</b>	<b>Future actions</b>
<p>Directorate: .....</p> <p>Function, policy or proposal name: .....</p> <p>.....</p> <p>Function or policy status: ..... (new, changing or existing)</p> <p>Name of lead officer completing the assessment: .....</p> <p>Date of assessment: .....</p>		

Cabinet and Commissioners' Decision Making Meeting  
Public Report

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## Council Report

### Cabinet and Commissioners' Decision Making Meeting – 10 July 2017

Early Help Strategy: Phase Two, Whole Service Review

#### Is this a Key Decision and has it been included on the Forward Plan?

Yes

#### Strategic Director Approving Submission of the Report:

Ian Thomas, Strategic Director, Children's Services

#### Report Author(s)

David McWilliams

Assistant Director Early Help – Children and Young People's Services

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Acting Head of Service Early Help – Transformation Projects

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#### Ward(s) Affected

All

## Summary

The Early Help Service is an essential component of Rotherham's Improvement Plan. It is designed to meet the needs of children, young people and families quickly, when they first emerge and to prevent the escalation of issues and the requirement for statutory intervention. Working Together (2015) sets out the statutory requirement for Early Help services whilst Ofsted findings suggest that effective, high-performing children's social care is always accompanied by a high quality Early Help offer.

In January 2016, a new Early Help Service was launched with locality teams made up of practitioners with a blend of complementary skills and the launch of a single point of access to the service, through the Early Help Request for Support and a single Early Help Assessment.

The council's aim is to continue to develop an Early Help Service that meets the needs of children, young people and families as soon as such needs are identified. This must be delivered in a way that feels relevant to Rotherham's families and is flexible enough to respond to needs as they emerge.



The re-design of the Early Help Service will also achieve £421k of savings in 2017/18, together with further savings in 2018/19, which will contribute to the Council's overall savings target.

The Early Help Whole Service Review will be undertaken in line with the vision and objectives set out in the Early Help Strategy. It is the realisation of phase two of the strategy which is to, 'refine the Early Help offer through further integration and service redesign with our partners and stakeholders.'

This report provides the vision; objectives and guiding principles of the Early Help Whole Service Review and set out the timeline for full consultation and implementation on 1<sup>st</sup> April 2018.

**Recommendations**

1. That the guiding principles for the Early Help Whole Service Review be approved.
2. That the associated timeline for the whole service review in order to achieve implementation by 1<sup>st</sup> April 2018 be approved.

**List of Appendices Included:**

None

**Background Papers**

Rotherham's Early Help Strategy 2016-2019  
Ofsted Monitoring Visit letter; 13<sup>th</sup> March 2017  
Working Together to Safeguard Children, 2015

**Consideration by any other Council Committee, Scrutiny or Advisory Panel**

No

**Council Approval Required:**

No

**Exempt from the Press and Public:**

No

## **Early Help Strategy: Phase Two, Whole Service Review**

### **1. Recommendations**

- 1.1 That the guiding principles for the Early Help Whole Service Review be approved.
- 1.2 That the associated timeline for the whole service review in order to achieve implementation by 1<sup>st</sup> April 2018 be approved.

### **2. Background**

- 2.1 The Early Help Service is an essential component of Rotherham's Improvement Plan. It is designed to meet the needs of children, young people and families quickly, when they first emerge, and to prevent the escalation of issues and the requirement for statutory intervention. Since the publication of the Graham Allen report in 2011 and the subsequent creation of the Early Intervention Foundation, a body of evidence has been pulled together to make the case for Early Intervention. The evidence shows that outcomes are better for children and young people if agencies intervene earlier; that working with the whole family is most effective and that the work yields cost benefits across public service, including adult social care; the criminal justice and welfare systems.
- 2.2 The statutory guidance, Working Together to Safeguard Children (2015), sets out the requirements for Early Help Services, stating, *'local areas should have a range of effective, evidence-based services in place to address assessed needs early. The Early Help on offer should draw upon the local assessment of need and the latest evidence of the effectiveness of early help and early intervention programmes. In addition to high quality support in universal services, specific local early help services will typically include family and parenting programmes, assistance with health issues and help for problems relating to drugs, alcohol and domestic violence. Services may also focus on improving family functioning and building the family's own capability to solve problems; this should be done within a structured, evidence-based framework involving regular review to ensure that real progress is being made'*.
- 2.3 The guidance in Working Together to Safeguard Children (2015) makes it clear that all local agencies should work together to support children and families. As such, a strong Early Help offer will also be a key enabler for integrated working at neighbourhood level across all ages.
- 2.4 Ofsted findings suggest that effective, high-performing children's social care is always accompanied by a high quality Early Help offer and Rotherham's new Early Help offer was launched on the 18<sup>th</sup> January 2016. This followed a restructure in October 2015 when a new management team was established and a range of separate services and professional disciplines were brought together to form integrated, multi-disciplinary, early help locality teams.

2.5 In April 2016 Ofsted noted:

‘All staff spoken to, while feeling the pain of change, are incredibly committed, enthusiastic and excited about the changes. All have seen the integration of teams and the Ofsted process as a learning experience and opportunity to improve the lives of children in Rotherham, which was heart-warming’. There is evidence staff have been and continue to be consulted on the transformation programme and while anxious about their jobs and what it means for them, remain on the whole positive’.

2.6 In February 2017 Ofsted undertook a monitoring visit. The feedback, in relation to the progress and development of the Early Help service noted:

2.6.1 The implementation of multi-disciplinary locality teams is leading to improved coordination of early help support to families by the local authority.

2.6.2 There is much evidence of children’s circumstances improving as a result of the early help being provided.

2.6.3 There are also some positive examples of very timely intervention and support for families, who have an allocated worker within one of the locality teams.

2.7 The Rotherham Early Help Strategy 2016-2019 is an ambitious three-year plan for the Council and its partners. The vision for Early Help is:

*“All agencies working together to ensure children, young people and families have their needs identified early so that they can receive swift access to targeted help and support.”*

2.8 The strategy articulates the Early Help journey in three distinct phases.

2.8.1 Phase one is the creation of integrated Early Help teams and co-locating staff with partners in multi-agency Early Help hubs. It includes putting in place systems to monitor and track progress and quality and the right governance to ensure appropriate accountability and effective support and challenge across the system.

2.8.2 Phase two is whole service delivery redesign; developing new job roles and more efficient and effective ways of working to embed a shared responsibility across the partnership for meeting the needs of families earlier.

2.8.3 Phase three will ensure that the Early Help offer is sustainable. Partners will work together to explore the potential for all-age family integrated services and look at innovative ways to reshape existing buildings and centres into all age delivery points in localities and communities.

2.9 The development of Rotherham's Early Help offer and strategy is intrinsically linked to the delivery of a challenging three year savings target to contribute to the Council's overall savings target.

2.10 In 2016/17 Early Help Service made a saving of £501k. In 2017/18 a further saving of £421k has been agreed. The Whole Service review will identify further efficiencies in future.

### **3. Key Issues**

3.1 The Early Help Whole Service Review is needed to deliver a re-designed Early Help service offer that meets the needs of children, young people and families. This must be delivered in a way that feels relevant to Rotherham's families and is flexible enough to respond to needs as they emerge. The success of the Early Help offer will contribute directly to the improvement journey of Rotherham's Children's Services and a positive judgement from Ofsted.

3.2 Since October 2015 Requests for Support to the Early Help Service have been sent through a single point of access. This simplified process has made it easy for families and universal services who work with families to request targeted support for families who are vulnerable. It enables early intervention with a coordinated whole family offer that is designed to ensure that the need for higher tier services is avoided. There are currently more than 1500 families with an active Early Help Assessment.

3.3 To ensure that the service is fit for purpose in the future, and is able to respond to the needs of children, young people and families, there is a need to re-design the service.

3.4 The re-design will ensure that Early Help Practitioners have the right skill mix to respond to the needs of families, and that the workforce is well supported with appropriate management oversight. The re-design will also create opportunities for practitioners to develop and progress within the service.

3.5 The re-designed services will also deliver an Early Help workforce with skills to complement and support partners and stakeholders who share responsibility for meeting the needs of families earlier.

3.6 The Early Help offer is currently delivered through a mixed economy of outreach work, with staff based in locality offices on eight sites across the borough, and Youth Centres and Children's Centres. The Early Help offer must be delivered in a way that supports partnership and neighbourhood working, and is relevant to children, young people and families.

3.7 A full needs analysis will demonstrate where Early Help teams should be located to ensure that there are opportunities to work collaboratively with children's social care; schools and partners including: health; South Yorkshire Police and the voluntary and community sector.

3.8 The re-design process will also explore opportunities to deliver interventions that are responsive to need in negotiated spaces; relevant to the community and flexible enough to meet changing patterns of demand.

3.9 In summary, the guiding principles of the Early Help Whole Service Review are:

- To build on what's working well
- To embed whole family working (one family, one worker, one plan)
- To support integrated locality working
- To work restoratively with a culture of continuous improvement and excellence
- To deliver value for money
- To seek savings through reducing the management structure
- To ensure there are clear lines of responsibility and clear progression routes
- To invest in workforce development
- To enable flexible working with high quality and affordable delivery points.

#### **4. Options considered and recommended proposal**

4.1 Option 1 would be to continue to deliver Early Help using the current operating model. Whilst the progress to date has been commended by Ofsted, this option would not achieve the desired contribution to the Council's savings, nor would it be flexible enough to meet the needs of children, young people and families. The response to the youth consultation in particular suggests that there is a need to modernise the delivery model to make it more relevant and responsive to the needs of children, young people and families.

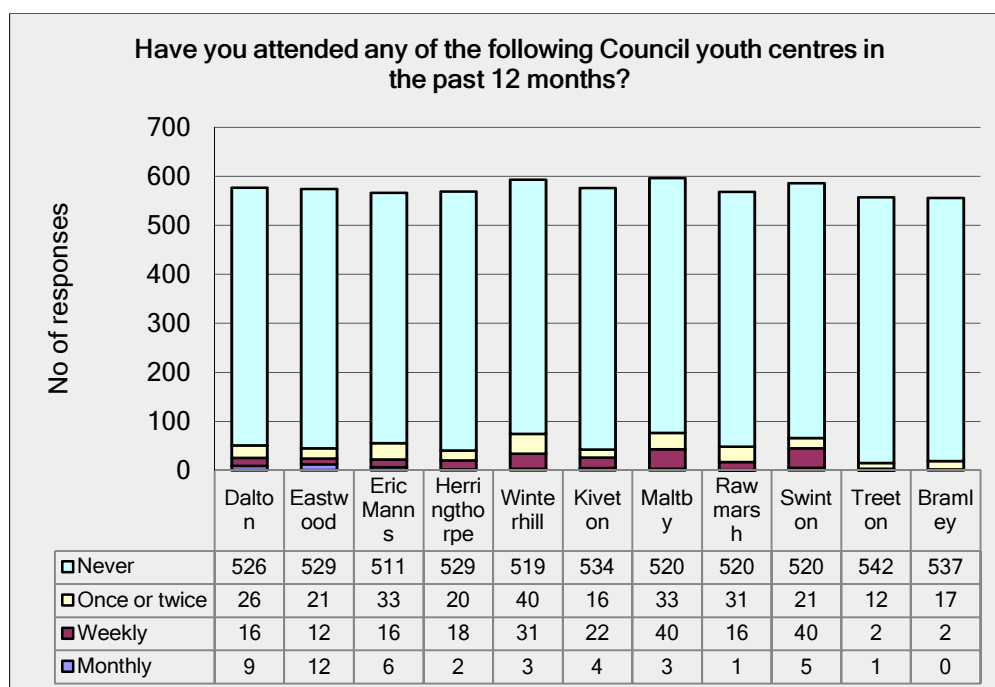
4.2 Option 2 is to proceed with the Early Help Whole Service Review. It is proposed that, following the guiding principles set out in this report, a detailed proposal is developed that sets out the delivery model, the implications for the Early Help footprint in the borough and the staffing structure. This detailed proposal will precede full staff and public 90 day consultation.

#### **5. Consultation**

5.1 The consultation process and co-production of Rotherham's Early Help Service and offer has been ongoing since November 2015. In developing Rotherham's Early Help Strategy a significant consultation was undertaken with; children and young people; staff, Voluntary and Community Sector; the Children and Young People's Strategic Partnership; Health and Wellbeing Board; Local Safeguarding Board; Early Help Steering Group; Early Help Review Board; Department for Communities & Local Government; Troubled Families Unit; Sheffield City Council; Department for Education; Ofsted; Practice Improvement Partner (Lincolnshire County Council) and all Rotherham Ward and Parish Councillors.

5.2 A public consultation took place in 2014 to understand demand in relation to the Council’s Children’s Centre offer. The findings of the consultation were considered by Cabinet on 18<sup>th</sup> June 2014. The major concern raised during this consultation was that additional travel would be required as a result of closing centre buildings and this might reduce the number of families accessing the Children’s Centres. The report further noted that local authorities are not required to provide a Centre building in walking distance. However, they are required to provide access to services locally. There is a need to undertake a new public consultation due to the period of time that has passed since 2014, and also to ensure that the public understand the local offer in the context of the overall Early Help Service offer (that did not exist in 2014).

5.3 In March 2016, a Youth Service Consultation took place. 897 people responded to the consultation and findings were shared with the Early Help Steering Group. As can be seen below, the majority of young people who responded did not visit Council youth centres. However, more than 60% of young people felt that it was very important or important to keep Youth Centres in Rotherham. These findings indicate that the current youth offer isn’t reaching enough young people, but that it is important services are re-designed in such a way that they are relevant and accessible.



5.4 Throughout November and December 2016, the Early Help Senior Leadership Team undertook a series of staff and partner engagement events, creating opportunities through ‘structured conversations’ to further shape the development of Early Help in Rotherham.

5.5 In March 2017 the extended Early Help Management Team attended a workshop on Phase Two of the Early Help Strategy and to inform the guiding principles of the proposed Whole Service Review.

5.6 Subject to commissioner and Members' approval formal consultation on the final proposals for the new service delivery model, service structure and job roles will commence in September 2017 and run for 90 days.

5.7 90 Day Consultation:

5.7.1 A robust staff and public 90 day consultation will involve meetings with all staff as well as formal communication via letter and the offer of individual support through Human Resources (HR) and Early Help managers. The consultation will involve the Trade Unions and will be delivered through a combination of public meetings, online surveys and use of existing forums, for example Children's Centre Advisory Panel. This consultation will seek the views of; parents, young people, Members, partners, stakeholders, professionals and members of the community.

## 6. Timetable and Accountability for Implementing this Decision

6.1 Subject to approval, the table below sets out a high level timeline with the implementation date for the new structure to be in place from April 2018.

1.	Cabinet Report (1)	10 <sup>th</sup> July 2017
3.	Detailed proposals developed	July – September 2017
4.	Cabinet Report (2)	11 <sup>th</sup> September 2017
5.	Staff / Public consultation (90 days)	12 <sup>th</sup> Sept – 12 <sup>th</sup> Dec 2017
6.	Cabinet Report (3)	19 <sup>th</sup> February 2018
7.	New structure implementation	1 <sup>st</sup> April 2018

## 7. Financial and Procurement Implications

7.1 The Early Help Service must achieve £421k of savings in 2017/18, together with further savings in 2018/19, which will be achieved through a Whole Service Review.

7.2 The Early Help service operates a stringent moratorium of non-essential spend and tight vacancy control. A challenging three year savings profile was set for the service and the first two year targets have been successfully achieved.

7.3 In 2016/17 the service achieved a savings target of £501k whilst eradicating an inherited budget pressure of £250k.

7.4 The 2017/18 savings target of £421k has already been met through prudent vacancy management and good financial planning.

7.5 In 2018/19 further savings will be achieved through delivery of the Early Help Strategy, phase two through a Whole Service Review.

7.6 Any delays to the timetable set out in this report would have an impact on the savings proposed. In order to achieve the full year affect the review must be operational by April 1<sup>st</sup> 2018.

- 7.7 In order to achieve the flexibility and creativity desired in the Early Help offer, it may be most effective to work with third party organisations, including partners and the voluntary and community sector to deliver evidence-based interventions. Where this need is identified the Early Help service will work through the appropriate commissioning and procurement channels.

## **8. Legal Implications**

- 8.1 It is imperative that the proposed Whole Service Review leading to the development of the future Early Help Service Model should take into account the need to comply with the Council's statutory duties in this area. In particular this includes the duties under the Education Act 1996, around securing sufficient educational leisure time activities and facilities for the improvement of the well-being of young persons, and the duties under Childcare Act 2006 to ensure there are sufficient Children's Centres, so far as reasonably practicable, to meet local need.
- 8.2 Any future proposals to significantly change Early Help services as part of the Whole Service Review would first require a robust consultation exercise with staff, service users and other stakeholders. This is properly identified and catered for in the timeline set out in 6.1.

## **9. Human Resources Implications**

- 9.1 In December 2016 the Early Help Senior Leadership Team completed a further HR establishment and budget validation exercise.
- 9.2 In 2015/16 the Early Help staffing establishment was 270.06\* FTE (Full Time Equivalents). \*October 2015.
- 9.3 In 2016/17 the Early Help staffing establishment was 263.28 FTE.
- 9.4 In 2017/18 the Early Help staffing establishment was 236.23\* FTE.
- 9.5 This equates to a reduction of 33.83 FTE since October 2015.

\*Includes investments for Edge of Care; Family Group Conferencing; and Multi-Systemic Therapy.

- 9.6 The changes proposed in this phase of the Whole Service Review are likely to involve considerable change, both in relation to individual roles and their redesign and also in relation to staffing structures. If this is the case it will require a detailed consultation process with staff and Trade Unions.
- 9.7 Any staff who are at risk as a result of the changes will be given full support in terms of redeployment. Equally, staff will be supported in relation to the changing nature of their roles and the move to more generic duties and responsibilities.

## **10. Implications for Children and Young People and Vulnerable Adults**

- 10.1 The Early Help Service directly contributes to a number of the Council's key strategies and objectives:



10.1.1 The Rotherham Plan. A New Perspective 2025:

*“Contributing to this is... refreshed Early Help programme, which involves partners working together to ensure children, young people and families have their needs identified early so that they can receive swift access to targeted help and support.”*

10.1.2 A Child Centred Borough

Six principles that will enable children to thrive:

- *A focus on the rights and voice of the child*
- *keeping children safe and healthy*
- *Ensuring children reach their potential*
- *An inclusive borough*
- *Harnessing the resources of communities*
- *A sense of place.*

10.1.3 The Children and Young People’s Plan, 2016-2019.

The three main strategic outcomes to be achieved for children, young people and their families in Rotherham are:

- *Children and young people are healthy and safe from harm*
- *Children and young people start school ready to learn for life*
- *Children, young people and their families are ready for the world of work*

## **11. Equalities and Human Rights Implications**

11.1 Rotherham Council is under a duty to promote equality and diversity in all the work it does and services it delivers. The Council will need to work with customers to co-produce an Equality Analysis when designing the new structure and operating model.

## **12. Implications for Partners and Other Directorates**

12.1 Key partners, stakeholders and staff will be engaged with as part of the 90 day consultation process.

## **13. Risks and Mitigation**

13.1 The Council will need to consider emerging risks, but these are likely to be specific to individuals. The overriding risks are not following statutory processes, the potential negative impact on performance and quality during the review period and implementation stage and reputational damage as a result of a reduction in buildings and services across the borough. Officers will work closely with HR and the communications team to mitigate any risks normally associated with a Whole Service Review and restructure through Legal, Financial and HR compliance.

**14. Accountable Officer(s)**

Ian Thomas  
Strategic Director, Children and Young People's Services  
[ian.thomas@rotherham.gov.uk](mailto:ian.thomas@rotherham.gov.uk)

**Approvals Obtained from:-**

**Finance and Corporate Services:**

**Finance:** Mick Wildman – Finance Manager **Date:** 24<sup>th</sup> April 2017

**HR:** Paul Fitzpatrick – HR Business Partner **Date:** 18<sup>th</sup> April 2017

**Assistant Director of Legal Services:**

Neil Concannon – Service Manager **Date:** 25<sup>th</sup> May 2017

**Head of Procurement:** Ian Murphy **Date:** 20<sup>th</sup> April 2017

**Council Report**

Cabinet and Commissioners' Decision Making Meeting – 10 July 2017

**Title**

Corporate Plan 2016/17 Quarter 4 Performance Report

**Is this a Key Decision and has it been included on the Forward Plan?**

Yes

**Directors Approving Submission of the Report**

Sharon Kemp, Chief Executive  
Shokat Lal, Assistant Chief Executive

**Report author(s):**

Simon Dennis, Corporate Risk Manager,  
Assistant Chief Executive's Directorate  
Tel: 01709 822114 Email: [simon.dennis@rotherham.gov.uk](mailto:simon.dennis@rotherham.gov.uk)

**Ward(s) Affected**

All

**Executive Summary**

The Corporate Plan for 2016-17 was approved by Elected Members at the RMBC Council meeting on 13<sup>th</sup> July 2016. The plan represents the core document that underpins the Council's overall vision, setting out headline priorities, indicators and measures that will demonstrate its delivery. Alongside it sits a renewed corporate Performance Management Framework, explaining to all Council staff how robust performance monitoring and management arrangements are required to ensure effective implementation.

To ensure the delivery of actions and their impact is assessed, formal quarterly performance reports are required to the public Cabinet and Commissioners' Decision-Making meeting, with an opportunity for pre-Scrutiny consideration in line with new governance arrangements. This report is the fourth and final report in the 2016/17 reporting cycle covering quarter 4 (1<sup>st</sup> January to 31<sup>st</sup> March 2017).

The Performance Report and Performance Scorecard (Appendices A and B) provide an analysis of the Council's current performance against 14 key delivery outcomes and 103 measures (the Corporate Plan includes 86 measures however a number of these include different elements). This report is based on the current position of available data, along with an overview of progress on key projects and activities which also contribute towards the delivery of the Corporate Plan.

At the end of the final quarter (January – March 2017) 33 measures had either met or had exceeded the target set in the Corporate Plan. Although this represents only 31.4% of the total number of measures in the Plan, it equates to **49.3%** of the total number of indicators where data is available or where targets have been set. A total of 27 (**40.3%** of those measured in the quarter) performance measures have not hit their target for the year (25.7% overall).

Also appended to this report is the Asset Management Plan Improvement Report (AMIP) and associated scorecard which sets out the progress on delivering the AMIP. This is included in this report as part of the requirement for AMIP progress to be reported to Cabinet on a quarterly basis.

### **Recommendations**

1. That the overall position and direction of travel in relation to performance be noted
2. That consideration be given to measures which have not progressed in accordance with the target set and the actions required to improve performance, including future performance clinics.
3. That the future performance reporting timetable for 2017/18 be noted.
4. That the progress made on delivering the Asset Management Improvement Plan (AMIP) in the period be noted.

### **List of Appendices Included**

- Appendix A – Quarter 4 Narrative Performance Report
- Appendix B – Quarter 4 Performance Scorecard
- Appendix C – Asset Management Improvement Plan Progress Update
- Appendix D – Asset Management Improvement Plan Dashboard

### **Background Papers**

- RMBC corporate 'Fresh Start' Improvement Plan, 26th May 2015
- RMBC corporate Improvement Plan, Phase Two Action Plan, June 2016
- RMBC Corporate Plan 2016–18 draft approved December 2015
- 'Views from Rotherham' report, October 2015
- Performance Management Framework 2016-17
- RMBC Corporate Plan 2016-17 approved July 2016
- RMBC Council Plan 2017-2020 – Cabinet Agenda 25<sup>th</sup> June 2017
- Corporate Plan 2016/17 Quarter 1 Performance Report
- Corporate Plan 2016/17 Quarter 2 Performance Report
- Corporate Plan 2016/17 Quarter 3 Performance Report

### **Consideration by any other Council Committee, Scrutiny or Advisory Panel**

A presentation on the first version Corporate Plan was provided by the then MD Commissioner to Overview and Scrutiny Management Board (OSMB) on 26<sup>th</sup> November 2015.

A first draft of the Corporate Plan 2016-18, along with a new Performance Management Framework was considered and endorsed by Elected Members at the RMBC Council meeting on 9<sup>th</sup> December 2015.

The Corporate Plan for 2016-17 was approved by Elected Members at the RMBC Council meeting on 13<sup>th</sup> July 2016 and the refreshed Council Plan for 2017/2020 was presented to Elected Members on 26<sup>th</sup> June 2017

The Corporate Plan 2016/17 Quarter 1 Performance Report was presented to the Overview and Scrutiny Management Board (OSMB) on 16<sup>th</sup> September 2016.

The Corporate Plan 2016/17 Quarter 3 Performance Report was presented to the Overview and Scrutiny Management Board (OSMB) on 17<sup>th</sup> February 2017.

**Council Approval Required**

No

**Exempt from the Press and Public**

No

## **Corporate Plan 2016/17 Quarter 4 Performance Report**

### **1. Recommendations**

- 1.1 That the overall position and direction of travel in relation to performance be noted.
- 1.2 That consideration be given to measures which have not progressed in accordance with the target set and the actions required to improve performance, including future performance clinics.
- 1.3 That the future performance reporting timetable for 2017/18 be noted.
- 1.4 That the progress made on delivering the Asset Management Improvement Plan (AMIP) in the period be noted.

### **2. Background**

- 2.1 In light of the failings in Performance Management highlighted in the Casey Report, the Council set out a specific objective to establish a new Vision, Corporate Plan and supporting Performance Management Framework.
- 2.2 To inform the establishment of this new vision, during the summer of 2015, the Leader of the Council and Commissioners (with support from a range of partner organisations and other leading councillors), met with people across Rotherham to listen to their views on their key priorities for the future of the borough. In total around 1,800 people were engaged (with the results published in the “Views from Rotherham” report in October 2015). This feedback was used to define a new vision for the Borough, which was announced at the Commissioners’ public meeting with Councillors on 28<sup>th</sup> October 2015.
- 2.3 In the light of this new vision, the development of a new Corporate Plan was initially led by the then MD Commissioner. This new Corporate Plan for 2016-2018, alongside a revised Performance Management Framework, was then endorsed by Elected Members at the Council meeting on 9<sup>th</sup> December 2015, but members acknowledged that the Corporate Plan would require further work to refine it, and that priorities and measures would need to be finalised through a process to reflect the specific priorities of the Leader and Cabinet in place following the local elections in May 2016.
- 2.4 Given the nature of the Council’s ongoing progress towards improvement a one-year Corporate Plan was developed. The underpinning performance management cycle runs from April to March and 2016-17 will therefore be a transitional year for planning and reporting, to introduce these new performance management arrangements and ensure a new and consistent approach across the Council. The refined Corporate Plan for 2016-17 was approved by Elected Members at the RMBC Council meeting on 13<sup>th</sup> July 2016.

- 2.5 Service and team planning templates have been produced to ensure a 'golden thread' runs from the Corporate Plan through to service, team plans and the PDR process and develop a consistent approach across the Council. Service Plans are now in place across the Council, and the Cabinet has recently received a refreshed Council Plan covering the period 2017-2020. This new Plan will take the place of the Corporate Plan and, as a result, this report forms the last quarterly report against indicators in the 2016-2017 Corporate Plan.
- 2.6 A new reporting format has been adopted and the first quarterly Performance Report (April – June 2016) was presented to the Cabinet and Commissioners' Decision Making meeting on 12<sup>th</sup> September 2016 and the Overview and Scrutiny Management Board (OSMB) on 16<sup>th</sup> September 2016. The Cabinet and Commissioners' Decision Making meeting considered the second quarter's results on 14<sup>th</sup> November 2016 and the third quarter's report on 13<sup>th</sup> February 2017. At the end of this third quarter 25 measures were progressing above or in line with the target set. Although this represented 24.3% of the total number of measures, performance data showed that 43.9% of measures which had information available for the third quarter were on target (a slight increase from the second quarter. At the Cabinet and Commissioners' Decision Making meeting the overall direction on travel in relation to performance and the performance reporting timetable were noted.
- 2.7 In addition to the Quarterly Performance reporting process, this report also contains the most recent Asset Management Improvement Programme (AMIP) progress report. This has been appended to this report as it needs to be reported to the Cabinet quarterly and the cycle for it sits neatly alongside the Performance reporting process.

### **3. Key Issues**

- 3.1 The Corporate Plan includes 86 measures, however a number of these include different elements resulting in there being 103 in total. The measures sit under 14 key delivery outcomes, which form the priority actions under each of the vision priorities:

- *Every child making the best start in life*
- *Every adult secure, responsible and empowered*
- *A strong community in a clean, safe environment*
- *Extending opportunity, prosperity and planning for the future*

These four priorities are underpinned by a fifth, cross-cutting commitment to be *a modern and efficient Council*.

- 3.2 The 2016/17 Corporate Plan sets out the vision, priorities and measures to assess progress. Through the guidance and direction set out in the supporting Performance Management Framework, relevant plans will be in place at different levels of the organisation to provide the critical 'golden thread' that ensures everyone is working together to achieve the Council's strategic priorities.

- 3.3 The Quarter 4 Performance Report (Appendix A) sets out how the Council has performed in the final quarter of 2016/17 (1 January – 31 March 2017) to deliver the five headline priorities for Rotherham as set out in the Corporate Plan for 2016-17. The report provides an overview of progress and exceptions (good/improved performance and areas of concern) as well as wider information, key facts and intelligence such as customer feedback, quality assurance, external regulation and specific case study information to demonstrate what has been achieved to deliver the vision.
- 3.4 The Q4 Performance Scorecard (Appendix B) provides an analysis of the Council's performance against each of the 103 performance measures. Based on the frequency of reporting and targets set each of the measures are rated as follows:

**Overall status (relevant to target)**



Measure progressing above or in line with target set



Measure progress has been satisfactory but is not fully reaching target set



Measure has not progressed in accordance with target set



Measure under development (e.g. awaiting data collection or target-setting)



Measure not applicable for target (e.g. baseline year, or not appropriate to set a specific target)



Measure information not yet available (e.g. due to infrequency or timing of information/data)

**Direction of travel (dependent upon whether good performance in high or low)**



Numbers have improved



Numbers are stable



Numbers have got worse



Direction of travel not applicable



- 3.5 At the end of the final quarter (January – March 2017) 33 measures had either met or had exceeded the target set in the Corporate Plan. Although this represents only 31.4% of the total number of measures in the Plan, it equates to 49.3% of the total number of indicators where data is available or where targets have been set. The direction of travel is positive for 43.9% (36) of the indicators measured in this final quarter (35% across the whole of the Corporate Plan). A total of 27 (40.3% of those measured in the quarter) performance measures have not hit their target for the year (25.7% overall).
- 3.6 The Council set 32 priority indicators for 2016/17 which represented the key measures that the Council wished to place particular focus on in the course of the year. Of these 32, 12 hit their target by the year end (with a further one expected to hit the target but with final data not yet confirmed), 11 did not hit their target, and nine either do not yet have reliable data available or are measures where a target has not been set.
- 3.7 The 12 priority indicators where final data is available which hit their targets were:
- *1.C1 Smoking status at time of delivery (women smoking during pregnancy)* is now at 17% compared to a local target of 18.4%
  - *2.B4(a) Proportion of Adults receiving long term community support who receive services via self-directed support* with 78.3% being the proportion achieved compared to a target of 76%
  - *2.B9(a) Permanent admissions to residential care for adults* - 17.44 admissions rate compared to a target rate of no more than 17.6
  - *2.B9(b) Permanent admissions to residential care for older people*: 329 admissions in total for the year compared to a target of no more than 390 admissions
  - *3.B2(c) % of unclassified roads in need of repair* where the figure is currently 23% compared to a target of less than 28%. The national average is only 17% and the council is investing £10m over the next three years to bring the figure closer to the national average.
  - *3.B4(a) Following re inspection of grounds maintenance works achieve no more than 5% defective/not to standard works*. The outturn for this indicator was zero.
  - *4.A1 Survival rate of new businesses (3 years)*. This rate was 59.9% as opposed to a target of 57.5%.
  - *4.A2 Number of jobs in the Borough* – the number of jobs in the borough has exceeded 100,000 for the first time since the recession on 2008.
  - *4.A4 Overall number of businesses in the Borough* – there are 6,810 businesses in the borough compared to a target of 6,500.
  - *4.B2 % of housing stock that is non-decent*. The overall position is that 0% of the housing stock was non decent by the end of the financial year. This is better than the target of 0.5%.

- *4.B5(a) % of eligible properties which have applied for a license, within Selective Licensing area* – this indicator achieved 100% against a target of 95%
- *4.B5(b) % of privately rented properties compliant with Selective Licensing conditions within designated areas* – 82% of properties were compliant compared to a target of 70%.

3.8 The 11 priority measures that missed their target were:

- *1.A3 - % children who had a social care concern raised within 12 months of the last concern ending (Re-referrals):* Performance for the year saw this indicator at 27.5% compared to a target of 23%. This measure is a good indication of the effectiveness, quality and sustainability (by families) of children's social care work. The year-end target has not been met but there has been a sustained month on month improvement since September 2016 and if this continues the Council is in a strong position to achieve the national and statistical benchmarking averages in 2017/18. Contributing factors to this improvement include a greater management focus on overall 'quality' of work, systematic auditing and a strengthened front door screening process within MASH.
- *1.A4 - % children who are subject to repeat child protection plans (within 24 months).* The percentage at year end was 8.4% compared to a target of 4%. There continues to be an increase in the number of children being subject to a second or subsequent plan within 2 years of the other ceasing. Performance against this measure declined in January and then further in February and March 2017. Work continues in the service to assess the quality of plans and to ensure that plans are only ceased when children and young people are no longer at risk or are supported appropriately at a lower level of intervention
- *1.A5 – Increase in the proportion of children who are cared for in a family setting.* The outcome for this indicator was 81.1% compared to a target of 87.5%. However, the proportion of children in a family based placement continues to increase, the rate of this improvement is slightly impacted due to the overall numbers of LAC being higher than usual.
- *2.B2 - Average delayed transfers of care from hospital attributable to Adult Social Care.* Current information shows delayed transfers as 2.45 per 100,000 as opposed to a target of 1.5. While performance has declined, this is in line with national trends and Rotherham still performing well regionally. Performance in this period is impacted by significant pressures on the hospital through the winter in particularly in January 2017. The issue was exacerbated as, due to the acuity and complexity, the discharge pathways (e.g. intermediate care) became blocked. Enabling capacity remains challenged and there are significant issues with capacity in the home care market which are being addressed through targeted work.
- *2.B4(b) – Proportion of Carers in receipt of carer specific services who receive service by self-directed support.* Current figures suggest that this is 6.02% compared to a target of 46.7%. The introduction of the practice challenge group and a targeted training programme has led to an increase in a strength based approach to assessment. However the associated support planning needs further work to enable a full range of personalised options. Carers assessments continue to be an area of concern as reported feedback is indicating some carers refusing separate carer's assessments, work is taking place as part of

the delivery group for “caring together” to explore with Carers why this appears to be the case.

- *2.B6 – Proportion of people (65+) still at home 91 days after discharge into rehabilitation.* Performance against this indicator was 87.5% as opposed to a target of 91%. The enabling service offers tailored support to individuals in their own homes for a maximum of 6 weeks working with them to maximise their potential and to achieve agreed outcomes. This has helped individuals to regain skills and to rebuild confidence in order to help them live independently within the community. Further work will be undertaken to review the wider enablement offer and the pathway which will also incorporate intermediate care.
- *3.A4 - % of licence holders that demonstrate adherence to the requirements of the Council’s Hackney Carriage and Private Hire Policy.* In particular this relates to the number of drivers that have obtained the BTEC / NVQ qualification where 75% have obtained this qualification by the year end compared to a target of 100%. Officers within the Licensing team have identified all current drivers that have yet to provide evidence that they meet the qualification requirement. These drivers will be contacted by letter in the first quarter of the 2017/18 financial year and asked to provide evidence of their qualification – this will then allow for the targeted enforcement of the requirement by Licensing Enforcement Officers.
- *3.A6 - Number of people borrowing books and other materials –* the total number for the year was 21,158 compared to a target of 25,000. The outturn demonstrates a 5.8% reduction on performance in 2015/16. Benchmarking confirms that this is both a regional and national trend. The emerging role of libraries as neighbourhood hubs presents many opportunities to encourage new and repeat visitors. The future challenge will be to encourage those visitors to become and develop as readers.
- *4.B1 - Number of new homes delivered during the year* was 593 against a target of 731. Despite these figures, the Council is extremely confident that the supply of housing will be increased next year in all sectors of the market .This confidence is based following the government announcement that additional funding will be made available to the authority to increase the number of new homes across the borough in the coming year.
- *5.D2 -Days lost per FTE* were 10.97 days compared to a target of 10.2 days. The number of sickness days lost per person increased over the year from 10.43 to 10.97 days with three conditions, Musculo-Skeletal (31%), Stress (29%) and Infection Virus (16%), accounting for three quarters of all absence. Steps have been put in place to deliver more effective management of attendance including a review of policy, manager training and a dedicated sub group of the Council’s Health, Safety and Welfare Committee.
- *5.D3 - Reduction in Agency cost* targeted a 10% reduction but instead saw a 50% increase. It should be noted however that this increase contains some expenditure classified as Consultancy in previous years and approximately 70% of the expenditure was covered by existing staffing budgets. Changes in “Off Payroll” worker IR35 regulations on the taxation treatment of earnings from the Public Sector are expected to see agency costs fall during 2017/18 as some workers choose to move into permanent roles. The Workforce Management Board, led by the Assistant Chief Executive and attended by Assistant Directors

from all Directorates, has introduced a control process with use of agency staff requiring explicit Directorate and Board sign off which should also contribute to a reduction in expenditure.

- 3.9 There are a number of measures 18.1% (19 in total) rated as 'measure information not yet available' due to a number of measures which are annual, termly or 6 monthly. In some circumstances interim data is available to demonstrate whether or not the Council is on track to achieve the annual target, however for others the Performance Report provides an overview of progress to assure Cabinet/Commissioners that progress is being made. 9 of these indicators are priority measures – the majority are in this category as data is not yet available either because it is on an annual or a termly basis.
- 3.10 Commissioners and Cabinet Members will recall that the Corporate Plan includes five staff values and behaviours which capture in one place how everyone in the Council is expected to act and behave, including with customers and partners. Roll-out of the values commenced in September 2016 with staff briefings, articles in Take 5, a new screensaver and launch of employee awards nominations, particularly recognising those openly living the values. The Big Hearts Big Changes Awards took place on 24<sup>th</sup> November. Further roll out phases will see the behaviours incorporated within the PDR paperwork.
- 3.11 Following the recommendations in the CIPFA Health Check report published in November 2016, an Asset Management Improvement Plan was approved by Cabinet in February 2017. The Improvement Plan includes the 22 recommendations outlined in the Health Check report together with the ten "hallmarks of good Asset Management" and five areas requiring a "strong programme" outlined in Commissioner Kenny's letter in November 2016 to the Council's Chief Executive.
- 3.12 The approval required that an update be provided to Cabinet on a quarterly basis and this paper is the first such update, reporting progress for the period from February to May 2017. Significant progress has been made during the period and the position as at 31 May 2017 can be seen at Appendix D, the dashboard, reflecting progress made on all 17 composite points in the Plan.
- 3.13 The new Council Plan for 2017/20 will reduce the number of indicators overall and will provide a clearer focus on indicators that can be measured monthly or quarterly. To ensure that the 2017/20 Council Plan is effectively performance managed formal quarterly performance reports will continue to be presented to Cabinet/ Commissioner Decision-Making meetings during 2017/18:
  - Quarter 1 Performance Report (performance to end-June 2017) – 11<sup>th</sup> September 2017
  - Quarter 2 Performance Report (performance to end September 2017) – 13<sup>th</sup> November 2017
  - Quarter 3 Performance Report (performance to end December 2017) – 19<sup>th</sup> February 2018
  - Quarter 4 Performance Report (performance to end March 2018) – June 2018 (exact date TBC)
  - Final 2017-2018 Annual Performance Report (validated data) – early Autumn 2018 (exact date TBC)

#### **4. Options considered and recommended proposal**

- 4.1 It is recommended that Cabinet and Commissioners review the overall position, direction of travel and general progress made to deliver against the key delivery outcomes and the Asset Management Improvement Programme and provide feedback regarding what action is required in relation to areas of poor performance.

#### **5. Consultation**

- 5.1 The Council consulted with 1,800 members of the public to develop the new vision for the borough during the summer of 2015 and set out in October 2015. During 2016/17 The Leader and Chief Executive held a number of staff briefing sessions throughout January and February 2016. Part of the sessions included an update on the Corporate Plan and over 800 attended in total.
- 5.2 A presentation on the first version of a new Corporate Plan was made to Overview and Scrutiny Management Board on 26<sup>th</sup> November 2015, with this formally considered by members at the Council meeting on 9<sup>th</sup> December 2015 and approved on 13<sup>th</sup> July 2016. Regular discussions on the developing plan were also held with Strategic and Assistant Directors, M3 Managers and Cabinet Members and Commissioners.
- 5.3 Focus groups, M3 manager meetings, as well as the “Views from Rotherham” consultation conducted in 2015, have all also provided opportunities to help define the new values and behaviours for the organisation contained within the Plan. Trades Unions have also seen the values and behaviours and will be included in considerations around the roll out of these.
- 5.4 The quarterly reporting template and performance scorecard has been developed in consultation with performance officers, the Strategic Leadership and Cabinet Members.

#### **6. Timetable and Accountability for Implementing this Decision**

- 6.1 This is the fourth and final quarterly Performance Report relating to the Corporate Plan for 2016/17. The Quarter 1 Performance Report relating to the new Council Plan 2017/2020 will be presented to Cabinet and Commissioners on 11<sup>th</sup> September 2017. Paragraph 3.12 sets out an outline forward programme of further quarterly performance reports.

#### **7. Financial and Procurement Implications**

- 7.1 The Corporate Plan will help steer the use of Council finances going forward, balanced against the wider funding backdrop for the Council and the broader national local government finance and policy context.

- 7.2 The Council operates in a constantly changing environment and will need to be mindful of the impact that changes in central Government policy, forthcoming legislation and the changing financial position of the authority will have on its ability to meet strategic, corporate priorities and performance targets; and that ambitions remain realistic.
- 7.3 Any identified needs to procure goods, services or works in relation to achieving the Corporate Plan objectives should be referred to the Corporate Procurement Service in order to ensure all projects are in line with the relevant internal Contract Procurement Rules and UK Public Contract Regulations as well as relevant EU legislation.

## **8. Legal Implications**

- 8.1 While there is no specific statutory requirement for the Council to have a Performance Management Framework and Corporate Plan, being clear about the Council's ambitions gives staff, partners, residents and central Government a clear understanding of what it seeks to achieve and how it will prioritise its spending decisions.
- 8.2 An effective and embedded Corporate Plan is also a key part of the Council's ongoing improvement journey in response to Government intervention at the Council.

## **9. Human Resources Implications**

- 9.1 There are no direct Human Resources (HR) implications as a result of this report, though the contribution HR makes to a fully functioning organisation and dynamic workforce is set out within the plan and Performance Report (priority 5 – a modern, efficient Council). Roll out of the values and behaviours requires engagement with all sections of the workforce and it is a key role for managers across the organisation, led by the Chief Executive and wider Senior Leadership Team.

## **10. Implications for Children and Young People and Vulnerable Adults**

- 10.1 The Corporate Plan has a core focus on the needs of children and young people and vulnerable adults, including a focus on establishing Rotherham as a 'child-centred' borough (Priority 1).

## **11. Equalities and Human Rights Implications**

- 11.1 Ensuring that the Council meets its equalities and human rights duties and obligations is central to how it manages its performance, sets its priorities and delivers services across the board.
- 11.2 A new corporate Equalities and Diversity Policy was adopted by Council on 13<sup>th</sup> July 2016 which will reinforce the duties of the Council in this regard in delivering the aims and ambitions of the Corporate Plan for 2016/17 as well as the refreshed Council Plan for 2017/2020 and supporting service business planning processes.

## **12. Implications for Partners and Other Directorates**

12.1 Partnership working is central to the Corporate Plan and the refreshed Council Plan. The formal partnership structure for Rotherham, the 'Rotherham Together Partnership' (RTP), launched "The Rotherham Plan 2025" in March 2017. The Plan describes how local partners plan to work together to deliver effective, integrated services, making best use of their collective resources. The refreshed Council Plan links to The Rotherham Plan by picking up the "Game Changers" described in the latter document and setting out the Performance Indicators that describe how the Council intends to deliver its part of the Plan.

## **13. Risks and Mitigation**

13.1 Within the Performance Report there are two sections relating to risks under each of the key delivery outcomes. These include the 'exceptions' and 'risks and challenges ahead' sections. Within the Performance Scorecard all measures which have not progressed in accordance with the target set are clearly marked with a red cross. Directorates are also responsible for ensuring that any significant risks are also addressed via Directorate and Corporate Risk Registers.

13.2 The Strategic Risk Register is structured to identify and mitigate strategic risks aligned to the Corporate Plan. The process of updating and identifying strategic risks is designed to enable the Council to manage risks connected to the Corporate Plan. Each risk area is reviewed every six weeks.

## **14. Accountable Officer(s)**

14.1 *Sharon Kemp, Chief Executive*

Approvals Obtained from:

Head of Human Resources: Sue Palfreyman

On behalf of Assistant Director of Legal Services: Stuart Fletcher

On behalf of Strategic Director of Finance and Customer Services: Graham Saxton

This report is published on the Council's website or can be found at:-

<http://moderngov.rotherham.gov.uk/ieDocHome.aspx?Categories=>

# RMBC CORPORATE PLAN 2016-17

## PERFORMANCE REPORT

**Period:**

**Quarter 4 (January – March 2017)**

**About this report:**

This report sets out how the Council has performed in the final quarter of 2016/17 to deliver the four headline priorities for Rotherham as set out in the Corporate Plan for 2016/17. It brings together headline performance measures with wider information, key facts and intelligence to explain how the Council is working and performing to deliver its vision for Rotherham.

**The Council's 4 Priorities:**

1. *Every child making the best start in life*
2. *Every adult secure, responsible and empowered*
3. *A strong community in a clean, safe environment*
4. *Extending opportunity, prosperity and planning for the future*

These four priorities are underpinned by a fifth, cross-cutting commitment to be a *modern and efficient Council*.

This report focuses on the headline performance measures associated with these key priorities, as set out in the Council's Corporate Plan for 2016/17. Through Directorate and Service teams the Council carries out wider work that is subject to further measures of performance and quality, which are addressed and managed through Directorate and Service-level Business Plans. This report is intended to provide an overview of the contribution that the Council makes across all of its activities to improving Rotherham as a place to live, work and spend time.



**HEADLINE NARRATIVES**

The Council's Corporate Plan for 2016/17 sets out the outcomes and headline measures that demonstrate performance against the four priorities that the Council works towards in order to create a safer, healthier and more prosperous Rotherham.

<p><b>Every child making the best start in life</b></p> <p>We are working to ensure that Rotherham becomes a child-centred borough, where young people are supported by their families and community, and are protected from harm. We will focus on the rights and voice of the child; keeping children safe and healthy; ensuring children reach their potential; creating an inclusive borough; and harnessing the resources of communities to engender a sense of place. We want a Rotherham where young people can thrive and go on to lead successful lives. Children and young people need the skills, knowledge and experience to fully participate in a highly skilled economy.</p>	<p><b>Every adult secure, responsible and empowered</b></p> <p>We want to help all adults enjoy good health and live independently for as long as possible and to support people to make choices about how best to do this. We want a Rotherham where vulnerable adults, such as those with disabilities and older people and their carers, have the necessary support within their community.</p>
<p><b>A strong community in a clean, safe environment</b></p> <p>We are committed to a Rotherham where residents live good quality lives in a place where people come together and contribute as one community, where people value decency and dignity and where neighbourhoods are safe, clean, green and well-maintained.</p>	<p><b>Extending opportunity, prosperity and planning for the future</b></p> <p>We are building a borough where people can grow, flourish and prosper. We will promote innovation and growth in the local economy, encourage regeneration, strengthen the skills of the local workforce and support people into jobs. We want a Rotherham where residents are proud to live and work.</p>
<p><b>Running of a modern, efficient Council</b></p> <p>This underpins the Council's ability to deliver the vision for Rotherham. It enables local people and the Government to be confident in its effectiveness, responsiveness to local need and accountability to citizens. A modern, efficient council will provide value for money, customer-focused services, make best use of the resources available to it, be outward looking and work effectively with partners.</p>	

## THE COUNCIL'S HEADLINE OUTCOMES

The report is focussed around the following key delivery outcomes which the Council is seeking to achieve in delivering the vision for the borough.

Priority	Outcome
<b>Priority 1 - Every child making the best start in life</b>	<b>A.</b> Children, young people and families are protected and safeguarded from all forms of abuse, violence and neglect
	<b>B.</b> Children and Young people are supported to reach their potential
	<b>C.</b> Children, young people and families are enabled to live healthier lives
<b>Priority 2 - Every adult secure, responsible and empowered</b>	<b>A.</b> Adults are enabled to live healthier lives
	<b>B.</b> Adults and carers are supported to be safe, independent and resilient within a personalised model of care and support
<b>Priority 3 - A strong community in a clean, safe environment</b>	<b>A.</b> Communities are strong and people feel safe <i>(also contributes to priority 2 – Every adult secure, responsible and empowered)</i>
	<b>B.</b> Streets, public realm and green spaces are clean and well maintained
<b>Priority 4 - Extending opportunity, prosperity and planning for the future</b>	<b>A.</b> Businesses supported to grow and employment opportunities expanded across the borough
	<b>B.</b> People live in high quality accommodation which meets their need, whether in the social rented, private rented or home ownership sector <i>(also contributes to priority 2 – Every adult secure, responsible and empowered)</i>
	<b>C.</b> Adults supported to access learning improving their chances of securing or retaining employment
<b>Priority 5 - Running a modern, efficient Council</b>	<b>A.</b> Maximised use of assets and resources and services demonstrate value for money
	<b>B.</b> Effective governance arrangements and decision making processes are in place
	<b>C.</b> Staff listen and are responsive to customers to understand and relate to their needs
	<b>D.</b> Effective members, workforce and organisational culture

This report is based on the headline measures that Directorates have identified that best demonstrate progress in achieving the above outcomes.

**KEY TO PERFORMANCE MONITORING**

The following symbols are used in this report to show how the Council is performing in line with the measures and targets it has set:

**Overall status (relevant to target)**



Measure progressing above or in line with target set



Measure progress has been satisfactory but is not fully reaching target set



Measure has not progressed in accordance with target set



Measure not applicable for target (e.g. baseline year, or not appropriate to set a specific target)



Measure information not yet available (e.g. due to infrequency or timing of information/data)

**Direction of travel (dependent upon whether good performance in high or low)**



Numbers have improved



Numbers are stable



Numbers have got worse



Direction of travel not applicable

## EXECUTIVE SUMMARY

The Corporate Plan includes a total of 103 measures:

- 22 measures monthly
- 30 measures quarterly
- 6 measures termly
- 7 measures 6 monthly
- 37 measures annual
- 1 measure biennial

### Indicators achieving their target

At the end of the final quarter (January – March 2017) 33 measures had either met or had exceeded the target set in the Corporate Plan. Although this represents only 31.4% of the total number of measures in the Plan, it equates to **49.3%** of the total number of indicators where data is available or where targets have been set. The direction of travel is positive for **43.9%** (36) of the indicators measured in this final quarter (34% across the whole of the Corporate Plan). The Priority areas with the highest levels of targets met are Priority 4 (Extending opportunity and prosperity) and Priority 5 (A modern, efficient Council) which both have 72.7% of targets hit.

The Council set 32 priority indicators for 2016/17 which represented the key measures that the Council wished to place particular focus on in the course of the year. Of these 32, 12 hit their target by the year end. These were:

- 1.C1 – Smoking status at time of delivery (women smoking whilst pregnant)
- 2.B4(a) Proportion of Adults receiving long term community support who receive services via self-directed support
- 2.B9(a) Permanent admissions to residential care for adults
- 2.B9(b) Permanent admissions to residential care for older people
- 3.B2(c) % of unclassified roads in need of repair.
- 3.B4(a) Following re inspection of grounds maintenance works achieve no more than 5% defective/not to standard works
- 4.A1 - Survival rate of new businesses (3 years)
- 4.A2 - Number of jobs in the Borough
- 4.A4 - Overall number of businesses in the Borough
- 4.B2 - % of housing stock that is non-decent
- 4.B5(a) - % of eligible properties which have applied for a license, within Selective Licensing area
- 4.B5(b) - % of privately rented properties compliant with Selective Licensing conditions within designated areas

### Indicators not hitting their targets

A total of 27 (**40.3%** of those measured in the quarter) performance measures did not hit their target for the year (25.7% overall). 11 of these indicators were Council “priority measures”. The priority measures that missed their target were:

- 1.A3 - % children who had a social care concern raised within 12 months of the last concern ending (Re-referrals)
- 1.A4 - % children who are subject to repeat child protection plans (within 24 months)
- 1.A5 – Increase in the proportion of children who are cared for in a family setting
- 2.B2 - Average delayed transfers of care from hospital attributable to Adult Social Care
- 2.B4(b) – Proportion of Carers in receipt of carer specific services who receive service by self-directed support.
- 2.B6 – Proportion of people (65+) still at home 91 days after discharge into rehabilitation
- 3.A4 - % of licence holders that demonstrate adherence to the requirements of the Council's Hackney Carriage and Private Hire Policy
- 3.A6 - Number of people borrowing books and other materials
- 4.B1 - Number of new homes delivered during the year
- 5.D2 - days lost per FTE
- 5.D3 - Reduction in Agency cost

Other Indicators






There are a number of measures 18.1% (19 in total) rated as ‘measure information not yet available’ due to a number of measures which are annual, termly or 6 monthly. In some circumstances interim data is available to demonstrate whether or not the Council is on track to achieve the annual target, however for others the Performance Report provides an overview of progress to assure Cabinet/Commissioners that progress is being made.

9 of these indicators are priority measures – the majority are in this category as data is not yet available either because it is on an annual or a termly basis.






The new Council Plan for 2017/18 will reduce the number of indicators in this category and will provide a clearer focus on indicators that can be measured monthly or quarterly.

Summary tables by priority area






**Priority 1 - Every child making the best start in life**

	5 measures (26% of those measured this quarter)
	7 measures (37% of those measured this quarter)
	7 measures (37% of those measured this quarter)
	5 measures
	5 measures






**Priority 2 - Every adult secure, responsible and empowered**

	4 measures (33% of those measured this quarter)
	0 measures
	8 measures (67% of those measured this quarter)
	5 measures
	6 measures






**Priority 3 - A strong community in a clean, safe environment**

	8 measures (57% of those measured this quarter)
	0 measures
	6 measures (43% of those measured this quarter)
	4 measures
	0 measures

**Priority 4 - Extending opportunity, prosperity and planning for the future**

	8 measures (73% of those measured this quarter)
	0 measures
	3 measures (27% of those measured this quarter)
	0 measures
	6 measures

**Priority 5 - Running a modern, efficient Council**

	8 measures (73% of those measured this quarter)
	0 measures
	3 measures (27% of those measured this quarter)
	5 measures
	2 measures

**PRIORITY 1:**

**EVERY CHILD MAKING THE BEST  
START IN LIFE**

**PRIORITY 1: EVERY CHILD MAKING THE BEST START IN LIFE**

Outcome: A. Children, young people and families are protected and safeguarded from all forms of abuse, violence and neglect

**Lead accountability:**

Ian Thomas, Strategic Director – Children and Young People's Services

**Overview of progress:**

The Services that protect and care for children continue to make reasonable progress in achieving good levels of statutory compliance. The Council has created an environment where good social work practice can thrive: a stable workforce, well-led and managed; low caseloads; and competitive remunerations.

The Council's significant investment in transformation will ensure that the services can move to the next phase of the improvement journey, where the management of demand and an improvement in the quality of practice is expected.

100% of families were attached to the Families for Change programme; this protects the funding received and increases the opportunity of drawing down additional payment by results funding next year.

**Exceptions:**

<b>Good/improved performance:</b>	<b>Areas of concern:</b>
<b>Ref No. 1.A1</b> - The number of Children in Need per 100,000 population has decreased to 359.8 from 380.0 in Q3	<b>Ref No. 1.A3</b> - % children who had a social care re-referral within 12 months has increased to 27.5%, above the 23% target.
<b>Ref No. 1.A2</b> - 100% of the target engagement figure for Families for Change was achieved at the end of the financial year.	<b>Ref No. 1.A4</b> - Increase in children becoming subject of a child protection plan for second or subsequent time to 9.2% Q4 from 6.7% Q3 <b>(Priority Measure)</b>
<b>Ref No. 1.A5</b> - Increase in the proportion of children who are cared for in a family based setting is 81.1% compared to 80.2% at the end of Q3 <b>(Priority Measure)</b>	

**Performance story/narrative:**

**Ref No. 1.A1** – There is no good or bad performance in relation to the number of Children in Need (CIN), although it is important to monitor against statistical neighbour and national averages as numbers considerably higher or lower than average can be an indicator of other performance issues.

The numbers continue to show a significant reduction of children that sustains our position below the statistical neighbour average, but above the national average. This reduction is due to Duty and Assessment Managers rigorously applying the threshold to step down when appropriate to Early Help rather than ongoing social care involvement and clear locality processes for regularly reviewing CIN to ensure timely progression and avoid drift. The review work happens on a rolling basis and ensures that workers and team managers are challenged where appropriate in respect of the effectiveness of CIN planning.

One of the measures of success of our Early Help offer will be, over time, a reduction in the numbers of CIN as families are offered support at an earlier point before concerns escalate. As the service starts to embed it may in the short term increase demand as it uncovers unmet need.



**Ref No. 1.A2** – Rotherham committed to identifying and engaging 882 families in the Troubled Families Programme (known locally as Families for Change) during 2016/17. The target engagement figure for this financial year was achieved in March when 97 new families were attached to the programme. The rate of identification increased in the final quarter of the year when processes to identify families using Liquid Logic became embedded. The improved identification process is now established. Funding for the programme is calculated based on the number of families attached making the achievement of this target significant.

**Ref No. 1.A3** – The rate of re-referrals within 12 months of last referral continues to see small incremental month on month improvements to 27.5%, compared to a 2015/16 position of 30.6%. However we have not met the Corporate Plan priority target of 23%, therefore indicating that children's needs may not be being met in a sustained way. This reinforces the findings of our audit programme which is trying to help us move beyond compliance. This indicator is usually a reflection of the quality of the practice and as this improves the indicator should reduce. As the improvement strategies are implemented we should expect to see a continued downward trend.

**Ref No. 1.A4** – The number of children becoming subject to a Child Protection Plan (CPP) in the last 12 months has decreased from 528 in 2015/16 to 445 in 2016/17. However the proportion of these children who are subject to their second or subsequent plan has been increasing month on month from 4.7% in 2015/16 to 9.2% in 2016/17 and remains higher than the target of 4%. This may indicate that children are ceasing their plan before all significant risks have been addressed. The figures behind the percentages show that the lower overall CPP cohort is producing a higher percentage increase; there has been an actual increase of 19 children (22 in April 2016 to 41 in March 2017). This however still requires improvement and work continues in the service to assess the quality of plans and to ensure that plans are only ceased when children and young people are no longer at risk or are supported appropriately at a lower level of intervention. It is clear that some of the reasons for repeat child protection planning relates to 'legacy' issues in relation to previous social work planning and intervention.

**Ref No. 1.A5** – The number of children being cared for in a family based setting is generally improving, primarily as a result of the number of in-house placements increasing. In-house placements (Inc. Placement with Parents (PWP), Independent living and S36 (education supervision order placements) increased from 222 in May 2016 to 396 as of March 2017 and the current number of in-house foster placements stands at an all-time high of 204 as of 7<sup>th</sup> April 2017.

Performance currently stands at 81.1% of our looked after children (LAC) are being cared for in a family based placement; however this is with a backdrop of an increase of more than 50 LAC since last year.

The Placement Sufficiency Strategy 2017-20 was approved by the Corporate Parenting Panel in February 2017 which sets out the plan to increase in-house and family based care and actions have already been taken;

- Work has been undertaken to reduce the number of 'dormant' in-house placements which stood at 47 in January 2017 and by April 2017 this is now down to 22.
- Recruitment continues to be strong with 23 new carers approved over 2016/17, against a target of 15 and this target has been reset at 25 for each of the 3 years of the Strategy.
- A marketing post has been approved and is in the midst of recruitment in order to improve the foster care recruitment via social media.
- Reports have been presented to DLT in respect of a 'Refer a Friend', Virtual Assessment Team and Council Tax Discounts for Foster Carers to further support recruitment.
- The Fostering Service are progressing the implementation of the Mockingbird Project which aims to significantly increase the support available to carers.
- There will be a concerted media strategy with the Communications team ensuring 'good news' stories appear in the local media including achievements of LAC, long service awards for carers, Fostering Fortnight events held 8<sup>th</sup> - 21<sup>st</sup> May.

**Ref No. 1.A6, 1.A7 & 1.A8** – The number of Child Sexual Exploitation (CSE) referrals increased during quarter 4 with a reported figure of 73. There were 2 prosecutions for CSE offences in quarter 4 which brings the 2016/17 year-end total to 17. There are no targets against these measures as numbers can fluctuate and are therefore difficult to predict.

CSE continues to be identified, investigated and prosecuted; however, caring for the victims remains complex, especially supporting those who are going through court proceedings, some of which are historic in nature.

There were 139 referrals of victims/survivors who accessed post abuse support services in quarter 4 bringing the year-end total to 327 (including new referrals, both new cases or newly referred historic cases).

**Ongoing risks and challenges ahead:**

Both within Rotherham and on a national level the numbers of children in care continue to rise. This places significant pressure on the availability of foster placements, both in-house and within the private fostering sector (Independent Fostering Agencies). As a result these agencies can afford to 'pick and choose' their placements, therefore several young people who may have been in foster care previously have had to be placed in residential care.

Competition for foster carers remains strong from the IFAs, as a result the Council needs to maintain a visible profile, and remain competitive in respect of finances, support and training.

The age profile to RMBC carers is relatively high with a number of carers approaching the age at which they will be considering retirement.

The target for attaching families to the Families for Change programme in 2017/18 has been set by the Department of Communities and Local Government at 633. It is important that we maintain current performance levels in order to meet this target and ultimately work with families to gain employment and significant and sustained outcomes in order to claim maximum Payment by Results (PBR) funding to supplement the attachment fees.

Outcome: B. Children and Young people are supported to reach their potential

**Lead accountability:**

**Ian Thomas**, Strategic Director – Children and Young People’s Services

**Overview of progress:**

The number of two-year-olds taking up an early education place in Rotherham is consistently higher than the national average with the majority of Rotherham’s Ofsted-registered Early Years and Childcare providers being judged to be good or outstanding.

Rotherham is above national average and ranked first in the Yorkshire and Humber Region for pupils achieving the expected standard in reading, writing and maths at Key Stage 2.

The Key Stage 4 progress 8 score for Rotherham in 2016 is above the national average progress score and above the Yorkshire and Humber aggregated regional average. Rotherham is one of only 3 local authorities in our statistical neighbour comparative group that has a score above 0.

Rotherham’s “Genuine Partnerships” Charter principles are being recommended nationally and Rotherham’s Inclusion Service is working in co-production with parents, young people and the national charity ‘Contact a Family’ to deliver consultation and training with leaders of inclusion in other local authorities.

Because of its unique central position in South Yorkshire, coupled with high quality and performance across all phases of the education system, the Borough is a net importer of children and young people from Early Years through to post-16 education.

The final absence statistics for Persistent Absence (PA) in academic year 2015/2016 were published during March with pleasing results for Rotherham. Both primary and secondary schools made an improvement on 2014/15.

Quarter 4 is the second quarter of revised DfE performance requirements where performance is measured for the NEET and Not Known cohorts based on academic age 16 and 17 (Year 12/13). Latest comparison data available for February shows that in respect of Not Known figures Rotherham are stronger than both statistical neighbours and national, whilst being in line with the region.

**Exceptions:**

<b>Good/improved performance:</b>	<b>Areas of concern:</b>
<b>Ref No. 1.B1</b> - 83% of entitled 2 year olds accessed childcare in the spring term, compared to a target of 80%.	<b>Ref No. 1.B9 (a)</b> - % of LAC reaching expected standard in reading, writing and mathematics at Key Stage 2 is lower than national and regional comparators.
<b>Ref No.1.B3</b> - The current KS4 ‘Progress 8’ score for Rotherham is +0.04 compared to the national average of -0.03.	
<b>Ref No. 1.B4 (a&amp;b)</b> - Absence statistics have improved at both primary and secondary and are now closer to the national average.	

**Performance story/narrative:**

**1.B1** – The number of two-year-olds taking up an early education place in Rotherham continues to remain high, with 83% of Rotherham’s eligible two-year-olds taking up a place in spring 2017. Performance is currently above expectations. The take-up level for early education varies each term and is historically at its highest in the Autumn and reduces in the Spring and Summer terms due to availability of early education places and parental choice.

95.6% of all Rotherham's Ofsted-registered Early Years and Childcare providers are judged to be good or outstanding, which is above the national average.

**1.B2** – The proportion of children and young people attending a good or better school in Rotherham increased by 20% to 86.2% as at 31 August 2016. However, the Rotherham average has decreased. The latest comparison to the national average is 87% as at 31 December 2016. The proportion of LAC attending a Good or Outstanding school is 84%.

The Department for Education (DfE) academy conversion programme has affected the aggregated Ofsted profile for schools. The first inspection for all new schools, including academies, will usually take place within three years of opening.

A framework for supporting and challenging the leadership of schools of concern is in place to ensure that schools have the capacity to secure and sustain high standards in pupil outcomes. This allows the authority to undertake its statutory functions with regard to school improvement for authority maintained schools. The authority also meets with the DfE Regional School Commissioner on a termly basis to discuss the performance of Rotherham schools and raise any concerns it may have about the performance of academy schools. As a result the Council, having identified and challenged underperformance, then brokers support for the school.

**1.B3** – At KS4 'Progress 8' aims to capture the progress a pupil makes from the end of primary school to the end of secondary school. The progress 8 score for Rotherham in 2016 was +0.04, this is above the national average progress score of -0.03 and above the Yorkshire and Humber aggregated regional average of -0.03. Rotherham is one of only 3 local authorities in our statistical neighbour comparative group that has a score above 0.

The greater the Progress 8 score, the greater the progress made by the pupil compared to the average of pupils with similar prior attainment.

A school's Progress 8 score is also calculated as the average of its pupils' Progress 8 scores. It will give an indication of whether, as a group, pupils in the school made above or below average progress compared to similar pupils in other schools.

**1.B4** – Persistent Absence (PA) data for the current Academic Year 2016/17 (un-validated) shows an improvement since the previous period at both primary and secondary levels. PA rates in Rotherham primary schools reduced by 1.0% to 10.3% in autumn/spring (half-terms 1-3), although is still slightly below the national average of 8.4%. Secondary schools reduced by 1.3% to 14.8% over the same period, again slightly below the national average of 13.8%.

The final absence statistics for PA in academic year 2015/16 were published during March 2017 with pleasing results for Rotherham. Both primary and secondary schools made an improvement on 2014/15 with primary schools performing at 10.4% (national average 8.2%) compared to 11.2% in 2014/15 and secondary schools at 15.8% (national average 13.1%) compared with 16.4% the previous year.

**1.B5 (a&b)** – The Council set challenging but realistic targets to address the rising number of exclusions, both fixed-term and permanent. This last academic year (2015/16) had initially 53 permanent exclusions but 6 were overturned or rescinded, with the actual recorded number 47.

This is a slight fall overall but, more significantly; it shows a halt in the trajectory of previously rising exclusions. From September 2016 to April 2017 the current number of permanent exclusions in secondary schools is 24 which indicate a promising fall (with one term to go before final numbers). It is significant that one secondary school is responsible for over a third of this number and measures are being taken to work with this school to address their response prior to exclusion. They are now beginning to engage with the new partnership model advocated by the local authority.

**1.B6** – Quarter 4 is the second quarter of revised DfE performance requirements where performance is measured for the NEET and Not Known cohorts based on academic age 16 and 17 (Year 12/13). The position at the end of March shows a NEET figure of 3.5% (against a local target of 3.7%) and a Not Known figure of 2.8% (against a local target of 3.0%). Although both the NEET and Not Known cohorts have raised over the final 2 months of the quarter this does reflect seasonal trends experienced each year. The Council's annual measure (taken across Nov, Dec and Jan) achieved both NEET and Not Known targets of 3.1% and 2.8% retrospectively. Data sharing exercises and follow up will continue, as will work to re-engage the NEET cohort, both centrally and across all localities.

Latest comparison data available for February return show that in respect of Not Known figures Rotherham are stronger than both statistical neighbours and national, whilst being in line with region. With regard to NEET figures Rotherham are enjoying better results than both statistical neighbours and region, whilst being in line with the national return.

**1.B7 (a&b)** – All Education Health and Care Plan (EHCP) completions and conversions are measured nationally on an annual basis as a cumulative target for how many have been completed within timescale from the beginning of the SEND reform in September 2014.

The monitoring of these two targets has improved dramatically recently with the fortnightly involvement of the Performance and Quality team, which has both challenged and supported the development of greater accuracy and scrutiny of data.

The cumulative % for timeliness of completion for new EHCPs remains static overall at 52% but within the quarter performance has risen significantly since December 2016 where compliance and conversions of Learning Difficulty Assessments (LDAs) to EHCPs, completed by 31<sup>st</sup> December 2016, was the focus of the team.

The cumulative percentage of conversions from statements to EHCPs completed in a timely manner has risen from 52% to 58%. Within the quarter performance has been varied with a high of as much as 82% of conversions completed within 20 weeks during February 2017.

Rotherham continues to have the lowest level of SEND tribunals nationally, with one being taken beyond the mediation stage since the reforms began.

**1.B8** – The number of children registered with a Children Centre overall has fallen just short of the 95% target by 1% and currently stands at 94%. The 1% equating to 643 individual children. (NB: the target was raised this financial year from 94% to 95% to bring it in line with a 'national' Good OFSTED rating.)

However, the centres have been targeting those most vulnerable and in need of support and focussing on those residing in the 30% lower-level super output areas (LSOA). This has now surpassed the target of 95% and stands at 99%; this demonstrates that those families living in the areas with the highest needs are being targeted effectively, which is positive.

Children's Centre performance is now monitored weekly at the Early help Performance Meetings and it is hoped that this increased focus will raise awareness for the 0-5 agenda across the Early Help Teams.

**1.B9 (a&b)** – To support looked after children in meeting the national standards in reading, writing and mathematics at Key Stage 2, the Virtual School provide LAC Pupil Premium (PP) funding for additional 1-to-1 tuition for Y5/6 pupils not yet achieving the standards. At all Key Stages additional support and funding is offered to support in the core subjects.

Having identified that dealing with Social, Emotional & Mental Health (SEMH) and attachment issues is a major issue facing all schools with looked after children, the Virtual School has commissioned an attachment lead programme aimed at improving schools' abilities to meet SEMH needs and reducing barriers to learning. This is being expanded, and learning from it rolled out to all schools with the support of Educational Psychologists seconded into the team.

Additional LAC PP funding is offered to schools to support graduated response to SEMH needs, in order to reduce barriers to learning and support placement stability.

LAC PP is used to fund the Letterbox Club (books for Looked After Children) in Years 2,4,6,8 to support learning and reading.

A major achievement of the Virtual School has been an increase in both the quality and completion rate of Personal Education Plans (PEPs), with most recent quality assurance indicating that 81% of PEPs are Good or Outstanding. Virtual School advocates continue to attend every PEP meeting, and the completion rate continues to be above 97% (based on percentage of LAC having a PEP each term).

**Ongoing risks and challenges ahead:**

The impact of the DfE academy conversion programme has on the improvement of the aggregated Ofsted school profile for Rotherham. The timetable for inspecting convertor academy schools that have retained the RI inspection outcome means that profile for these schools will remain the same for up to three years after conversion.

To respond effectively to the increase in numbers of looked after children and maintain the stability of placements and offer suitable provisions (both care and education), in particular relating to SEMH.

Local target setting for 2017/18 is now underway and in order to ensure that the challenging results achieved in 2016/17 continue, we need to further embed NEET re-engagement work and tracking of the cohort within the Early Help offer.

There continues to be great pressures on this team to deliver to the national timetable for conversions to Education Health and Care Plans (EHCPs) at the same time as meeting timeliness targets. The number of conversions to Education Health and Care Plans that have been completed are now being monitored monthly by the Department for Education as it is an area of struggle for many authorities. Rotherham currently have 496 statements of Special Educational Need to be converted to Education Health and Care Plans by April 2018. It is suggested that the conversion figure is added to the Corporate Plan to monitor progress on meeting this target.

The Children's Centres are part of the wider Early Help Service which will commence a full review imminently. This could impact on registration rates overall as the service is currently holding some vacancies and there is potential during a review for further staff loss; the service will continue to target those most in need and current vacancies are being closely monitored with staff being asked to work more flexibly.

**Outcome: C. Children, young people and families are enabled to live healthier lives**
**Lead accountability:**

**Terri Roche**, Director – Public Health

**Ian Thomas**, Strategic Director – Children and Young People's Services (measure 1.C4)

**Overview of progress:**

Public Health commissioned services for smoking cessation, weight management and sexual health have successfully procured 0-19s children's health, sexual health, and drugs and alcohol recovery services. These are performance managed in the contracts with the providers.

All measures, except smoking status at time of delivery (SATOD), are annual. SATOD data for quarter 4 reduced from quarter 3 (lower is better) to result in the 2016/17 target being achieved.

Levels of childhood obesity have increased over the most recent 5 years but only slightly between 2014/15 and 2015/16. Sexual health as measured by chlamydia detection decreased again in 2015 (lower is worse) but improvement plans are in place; and the latest interim data for quarter three 2016 shows an improvement from red to amber for year-to-date.

The target for urgent referrals to be triaged for urgency within 24 hours is now consistently being met however the Rotherham Clinical Commissioning Group stretch target for assessing CAMHS (Child and Adolescent Mental Health Services) referrals within three weeks is not being met.

In relation to waiting times for assessment there has been a steady improvement in performance since the previous quarter. The CAMHS service, with its full staffing complement, is continuing to focus its resources on reducing the waiting time target for assessing CAMHS referrals within three weeks and with the backlog of children and young people waiting for assessment now almost cleared, it is anticipated that there will be further improved performance against the assessment target within quarter one of 2017/18.

The CAMHS locality workers are continuing to establish links with schools, Early Help teams, social care teams and GPs within their respective localities.

In addition, work is progressing on the CAMHS single point of access team working alongside the Early Help triage team and the CAMHS single point of access team will re-locate to Riverside House in July 2017. Both of these developments will reduce inappropriate referrals into CAMHS and ensure that children and young people's needs are met promptly.

**Exceptions:**

<b>Good/improved performance:</b>	<b>Areas of concern:</b>
<p><b>Ref No. 1.C1</b> – Smoking status at time of delivery 2016/17 outturn was 17.0% compared to the local target of 18.4%. See 'Performance story/narrative'.</p> <p><b>Ref No. 1.C4 a)</b> – 100% of Child and Adolescent Mental Health Service (CAMHS) referrals triaged for urgency within 24 hours of receipt against a target of 100%.</p>	<p><b>Ref No. 1.C4 b)</b> – 27.5% of triaged CAMHS referrals that were assessed within 3 weeks against a target of 95% - waiting list initiative in place to improve performance.</p>

**Performance story/narrative:****Action - Deliver services for the 0-19 year olds – to support children and families to achieve and maintain healthier lifestyles**

**Ref No. 1.C1-1.C3** – The action for this priority area is to deliver services for the 0-19 year olds which will support children and families to achieve and maintain healthier lifestyles. This is being fulfilled by the commissioning of services as above.

**Ref No. 1.C1 Smoking status at time of delivery (women smoking during pregnancy) (priority measure)** – Public Health are continuing to commission specialist stop smoking in pregnancy services. Rotherham's recent decrease is due to the intervention work by the Stop Smoking in Pregnancy Service. They refer all mothers-to-be who smoke to a Stop Smoking midwifery team for one to one specialist support. This includes measurement of all pregnant women's carbon monoxide levels (to detect smoking). They also work with partners and close family members to use this key stage of life to make positive life changes including stopping smoking.

**Ref No. 1.C2 Reduction year-on-year levels of childhood obesity (priority measure)** – The National Child Measurement Programme (NCMP) weighs and measures children in Reception and Year 6 on an annual basis to monitor childhood obesity.

The new Rotherham 0-19 Integrated Public Health Nursing Service has started work to deliver the NCMP for the academic year 2017/18. Head Teachers will receive a letter asking for their support for the delivery of this year's programme, alongside a data pack showing the last three years results of the NCMP for their school. Parents will also receive a letter outlining the programme and asking for consent for their child to participate.

Work continues with the Healthy Weight Framework programmes for both children and adults focussing on weight loss, increased physical activity and lifestyle/behaviour change. The Children's Weight Management Pathway is being reviewed and the Rotherham summer camp for obese children has been decommissioned. These children will be referred by their GP to Paediatrics in the future. There will be a more focussed approach on preventing obesity via schools and through the new 0-19 service which commenced on 1<sup>st</sup> April 2017.

**Ref No. 1.C3 Chlamydia detection rate (15-24 year olds)** – Public Health commission sexual health services which include chlamydia detection. Chlamydia detection is an indication of the number of sexually transmitted infections (STI) circulating within the community. If chlamydia is detected then there is evidence of unprotected sexual activity and a high probability that other STIs could be passed on. Low detection could mean low prevalence within the community (which is good news) or lack of targeting high risk groups therefore increasing spread of STI thus high risk of infections within the community.

The recent decrease in the chlamydia detection rate was picked up via performance management of the Provider Trust. To remedy this, an Improvement Plan is now in place. The actions resulting from this were: the appointment of a dedicated health promotion co-ordinator to promote the screening service; working with the Public Health England Sexual Health Co-ordinator to look at best practice; and identifying target populations to improve detection rates.

The latest returns from the service have shown Rotherham's position moving from red to amber (based on interim data to February 2017).

**Ref No. 1.C4 a)** – The percentage of referrals triaged for urgency within 24 hours of receipt was 100% at the end of quarter three and was consistently at 100% throughout quarter four. The new RDaSH CAMHS (Rotherham Doncaster and South Humber Child and Adolescent Mental Health Services) structure and the additional capacity to manage the number of referrals being received, coupled with clear processes to undertake urgent referrals within 24 hours of receipt, has resulted in performance of 100% in each of the months within quarter four.



**Ref No. 1.C4 b)** – The percentage of triaged referrals that were assessed within the target of 3 weeks (Rotherham Clinical Commissioning Group (CCG) stretch target) has remained significantly below the target of 95%. There was an improvement in performance in the first month of quarter four (31%), but this slipped in the second month, before improving to 27.5% in the final month of the quarter. However performance against the national 6 weeks target stands at 40%. There had been a continuing high number of priority referrals, which has been the key factor in the decrease in performance.

The backlog of initial assessments continues to reduce due to a waiting list initiative and with the backlog now almost eliminated there should be a corresponding increase in performance against target in early quarter one 2017/18.

Referrals are now allocated to the relevant team at the point of assessment, so as to help with the allocation of appointments and with patient experience.

There are also further remedial actions being undertaken, that include:

- Specific Individual cases are being reviewed and actions/discharge agreed.
- Admin Support agreed and currently being sourced for ADHD Pathway.
- RDASH Performance Team continues to produce a monthly paper highlighting all clocks running over 16 weeks in the organisation to target long waits.
- Weekly performance monitoring continues with one streamlined report now developed to include assessment and treatment waits.
- Meeting held re: data quality and "how to" issues with use of clinical system which has highlighted a number of actions including training and the entry of types of contact which are not being recorded appropriately, and would stop the waiting time clock; Service manager implementing actions.
- The establishment of workshops to look at targeted areas and help staff enter data correctly.

The Young Inspectors have recently undertaken an Inspection of CAMHS, the findings were fed back and RDASH have produced a robust action plan as a result.

CAMHS continues to be a high priority at the CYPS Improvement Board where performance is also monitored robustly.

#### **Ongoing risks and challenges ahead:**

The reduction of the Public Health Grant combined with competing priorities has potential impacts on the ability to achieve this outcome. This has been out to public consultation for feedback on how to best prioritise services. Results have been analysed and used to help inform the budget review and financial savings to be met. They have also helped shape the proposed Integrated Wellness Service.

The proposed Integrated Wellness Service is an innovative way of bringing smoking, alcohol, healthy eating, and NHS Health Checks into one seamless service. As it is a new way of delivery there is always a risk no provider will apply. Public Health has held a number of soft marketing events to test the market. The providers who attended seemed to think this service could potentially work in the way described.

Three major services: 0-19 Integrated Public Health Nursing Service, Sexual Health, and Drugs and Alcohol Recovery commenced on 1<sup>st</sup> April 2017 following a successful procurement process The Stop Smoking in Pregnancy Service is currently commissioned until March 2018. The service went live on 1<sup>st</sup> April 2017.

There remains a high volume of referrals into CAMHS, with a number of these referrals being inappropriate. This scenario has a negative impact on reducing waiting times.

In addition, there continues to be a higher number of young people requiring an urgent assessment within 24 hours, which has had a knock on effect in scheduling initial assessment appointments for children and young people within the three week stretch target.

**PRIORITY 2:**

**EVERY ADULT SECURE, RESPONSIBLE AND  
EMPOWERED**

**PRIORITY 2: EVERY ADULT SECURE, RESPONSIBLE AND EMPOWERED****Outcome: A. Adults are enabled to live healthier lives****Lead accountability:**

**Terri Roche**, Director – Public Health  
**Shokat Lal**, Assistant Chief Executive (measure 2.A6)

**Overview of progress:**

Public Health continues to deliver services to tackle the prevalence of smoking, substance misuse, childhood and adult obesity and encouraging everyone to do more physical activity and adopt a healthier lifestyle.

No performance data is available for 2016/17 as all measures are annual. The most recent data shows the prevalence of smoking and physical inactivity have both decreased since 2012 (lower is better). The percentage successfully completing drug treatment increased (improved) between 2012 and 2014 but decreased again in 2015 to result in a slight net increase over this period. However, there has been a change in the categorisation of data between opiates, non-opiates and alcohol which may have affected this. An area of concern has been the recent increase in suicide rates becoming significantly worse than England for the period 2013-2015.

**Exceptions:**

Measures 2.A1-2.A5: no exceptions - currently no data for 2016/17 due to annual measures.

**Performance story/narrative:*****Corporate Plan action – Implement Health and Wellbeing Strategy to improve the health of people in the borough***

Enabling adults to live healthier lives is to be achieved by implementing the Health and Wellbeing Strategy. In relation to this Rotherham Public Health commission health services (as noted in section above). These are performance managed in the contracts with providers.

**Ref No. 2.A1 Smoking prevalence (18+) (Priority measure)** – To reduce the level of smoking prevalence, Public Health commission services for smoking cessation with Yorkshire Smokefree. This includes targeted work with routine and manual workers who have a higher prevalence of smokers compared to the general population. Their activity for 2015/16 delivered on target for smoking quitters (face-to-face and non-face-to-face)

**Ref No. 2.A2 % of physically inactive adults (aged 16+)** – The local target regarding physical inactivity is to increase physical activity in those with long-term conditions. This is supported by the Active for Health project, a 3 year scheme focussing on long-term conditions and based on providing safe and robust multi-condition sport and physical activity. Over 750 patients have completed the programme to date.

A video has been created for the Active for Health programme. This provides further information on how the project is using physical activity to help people with their rehabilitation and recovery from 7 different long term conditions. This was published in November 2016 and shown at the 1 year celebration event. It can be viewed at: [www.rotherhamgetactive.co.uk/activeforhealth](http://www.rotherhamgetactive.co.uk/activeforhealth)

Further funding has been sourced from the Multiple Sclerosis (MS) Society to explore the role that physical activity can play in supporting people with MS. This will be piloted in 2017. This is being completed in partnership with Sheffield Hallam University.

Updated data in the Public Health Outcomes Framework as at November 2016 shows a decrease in the level of physical inactivity for Rotherham from 31.5% in 2014 to 30.6% in 2015, which is positive.

**Ref No. 2.A3 Excess weight in adults (aged 16+) –** Public Health commission services to reduce excess weight in adults. Work continues with the Healthy Weight Framework programmes for both children and adults focussing on weight loss, increased physical activity and lifestyle/behaviour change. The adult weight management pathway is being reviewed and the Tier 3 service delivered by Rotherham Institute of Obesity has been decommissioned. This service will cease on 12<sup>th</sup> July 2017. The CCG will be commissioning a Tier 3 service which will cater for this client group.

Rotherham has successfully applied (December 2016) for funding to deliver wave 2 of the National Diabetes Prevention Programme (NDPP) as part of the Doncaster, Barnsley and Bassetlaw STP partnership. This will ensure that an intensive 9 month programme of education, support and activity will be available for adults who are at high risk of developing type 2 diabetes. A likely benefit of the programme is the reduction of excess weight in adults. Delivery began in April 2017.

**Ref No. 2.A4 Suicide rate (all ages) (Persons) –** The updated mortality data for suicide and injury of undetermined intent has been published in the Public Health Outcomes and Suicide Prevention Profiles. It now includes 2013-15, (3 years combined). The figures presented are for deaths registered each year, rather than deaths occurring in each year.

Rotherham's rates for both Persons and Males for 2013-15 are now significantly worse than England. Rates for Persons are the highest in the Yorkshire & the Humber Region and 2<sup>nd</sup> highest among similar local authorities

There continues to be much activity to prevent deaths from suicide in the borough. The Rotherham Suicide Prevention and Self Harm Group meets quarterly and at each meeting progress on the action plan is monitored.

The men's suicide prevention campaign, 'Breaking the Silence on Suicide' continues to be promoted across the borough.

Following consultation with young people in the borough the young people's mental health campaign will be launched in May 2017. This campaign is about encouraging young people to spot the signs that a friend may need help and direct them appropriately.

All schools in the borough have been sent a Critical Incident Response Sheet. This document provides a checklist for schools/settings to work through following notification of a critical or any serious incident such as serious self-harm, suicide or death by other causes. The suggestions act as prompts in order that a swift and effective response can be put into place within the shortest possible timescale.

A pilot project between Rotherham Samaritans and South Yorkshire Police started in December 2016 which will offer support to adults bereaved as a result of suicide.

Families have been offered this support and a review meeting held in May 2017.

Wentworth Valley Area Assembly allocated £8000 from their devolved budget for suicide prevention work in their area. This has included campaign materials; coasters/beermats which have been distributed round the area. In addition they bought in several mental health and suicide prevention training courses which were held in the area between December 2016 and March 2017.

**Ref No. 2.A5 a) and b) Successful completion of drug treatment (opiate users (aged 18-75) and non-opiate users (aged 18-75))**

Although the annual data for 2015 shows Rotherham as similar to England and in the second quartile compared to comparator local authorities for both opiates and non-opiates, the most recent local data for 2016 shows opiates as red i.e. significantly lower than England (higher is better).

Rotherham continues to be challenged by having new presentations to opiate treatment. The early gains achieved by changing the GP contract which increased the number of service users recovering and leaving treatment have now slowed down, leaving service users who are increasingly long term and complex. Public Health continue to work with providers to improve services.

Rotherham's performance on non-opiate recovery has recently declined which is a changed trend as performance in this area has previously been good. Service providers are reporting changes in patterns of drug use which is reflected in the national picture and Public Health are in dialogue about this, and the decline in performance.

**Ongoing risks and challenges ahead:**

The reduction of the Public Health Grant combined with competing priorities has potential impacts on the ability to achieve this outcome. This has been out to public consultation for feedback on how to best prioritise services. Results have been analysed and used to help inform the budget review and financial savings to be met. They have also helped shape the proposed Integrated Wellness Service.

The proposed Integrated Wellness service is an innovative way of bringing smoking, alcohol, healthy eating, and NHS Health Checks into one seamless service. As it is a new way of delivery there is always a risk no provider will apply. Public Health has held a number of soft marketing events to test the market. The providers who attended seemed to think this service could potentially work in the way described.

Three major services: 0-19 Integrated Public Health Nursing Service, Sexual Health, and Drugs and Alcohol Recovery have commenced on 1<sup>st</sup> April 2017 following a successful procurement process. The Stop Smoking in Pregnancy Service is currently commissioned until March 2018. The service went live on 1 April.

**Outcome: B. Adults and carers are supported to be safe, independent and resilient within a personalised model of care and support**

**Lead accountability:**

Anne Marie Lubanski, Strategic Director Adult Social Care and Housing

**Overview of progress:**

The data informing the performance measures, in the main reflects either the latest known position on either a 4th quarter only or (as in most cases) the 2016/17 full year performance. Where applicable this data is derived from submitted statutory annual returns. Figures have primarily been calculated using data recorded for consistency in the new Liquid Logic (LAS care management system) if confidence has sufficiently mirrored previous SWIFT/AIS reporting. In some cases data has had to be drawn from either LAS standard 'out of the box' performance reporting tables or a combination of merged data from SWIFT/AIS and LAS systems, in lieu of any further bespoke reporting requirements, needing to be developed in 2017/18 .

Where any identified significant variances have been reported, additional commentary explains the data status.

Overall, the performance is mixed. Nearly one third of measures are up, though approximately two thirds of measures showing a downward Direction of Travel (DoT). However, the service broadly anticipated this to be the case due to likely first year impacts of data migration issues and staff familiarisation with new recording practices and processes. The most significant improvements and areas of concern across the indicators have been highlighted in the summary table below.

Adult care has experienced increased in-year budget pressures on full year spend on residential and community placements. Management actions to reduce this pressure were implemented in year and these, reduced the scale of increase or contained at similar levels by year end.

Learning from 2016/17 is being used to inform target setting for 2017/18, but also influence changes to better reflect Care Act requirements and development suites of indicators in the 2017/18 Council Plan.

**Exceptions:**

Good/improved performance:	Areas of concern:
<p><b>Ref No. 2.B7 – Number of admissions to residential rehabilitation beds (Intermediate Care).</b> Increased numbers receiving service and performed close to 10% above target.</p>	<p><b>Ref No. 2.B2 – Average delayed transfers of care from hospital attributable to adult social care or both health and adult social care per 100,000 population</b> has declined and missed stretch target. <b>(Priority measure)</b> note that this is a national trend and on the whole performance in Rotherham or DTOC remains reasonably good. Published data from LG Inform shows Rotherham ranked 4<sup>th</sup> best in the Y&amp;H region April 2016-17.</p>
<p><b>Ref No. 2.B3 – Number of people provided with information and advice at first point of contact (to prevent service need).</b> Increased throughout quarters to a high of 2780 by year end.</p>	<p><b>Ref No. 2.B4 and 2.B5 – Number of carers with a specific carer's service and total number of carer assessments,</b> both recorded much reduced levels. This is under review as 'out of box' reporting from LAS was significantly lower than Swift/AIS recording levels.</p>
<p><b>Ref No. 2.B9 a), b) and c) – Permanent admissions to residential care for all 18+ adults</b> (but notably over 65's) performed better than target profile, but total % spend pressures on all supported care packages was a pressure and ended above budget, despite lower new admissions rates. <b>(Priority measures)</b></p>	<p><b>Ref No. 2.B10 – Supporting people with a Learning Disability into employment</b> saw a fall to 4.39%, as some previously supported people were no longer eligible to be included, due to either now being categorised as not in receipt of a long term service or had lost their jobs by year end.</p>

**Performance story/narrative:**

***Corporate Plan action - Implement the new Adult Safeguarding Strategy to prevent neglect and abuse, embed making safeguarding personal and provide support to victims, linked to the corporate Safeguarding Strategy***

**Ref No. 2.B1 No. of Safeguarding investigations (Section 42 enquiries) completed (Priority measure)**

The numbers of completed investigations showed a significant fall from the previous year, but the data has had to be merged from two sources (SWIFT/AIS and LAS) and the new recording processes and migration of data issues, have been identified as areas requiring further investigation to resolve. This is in-progress to improve 2017/18 reporting.

The Safeguarding Adults Board has met twice during quarter 4 and continues to meet every two months.

A presentation on MAZARS, a report into premature deaths of young people with learning difficulties was given to the January board and an update on the Prevent Agenda which looks at reports of radicalisation or suspected terrorism within the borough was provided to the March board.

All statutory partners took part in a self-assessment and challenge meeting process during February and an action plan will be produced and used to update the strategic plan for the board. A Safeguarding Adults Review was commissioned in January and the final report is due at board in May 2017.

During January the safeguarding adults team have brought all safeguarding concerns and investigations back into the control of the safeguarding team. This was to ease the pressure on the locality social work teams and to ensure that safeguarding was prioritised and people remained safe. The team are continuing to work closely with the Rotherham, Doncaster and South Humber (RDaSH) Mental Health teams to ensure that customers open to RDaSH are being safeguarded. They also continue to work closely with the Rotherham Foundation Trust to support our partners with the implementation of Making Safeguarding Personal, ensuring customers outcomes/wishes are recorded. During quarter 4 the safeguarding team have released the services of an agency worker and agreement has been given to recruit to a permanent post.

***Corporate Plan action - Integrate health and care services to consolidate and share resources to reduce duplication and provide excellent services***

**Ref No. 2.B2 Average delayed transfers of care from hospital attributable to adult social care or both health and adult social care per 100,000 population (priority measure)**

Partnership working at the hospital continues to remain strong despite challenges within the wider health and social care system. Whilst performance has declined, this is in line with national trends and Rotherham still performing well regionally. Performance in this quarter 4 period is impacted by significant pressures on the hospital through the winter in particular in January 2017. The issue was exacerbated due to the acuity and complexity the discharge pathways (e.g. intermediate care) became blocked. Enabling capacity remains challenged and there are significant issues with capacity in the home care market which are being addressed through targeted work.

***Corporate Plan action - People get the information and advice early and help to make informed choices about care and support***

**Ref No. 2.B3 Number of people provided with information and advice at first point of contact (to prevent service need)**

People are continuing to get information and advice early, as in place initiatives to respond to requests are still impacting positively.

***Corporate Plan action - Improved approach to personalised services – always putting users and carers at the centre of everything we do***

**Ref No. 2.B4 a) & b) - 2.B5 Proportion of Adults receiving long term community support who receive services via self-directed support (Priority measure); Proportion of Carer's in receipt of carer specific services who receive services via self-directed support (Priority measure); Number of Carer's Assessments completed**

The introduction of the Practice Challenge Group to improve Social Work practice and a targeted training programme has led to an increase in a strength based approach to assessment. However, the associated support planning needs further work to enable a full range of personalised options.

Carers assessments continue to be an area of concern as reported feedback is indicating some carers are refusing separate carer's assessments offers made as per Care Act requirements, compared to previous high take up of joint assessments. Work is taking place as part of the delivery group for "caring together" to explore with Carers why this appears to be the case.

The required development of bespoke recording of carers activity to more accurately reflect activity is scheduled for reporting in the new 2017/18 year.

***Corporate Plan action - Modernise Enablement Services to maximise independence***

**Ref No. 2.B6-2.B8 - The proportion of people (65+) still at home 91 days after discharge into rehabilitation (Priority measure); No of admissions to residential rehabilitation beds (Intermediate Care); Proportion of new clients who receive short term (enablement) service in year with an outcome of no further requests made for support**

The enabling service offers tailored support to individuals in their own homes for a maximum of 6 weeks working with them to maximise their potential and to achieve agreed outcomes. The enabling service has helped individuals to regain skills and to rebuild confidence in order to help them live independently within the community.

Through regular monitoring, appropriate equipment may be identified, such as Assistive Technology as an alternative solution to support individuals; or referrals may be made to other appropriate agencies. When appropriate an assessment may be undertaken as to what ongoing support may be required based on what individuals can do for themselves and what areas require continued assistance. Referrals are taken from the hospital, intermediate care or the community.

The enabling service also includes the short-stay pilot project. This offers temporary accommodation in one of four specially adapted apartments for customers with a health, housing or social care need for up to six weeks in order to facilitate timely discharge from services and/or preventing admission to health or care services.

Further work will be undertaken to review the wider enablement offer and the pathway which will also incorporate intermediate care during 2017/18.

In respect to developing community assets, this continues to be a piece of work that links to wider initiatives i.e.: place based plans and the work undertaken as part of the development programme to support the prevention agenda.

There is a dedicated change leader assigned to prevention and assistive technology work stream. This is a priority piece of work that will support the Adult Care development programme with positive initiatives such as I Age Well emerging for mainstream release.



***Corporate Plan action - Development of Adult Care Market Position Statements to provide alternatives to traditional care, maximise independence and stimulate the market***

**Ref No. 2.B9 a), b) & c) - Permanent admissions to residential care for adults and older people (Priority measure); % spend on residential and community placements (Priority measure)**

Good progress has been made over the last year in reducing the number of new admissions to permanent residential care. There were a number of customers who have been in temporary short stay placements who became permanent. Improvement actions to maximise independence by reviewing short stays more timely are expected to support further reductions in numbers of admissions. Overall expenditure in this area is expected to continue to decline as support at home and better information and advice for self-funders increases. The Adult Care Market Position Statement for 2017/18 is due to be published in July.

***Corporate Plan action - Adults with learning disabilities are supported into employment enabling them to lead successful lives***

**Ref No. 2.B10 - Supporting people with a learning disability into employment**

The Council's AD-PRO Supported Employment provides support and guidance to people with a Learning Disability who need extra support to move towards work/independent living.

Schools and colleges use AD-PRO/Addison as a transition route into adulthood and become work ready. This is the starting point for many young people to gain their first supported work experience at a level and pace they can cope with.

The person centred employment training package also covers:

- Employer engagement
- Health and Safety at work
- Personal profiling
- On the job training
- CV writing
- Searching and applying for jobs
- Interview techniques and support
- In work support which covers work placements and paid work throughout the borough.

Encouraging people with a Learning Disability to engage with the local community, develops people's confidence, self-esteem and improves health and well-being. Individual's also encounter a positive experience on their journey to adulthood with more life skills and receptiveness to explore employment opportunities. This will be a key piece of work for frontline staff during 2017/18.

There is a wider piece of work required around supported employment. This will be a key work stream that forms part of the Adult Care Development Programme and specifically work regarding modernisation of the Learning Disability offer.

***Corporate Plan action - Improve satisfaction levels of those in receipt of care and support services***

**Ref No. 2.B11 a) and b) - Overall satisfaction of people who use care and support services**

Adult social care continue to seek to improve satisfaction levels of service users and carers through the revised models or working that are being phased in as part of the Adult Social Care Development Programme.

The quarter 3 and quarter 4 scheduled carer and service user national surveys, were completed as planned. Rotherham's Initial satisfaction findings show satisfaction levels have declined since last survey and are reflecting people's concerns, which further consultation is planned to address. The full official national comparisons and findings are due to be published in October 2017.

**Ongoing risks and challenges ahead:**

The implementation of Liquid Logic (LAS) has caused some operational challenges in relation to pathways. A review of the pathways took place in April 2017 and a work programme for the next twelve months has been developed to track social work performance and align this to an enhanced understanding of the customer cohort and spend data through the ContrOCC finance system.

The implementation of Liquid Logic (LAS) has created some operational challenges in relation to pathways and these will be reviewed alongside the practice changes which are required. A review of the pathways took place in April 2017 and a recovery work programme has been developed to track social work performance and align this to an enhanced understanding of the customer cohort and spend data through the ContrOCC finance system. The OD plan will also complement this in order to ensure safe and robust practice.

**PRIORITY 3:**

**A STRONG COMMUNITY IN A CLEAN, SAFE ENVIRONMENT**

**PRIORITY 3: A STRONG COMMUNITY IN A CLEAN SAFE ENVIRONMENT**

**Outcome: A. Communities are strong and people feel safe** (also contributes to priority 2 – Every adult secure, responsible and empowered)

**Lead accountability:**

**Damien Wilson**, Strategic Director – Regeneration and Environment

**Shokat Lal**, Assistant Chief Executive (measure 3.A5)

**Overview of progress:**

Good progress has been made to deliver this outcome during 2016/17, although national factors continue to make it difficult to achieve all measures. Some of the key milestones contributing to this action include the approval of the Safer Rotherham Partnership Plan, installation of cameras as part of the Council's Taxi Licensing Policy and the commissioning of the Town Centre Masterplan.

The number of people borrowing books and other materials has increased from quarter three to four, the year-end target has not been achieved. This is in line with regional and national trends across the library sector.

Tackling anti-social behaviour, hate crime and domestic abuse remain a top priority for the Safer Rotherham Partnership.

Reports of Anti-Social Behaviour (ASB) have reduced during quarter four by more than the decrease in quarter 3, and the same quarter in 2015/16. However, the full year to date has resulted in a reduction of only 1.5% against a 5% reduction target. A range of multi-agency interventions in hotspot areas have been successful.

The number of Domestic Abuse cases reported in the quarter has increased and is 50% more than for the same period last year.

**Exceptions:**

<b>Good/improved performance:</b>	<b>Areas of concern:</b>
<p><b>Ref No 3.A4</b> - 100% of eligible Taxi licence holders that have subscribed to the DBS online update service.</p> <p>99% of drivers that have completed the Council's safeguarding awareness course.</p>	<p><b>Ref No. 3.A1</b> – ASB cases. 2,700, (23 cases, a 23% decrease on quarter 4 of 2015/16) – however for full year to date a decrease of only 1.5% against a target of 5% <i>Reduction in ASB is a key priority of the Safer Rotherham Partnership</i></p>
	<p><b>Red No. 3.A3</b> – Domestic Abuse cases 689 a 50% increase on Q4 15/16</p>
<p>99.5 % of vehicles that, where required to do so, have had a taxi camera installed (or are committed to having one installed).</p>	<p><b>Ref No 3.A4</b> – 75 % of Taxi drivers that have obtained the BTEC / NVQ qualification.</p>
	<p><b>Ref No. 3.A6</b> – this year's performance on new borrowers in the borough's libraries shows a 5.8% reduction on 2015/16 performance.</p>

**Performance story/narrative:**

**Corporate Plan Action - Ensure that the Safer Rotherham Partnership is robust and fit for purpose. Develop an effective Community Safety Strategy and Performance Management Framework**

**Ref No. 3.A1 Reported instances of anti-social behaviour in Rotherham**

January to March 2017 has seen a 23% (816 incident) reduction in reported ASB compared to the same period in 2015/16. At the end of 2016/17 there had been 14,128 recorded incidents of ASB, a 1.5% reduction (227 incidents) compared to 2015/16.

The range of targeted multi-agency interventions in hotspot areas has been successful and the improved identification and targeting assisted through the joint Police and Council Threat, Harm, Risk, Intelligence, Vulnerability and Environment, (THRIVE) weekly meetings have been instrumental in this, as has the performance management framework overseen by the Performance and Delivery Group of the Safer Rotherham Partnership. Flexible deployment of our increased stock of re-deployable CCTV cameras has had a positive effect on hot spot locations whilst improved targeting of the most persistent offenders has also proved successful with 5 Criminal Behaviour Orders in place and a further 10 going through the legal system.

### **Ref No. 3.A2 Reported instances of hate incidents in Rotherham**

Incidents of hate crime recorded by the Police have increased by 43% from 178 to 254 (76 crimes). Although mindful of this increase, the partnership acknowledges the positive aspect of improved confidence in reporting to the Police and other agencies. To facilitate this a number of initiatives were put in place through the year to improve trust and confidence in our communities.

Actions across the Safer Rotherham Partnership to build public awareness and confidence to report hate are continuing. For this reason, it is not considered appropriate to have a target to reduce reported incidents and increases are seen as a positive response. 40 awareness raising meetings, training or public events were delivered in January to March 2017; - this makes a total of 138 meetings and events delivered by partners since 1<sup>st</sup> April 2016. The Safer Rotherham Partnership has supported four community-based projects aimed at tackling hate crime resulting in 80 women being recruited and trained as hate crime advocates; 71 young people have been trained as ambassadors to explain what hate crime is and how to report it to their peers.

Social media content has been designed by young people for young people and adapted for LGBT and anti-hate crime campaigns.

Work is ongoing with the Police to get a better understanding in respect of the positive outcomes for the results of investigations into hate crime.

### **Ref No. 3.A3 Reported instances of domestic abuse in Rotherham**

Between 1<sup>st</sup> April 2016 and 31<sup>st</sup> March 2017 domestic abuse crimes increased by 30% from 1,769 to 2,304 (535 crimes) compared to the previous year. Domestic Abuse incidents reported to the Police that were not recorded as a crime reduced by 4% from 4,520 to 4,321 (-199 incidents). Although mindful of the increase in recorded crimes, the partnership acknowledges the positive aspect of improved confidence in reporting.

The Domestic Abuse Priority Group meets regularly, chaired by the Assistant Director, Community Safety and Street Scene. The group is driving forward a comprehensive action plan. A new draft Domestic Abuse Strategy is to be presented to the Safer Rotherham Partnership Board in August 2017.

The progress on domestic abuse is being presented to the Improving Lives Select Commission on 19<sup>th</sup> July 2017.

### ***Corporate Plan Action - Ensure an robust, effective and efficient licensing service***

### **Ref No. 3.A4 % of licence holders that demonstrate adherence to the requirements of the Council's Hackney Carriage and Private Hire Policy (Priority measure)**

The 2016/17 financial year has seen the successful implementation of the Council's Hackney Carriage and Private Hire Policy with all requirements now being in effect and applied to all existing licence holders and applicants.

Three out of the four requirements have compliance rates of 99% or above:

- 99% of drivers have completed the Council's safeguarding training – this is an increase of 1% on the previous quarter. 1% of licensed drivers have not undertaken the safeguarding training; these drivers are currently suspended and therefore are not able to drive a licensed vehicle. The drivers will remain suspended until they either complete the training or their licence expires.
- 99.5% of licensed vehicles now have a taxi camera system fitted in accordance with Council requirements. Licences are not being renewed for vehicles that do not have cameras fitted, and any that are found to have missed installation appointments have their licences suspended until the installation has taken place. The suspension will only be lifted once enforcement officers have confirmed that the installation has taken place.
- There has been an increase in the number of drivers that hold the BTEC (or equivalent) qualification to 75%. This increase has been achieved by licences being granted to new applicants (who are required to provide evidence of their qualification before the licence is issued) and renewal applicants not being actioned unless they can meet the qualification requirement. As with the previous quarter, compliance with the qualification requirement is only confirmed at the time that a licence either falls due for renewal or a new application is received.
- Officers within the Licensing team are aware of drivers that have yet to provide evidence that they meet the qualification requirement. These drivers will be contacted by letter in July 2017 and asked to provide evidence of their qualification. Drivers should already have obtained the qualification (the deadline was July last year) – and they will be asked to provide evidence that they have done this within four weeks of receiving the letter. Any drivers that have not provided evidence that they have obtained the qualification will have their licence suspended until such time as they obtain the qualification (subject to Legal Services confirmation). We do not renew any licences unless the driver has provided proof that they have obtained the required qualification – this will pick up issues with those drivers that have not yet renewed their licences since the introduction of the requirement for a qualification.
- Three new Licensing Enforcement Officers were recruited into the team towards the end of March 2017. These officers are currently engaged in dealing with high risk complaints and safeguarding issues.

Other significant developments of note in the final quarter of the year included:

- The Council continued to receive National recognition for the work that has been undertaken in relation to licensing and has been involved in the development of National guidance in relation to the use of taxi cameras in licensed vehicles.
- Officers have attended a further Local Government Association Seminar to share the lessons learnt from experiences in Rotherham.
- Work is continuing on the introduction of online applications for the majority of licences and online booking of vehicle compliance tests. We are also reviewing our approach to Disclosure and Barring Service applications and knowledge testing as part of the application process. These actions will ensure that the service contributes to the Council's budget savings and the objectives of being a modern, efficient Council.

***Corporate Plan Action - Rotherham residents are satisfied with their local area and borough as a place to live***

**Ref No. 3.A5 a) and b) How satisfied or dissatisfied are you with your local area as a place to live; Overall, all things considered, how satisfied or dissatisfied are you with Rotherham Borough as a place to live** – based on the latest LGA Satisfaction survey (held in December 2016), the question around satisfaction with residents' local areas showed little difference between Rotherham residents (81% who were satisfied with their local area as a place to live, up from 80% in the June 2016 survey) and the national average (83%). Since June 2015, when the poll was first undertaken, this is a slight improvement, but it has not changed markedly over the course of the last four surveys.

When respondents were asked, all things considered, how dissatisfied or satisfied they were with Rotherham as a whole as a place to live, 66% said overall they were satisfied. This is an increase of four percentage points (from 62%) since the last poll (June 2016), which is closer to the 69% recorded in the first LGA poll when it was held in June 2015 (and had been decreasing slightly over the course of the previous two polls).

These are based on 6 monthly data. The next LGA survey is scheduled for end June 2017 and results will be fed in via the next quarter performance report.

***Corporate Plan Action - Create a rich and diverse cultural offer and thriving Town Centre***

**Ref No. 3.A6–3.A7 Number of people borrowing books and other materials (Cumulative) (Priority measure); Aggregate pedestrian footfall in the Town Centre -**

Performance within the year continued to improve, however, by the end of the March 2017, performance was down by 6%. Recent reductions in expenditure on books and other materials for loan may have contributed to this decline; though benchmarking confirms reductions in the number of people borrowing books from libraries is both a regional and national trend. Whilst the numbers of people borrowing books is showing a slight decrease, there is a substantial increase in the number of people participating in active learning within libraries – including activities related to employment, health and wellbeing and developing IT skills. Performance against this service indicator improved from 41,995 in 2016-17 to 47,269 in 2016-17.

The service has continued to introduce initiatives intended to improve performance, including:

- Ongoing discussions regarding improvements to town centre library provision
- Successfully increasing usage of on-line resources
- Lunchtime recitals in Riverside House
- The redesign of Rawmarsh library/customer service space
- Working with Radio Sheffield to encourage active reading
- Introduction of “Shelf help” (Reading well for young people) collections
- “Harry Potter” book night involving 379 children

Pedestrian Footfall - Footfall has continued to decline in the last quarter compared to the previous year and there have been noticeable shifts in consumer behaviour that have inevitably impacted negatively on retail activity in town and city centres. March 2017 has shown some sign of improvement which is a reflection of the national picture.

Major developments are in the pipeline through the Town Centre Masterplan, but in the interim other activities to develop and promote the town centre offer, especially retail, will need to be brought forward, with the Town Centre Sub-Group of the Business Growth Board taking the lead on much of this.

The recently announced move of Primark to Parkgate will have an impact on footfall on High Street and the wider town centre. The closure is scheduled for the last quarter of 2017 and Council officers are seeking a meeting with Primark to discuss plans for the store, which is owned by Primark.

**Ongoing risks and challenges ahead:**

From the outset the Safer Rotherham Partnership recognised reducing anti-social behaviour reports for 2016/17 compared to the previous year would be a very difficult challenge and indeed reports being received are increasing both on a local and national basis. Previous years’ significant decreases in the levels of reported anti-social behaviour have impacted upon the Partnership’s ability to continue to sustain those reductions.

Performance against the “active borrower” measure is declining nationally. Locally, previous reductions in opening hours, expenditure on books and other materials, staffing levels and the range of reading based activities have impacted on performance. Also since the relocation of the Central Library numbers of both visits and issues of items have reduced.

The emerging role of libraries as neighbourhood hubs presents many opportunities to encourage new and repeat visitors. The future challenge will be to encourage those visitors to become and develop as readers.

Pedestrian Footfall - Footfall has continued to decline in the last quarter compared to the previous year and there have been noticeable shifts in consumer behaviour that have inevitably impacted negatively on retail activity in town and city centres. March 2017 has shown some sign of improvement which is a reflection of the national picture.

Major developments are in the pipeline through the Town Centre Masterplan, but in the interim other activities to develop and promote the town centre offer, especially retail, will need to be brought forward, with the Town Centre Sub-Group of the Business Growth Board taking the lead on much of this.

A major planning application has been submitted to Sheffield City Council for a significant leisure scheme at Meadowhall and the Council has taken a decision to formally object to this development.

The recently announced move of Primark to Parkgate will have an impact on footfall on High Street and the wider town centre. The closure is scheduled for the last quarter of 2017 and Council officers are seeking a meeting with Primark to discuss plans for the store, which is owned by Primark.



**Outcome: B. Streets, public realm and green spaces are clean and well maintained**
**Lead accountability:**

**Damien Wilson**, Strategic Director – Regeneration and Environment

**Overview of progress:**

Good progress is being made to deliver a cleaner, greener Rotherham with key investment being committed and helping to improve the standard of 'estate' roads.

The number of bin collections missed has improved from the third quarter and it is forecasted that year-end collection and recycling targets will be achieved.

**Exceptions:**

<b>Good/improved performance:</b>	<b>Areas of concern:</b>
<b>Ref No. 3.B4</b> - 0% of grounds maintenance works, following re-inspection, achieve no more than 5% defective/not to standard works. <b>(Priority Measure)</b> <i>This measure validates the process of carrying out remedial works.</i>	
<b>Ref No. 3.B5</b> – 29.82 missed bin collections per 100,000 collections in Q4, against a target of 60	

**Performance story/narrative:**

***Corporate Plan Action - Deliver a cleaner, greener Rotherham to ensure that it is a safe and attractive place to live, work and visit***

**Ref No. 3.B1- 3.B4 Levels of Street Cleanliness not more that 5% of sites are considered to be below standard (Grade A or B in Code of Practice); Road Networks in need of significant repair; Effective enforcement action; Following re inspection of grounds maintenance works achieve no more than 5% defective/not to standard works (Priority measure); Number of Grounds Maintenance customer contacts**

The last quarter of 2016/17 saw grounds and cleansing services continuing to meet target times and performing well.

During Quarter 4, 44 members of the public made enquiries regarding grounds maintenance issues, of which 5 were classed as complaints within the service. No official complaints were raised. Overall 16 more enquiries were made in the year 2016/17 than in the year 2015/16. The three year average for 2014-16 is 967 enquires compared with an average of 1069 enquiries for the years 2013-15. So whilst a small increase was seen in 2016, the overall trend is for fewer enquiries

Fly-tipping and Enviro-crime is a priority for the Council now and for the future, however successful prosecutions can only be undertaken where there is evidence found in the tipped material or on CCTV.

2016/17 has been a starting point for these performance measures where information has been collected and work undertaken on identifying cases suitable for prosecution, 2016/17 was also the first year Fixed Penalty Notices have been available. This year saw 25 prosecutions and fixed penalty notices issued for fly-tipping and 302 for other enviro-crimes.

The Highway Network Management Team carried out a Members Seminar on the 11<sup>th</sup> October 2016 regarding the principles of following good asset management techniques to maximise the available funding to repair as much of the highway network as possible.

By the end of quarter 4 the Council delivered patching and resurfacing works on 295 roads with over 436,000sqm repaired.

The works have been undertaken on:

- 19 - A Class Roads
- 21 - B Class Roads
- 47 - C Class Roads
- 208 – U Class Roads

***Corporate Plan Action - Ensure an efficient and effective waste and recycling service***

**Ref No. 3.B5 Number of missed bins per 100,000 collections** - The missed bin performance, 3.B5, is showing an improvement over Quarter 3 with a reduction to 29.82 missed bins per 100,000 collections.

Actions within the Waste Improvement Plan, included analysing missed bins reports by collections crews and holding weekly performance meetings of frontline staff by supervisors. This has helped to focus attention to reduce missed bin collections.

Our current Quarter 4 figure of 29.82 is equal to only 0.03% of bin collections being reported as missed. The Association for Public Service Excellence (APSE) performance report 2014–15 reports an average of 61.12 missed bins per 100,00 for the full year performance for reporting authorities.

**Ref No. 3.B6 % of waste sent for reuse (recycling and composting)** - The measure on waste recycling has achieved its target of recycling 45% of all Household waste collected by the authority. The overall 2016/17 performance is forecasted to achieve a recycling level of 45.3% (a small number of disposal points performance is yet to be received).

Good year-end performance by the PFI plant, as well as promotion of recycling by the Waste management team and the introduction of a re-use scheme through the Household Waste Recycling Centres has ensured that our target has been met.

**Ongoing risks and challenges ahead:**

It is anticipated that further improvements in recycling performance will be achieved by the joint Barnsley, Doncaster, and Rotherham PFI residual waste treatment facility.

We will continue to promote recycling and re-use, however, there has been a national year on year reduction in recycling of paper, card, bottles and cans as the growth in on-line media reduces the amount of newspaper circulation and the industry wide drive to change or reduce the amount of material used in packaging.

**PRIORITY 4:**

**EXTENDING OPPORTUNITY, PROSPERITY  
AND PLANNING FOR THE FUTURE**

**PRIORITY 4: EXTENDING OPPORTUNITY, PROSPERITY AND PLANNING FOR THE FUTURE**

**Outcome: A. Businesses supported to grow and employment opportunities expanded across the borough**

**Lead accountability:**

**Damien Wilson**, Strategic Director – Regeneration and Environment

**Overview of progress:**

Actions to deliver economic growth in the borough have continued to progress throughout the 4<sup>th</sup> quarter, although indicators 4.A5 and 4.A6 are underperforming against their targets.

**Exceptions:**

<b>Good/improved performance:</b>	<b>Areas of concern:</b>
<b>Ref No. 4.A1</b> – Survival rate of new businesses (3 Years) (Priority Indicator)	<b>Ref No. 4.A5</b> – % of working age population economically active in the borough
<b>Ref No. 4.A2</b> – Number of jobs in the borough (Priority Indicator)	<b>Ref No. 4.A6</b> – Median average gross weekly wage for full-time employees working in the borough as a Percentage of UK average

**Performance story/narrative:**

**Corporate Plan action - Deliver economic growth (via the Economic Growth Plan, Business Growth Board and Sheffield City Region - SCR)**

**Ref No. 4.A1 – 4.A6 - Survival rate of new businesses (3 years) (Priority measure); Number of jobs in the Borough (Priority measure); Increase Number of Business Births / Start Ups per 10,000 Resident Population 16+ years old); Overall number of businesses in the Borough (Priority measure); Narrow the gap to the UK average on the rate of the working age population economically active in the borough; Median average gross weekly wage for full-time employees working in the borough (percentage of UK average)**

The measures are linked to delivery of the Rotherham Economic Growth Plan, delivery of which is continuing; with the Business Growth Board of the Rotherham Together Partnership leading on this.

The measure on median average gross weekly wage for full-time employees working in the borough as a percentage of the national average (4.A6) declined to 89.6% against a target of 91.5%. However, the Annual Survey of Hours and Earnings (ASHE) is subject to fluctuation at a local authority level given the small sample size. Whilst important to note, the decline needs to be considered against the longer-term trend which shows the indicator remaining relatively constant at approximately 90% of UK earnings over several years. To improve the reliability of the indicator the service will explore the possibility of developing a longer-term moving average. At this stage the fluctuation is not considered to be of concern.

The measure on narrowing the gap with the UK average for the % of the working age population who are economically active (4A.5) has not met its target. The gap is increasing and the reasons for this require further investigation.

Three sub-groups covering “Skills and Employability,” Business Development” and the “Town Centre” meet every 6-8 weeks. The groups have developed a list of projects they feel will help drive economic growth and are now starting to deliver these, including a Trade Rotherham website. All 3 sub-groups have now produced work plans for 2017/18, which have been approved by the Growth Board.

The first annual review and monitoring of the Economic Growth Plan has taken place and been reported to the Business Growth Board and to the Overview and Scrutiny Management Board. The majority of the indicators met, or exceeded, targets.

Bids were submitted to the Sheffield City Region for funding for a number of capital projects. The following 3 projects were requested to work up full business cases.

- Purchase of Forge Island (completed)
- Works to the A618/A57 linked to the Gulliver's Theme Park (completed)
- Purchase of the AMP Technology Centre (discussions on this asset are continuing between the Council and the SCR/Combined Authority).

The Council has now purchased Forge Island and the former Magistrate's Courts and are seeking to take ownership of the remaining units in Riverside Precinct. These sites, together with the Weirside car park and former Lloyds Bank building, will be taken to the market for a major leisure development including cinema, hotel, food & drink provision and residential.

Inward investment projects have included:

- McLaren Automotive - £50 million investment on the AMP; planning permission has been granted for a 75,000 sq. ft. unit which will employ 200 people.
- Boeing has announced it will build its first factory outside the USA at Sheffield Business Park.
- General Dynamics IT has moved in to new premises in Rotherham, safeguarding 104 jobs and with the potential to grow further.
- The Council has directly facilitated the growth and expansion of Metals technology business Metalysis by providing space to accommodate the business on the AMP.
- Other inward investment successes include US Company ICD Alloys & Metals, Dutch owned ERIK's and London based SBD Apparel.

Planning permission has now been granted for the Gulliver's development, after it was not called in by the Secretary of State, and work will start on site in the near future.

#### **UK Steel Accelerator Programme**

Following on from the success of the previous South Korean Y-Accelerator programme, there was a strong appetite to pilot a similar programme across the Sheffield City Region aimed at aspirational pre-start or early stage businesses. UK Steel Enterprise (UKSE) offered £25k as an investment prize and £35k was made available by the Growth Hub, enabling RiDO to lead and deliver the project. The 12 week programme completed in February, where 8 candidates pitched their business ideas to an audience of 70. UK Steel awarded the £25k investment prize to an early stage company, Research Retold, but was so impressed with the quality of the proposals they then offered £10k investment to three further candidates more than doubling the investment offer. The success of this event has led to RiDO working up proposals with the Growth Hub and private sector partners to operate 5 more accelerator programmes over the next 2 years.

#### **Business Start- up - Launch Pad Rotherham**

Launch Pad project supports pre-start and early stage businesses in Rotherham up to 2 years of trading. In the 4<sup>th</sup> quarter 84 start-up enquires have been received. The Business Developers are actively working with 49 of these enquiries in pre-start stage.

15 workshops have been held including; Developing an Idea, How to Start a Business, legal surgeries, financial surgeries, outsourcing workshop and access to mentoring.

#### **Ongoing risks and challenges ahead:**

Delivery of the Town Centre Masterplan is dependent on private sector investment. Although the soft marketing carried out to date has stimulated a very encouraging level of interest from developers and investors it may be necessary for the Council to pump-prime development using its land holdings and some public sector funding as seedcorn money to ensure that the projects come forward.

The Advanced Manufacturing Innovation District, (AMID) is a City Region priority project of national significance and with major job creation potential. The recent investment announcements by McLaren and Boeing have helped accelerate the opportunities to attract new investors and develop local supply

chains. There is a risk that the development and growth of AMID does not progress at the pace of the opportunity but is constrained by the resource available to deliver activities needed including land assembly, site preparation and development, inward investment, supply chain development and skills and knowledge transfer. Discussions are on-going with AMID partners to use part of the surplus from the AMP Tech Centre to fund a small dedicated delivery team to take forward these activities.

**Outcome: B. People live in high quality accommodation which meets their need, whether in the social rented, private rented or home ownership sector (also contributes to priority 2 – Every adult secure, responsible and empowered)**

**Lead accountability:**

**Anne Marie Lubanski**, Strategic Director Adult Social Care and Housing.

**Overview of progress:**

The Council has had mixed fortunes delivering the actions that contribute towards ensuring people living in the borough can live in high quality accommodation that will meet their need.

Comparisons in performance between quarters 3 and 4 for the indicators the Council uses to measure the delivery of this key objective show, 3 indicators are improving, 2 indicators are deteriorating and further improvement is necessary and performance of the final indicator, which hasn't been reported before, which measures landlord compliance to Councils Selective Licensing Scheme is above target.

Excellent progress has been made reducing the overall levels of non – decent housing stock the Council lets to tenants under a tenancy agreement to 0%, This is 0.5% better than target and the number of new homes built and provided for rent by the authority has also increased and is above target.

Good progress continues to be made improving standards for tenants living in private sector accommodation in the borough. By the end of quarter 4, all private properties originally identified as eligible to register on the Selective Licensing Scheme, were registered and the inspection regime introduced by the Council to test landlord compliance with the terms and conditions of licensing agreements had successfully completed over 900 inspections.

Increasing the overall supply of homes in all housing sectors of housing however continued to be a very difficult challenge in quarter 4. Fewer homes were built in the borough in the final quarter than had been built in the previous 3 quarters and the Council has not achieved its target to deliver 731 new homes. Similarly no new affordable home ownership units were built in quarter 4 and the Council also did not hit its target to deliver 148 new affordable home ownership units in the year.

Moving forward the Council is confident the supply of homes across all sectors of the housing market will accelerate and be increased during the coming year. This optimism is based on announcements made by the government in January that Rotherham will receive millions of pounds that will help hundreds of residents to get on the housing ladder. It will receive a portion of the £1.2 billion Starter Homes' Land Fund and will also receive £6.81m to help deliver an additional 227 new affordable homes in the borough as part of the Government's Shared Ownership and Affordable Homes' Programme.

**Exceptions:**

<b>Good/improved performance:</b>	<b>Areas of concern:</b>
<b>Ref No. 4.B2</b> – 26 properties were made decent in quarter 4 bringing the % of non – decent owned council housing stock in the borough to 0%, This is 0.5% better than the Councils target to ensure not more than 0.5% of its stock is non decent by the end of year . <b>(Priority measure)</b>	<b>Ref No. 4.B1</b> – 91 new homes were built in quarter 4 across all sectors of the housing market. This brings the total of new homes built to 593, 138 homes fewer than the annual target to build 731 new homes. <b>(Priority Measure)</b>
<b>Ref No. 4.B3</b> – 9 new homes to rent by the Council were built in quarter 4. This brings the number of new homes built for social rent to 61, 1 home more than the annual target to build 60 new homes for rent by the Council.	<b>Ref No. 4.B4</b> – No new affordable home ownership units were built in the borough in quarter 4.

**Performance story/narrative:*****Corporate Plan Action - Implement the Housing Strategy 2016-2019 to provide high quality accommodation***

**Ref No. 4.B1–4.B4 Number of new homes delivered during the year (Priority measure); % of stock that is none decent (Priority measure); Number of new social rented homes started in year; Number of new affordable home ownership units started in year –**

The overall performance of the Housing and Neighbourhood Service continued to be very strong in quarter 4 as it was throughout the whole year. 35 of the 39 key indicators the service uses to measure the overall health of the service were on or above target and a number of actions aimed at improving service delivery were implemented resulting in increased satisfaction and value for money. Some of the improvements made also received national recognition, the Contracts and Service Development Team for example were awarded the “most Innovative new product “award at the Housing Innovation Awards for the excellent work done by the team to reduce void regarding let times and increase income for the authority. Similarly the service also received accreditation to the Tenants Participation and Advisory Service in recognition of the excellent work it does to engage and consult with tenants and residents. Not all of the indicators used to measure the service however are actually featured in the Corporate Plan document although needless to say do support the delivery of corporate objectives. For example some indicators monitor and measure the delivery of the repairs and maintenance service, including minor adaptations and others gauge how effective the Council is at managing its empty (void) property service. Whilst not featuring in the actual Corporate Plan both indicators do make valuable contributions towards ensuring people in the borough can live in high quality accommodation that meets their need.

At the beginning of quarter 4, 26 of the properties the Council rents to tenants were non-decent. By the end of the quarter through working with partners Fortem and Morrisons to implement programmes of works all 26 properties were made decent. This means all of the Councils tenants can enjoy living in homes that provide a reasonable degree of thermal comfort, are in a reasonable state of repair and have reasonably modern facilities.

The Council continues to recognise the importance good quality housing has on the health and wellbeing of tenants. Work therefore continues to identify properties in the stock that will become non decent during the coming year and to use this information to develop programmes of work for contractors to deliver to ensure minimum standards of decency are maintained in all of the Council's housing stock.

The number of new homes built for rent by the Council increased in quarter 4 with 9 more properties being added to the stock. This brings the overall total of new homes built to rent in the year to 61, meaning the Council exceeds its target to provide 60 new homes in the year by 1.

The supply of housing in the borough across all sectors of the housing market did not increase during the final quarter of the year however. Ninety one new homes were built in quarter 4 bringing the overall total of new homes built in the borough to 593, 138 properties fewer than the Councils target to ensure a minimum of 731 new homes would be built in the year . No new affordable home ownership units were built in the final quarter whereas 11 had been built in the previous 3 quarters of the year. This meant the Council did not hit its target, by 137 properties, to deliver 148 affordable home ownership units in the borough during the year. Despite these setbacks about the number of homes built the Council is extremely confident that the supply of housing will be increased next year in all sectors of the market .This confidence is based following the government announcement that additional funding will be made available to the authority to increase the number of new homes across the borough in the coming year.



**Corporate Plan Action - Private rented housing – improving standards through selective licensing**

**Ref No. 4.B5 a) and b) % of eligible properties which have applied for a license, within Selective Licensing areas (Priority measure); % of privately rented properties compliant with Selective Licensing conditions within designated areas (Priority measure)**

The Selective Licensing Scheme continued to make real differences to the lives of tenants and families living in private rented sector accommodation throughout the borough.

Information from the 2011 Census confirmed 1254 private rented properties were eligible to become registered on the Selective Licensing Scheme. By the end of the quarter all of the properties, across all licensing areas in the borough, were registered on the scheme. This means the Council exceeded its 95% registration target by a further 5%. During the year a further 600 properties were identified to become part of the scheme. These additional properties were added to the scheme bringing the overall number of properties on the scheme to 1854. By the end of quarter 4, 1638 of the properties were registered with the Council meaning (using the new figures) the overall performance of the scheme was 88%. Of the 600 additional properties, 250 properties registered in quarter 4 and further work progressed to ensure the remaining properties are registered as quickly as possible.

Strong progress was made to ensure the properties registered with the Council complied with the terms and conditions of the licensing agreements. Fuller staffing levels increased the number of inspections that took place to 906 by the end of the quarter. The increase in inspections however led to a 5% fall in performance compared to the previous two months of the final quarter and performance is expected to continue to fluctuate as more properties become broadly compliant. Moving forward the Council will review the value of having this indicator should a 100% compliance level across the scheme be achieved? Of the properties inspected, 88% required further warnings before remedial works were carried out, 12% required no action and 43% posed hazards to tenant safety. The 85% compliance level at the end of quarter 4 provides clear evidence that standards of accommodation in the private rented sector are being driven forward via the Council's Selective Licensing Scheme.

**Ongoing risks and challenges ahead:**

Following announcements made by the government to release additional funding to build new homes the challenge for the service is crystal clear and that is to ensure the opportunity given the Council is seized in order to increase the amount of decent, quality, affordable homes for rent and sale over the next few years which will ensure there is enough housing available for people on modest incomes.

**Outcome: C. Adults supported to access learning improving their chances of securing or retaining employment**

**Lead accountability:**

Ian Thomas, Strategic Director – Children and Young People’s Services

**Overview of progress:**

Serious failings in the governance, quality and performance and data management have been identified in the Adult Community Learning (ACL) Service during this quarter. As a result an Improvement Plan is in place and significant changes are being implemented to improve performance.

**Exceptions:**

Good/improved performance:	Areas of concern:
	<b>Ref No. 4.C1&amp;2</b> - Increase the number of people aged 19+ supported through learning programmes.

**Performance story/narrative:**

**4.C1&2** - The Skills funding Agency (SFA) issued a Notice of Concern to the Council on 24<sup>th</sup> March 2017, as the ACL Service did not meet minimum levels of performance (MLP) threshold of 40% for Adult Skills Accredited Learning in 2015/16 – actual underperformance at 69%.

Immediate management remedial action was undertaken;

- The ACL Service is performing poorly in terms of learner enrolments – 664 against April profile target of 1,560 (academic year target of 1,950). However, a review of learning place capacity and significant partnership work with other Council services has resulted in 1,014 learning places being made available from 24<sup>th</sup> April to 31<sup>st</sup> July 2017.
- Success Rates of Accredited Adult Skills Learning – 55% against 95% target based on 28 achievers from 51 leavers/completers with 145 learners still in learning.
- *(NB: whilst this is a Council target, the SFA calculate success rates differently – an analysis against the SFA methodology reveals a risk of just 25% success rate by July 2017).*
- Non-accredited Community Learning success rates are good at 96% against 95% target (based on 356 completers from 370 leavers/completers with 98 still in learning).
- Progression – into further learning and/or employment at 22.5% (based on 95 progression of the 421 completers/leavers).
- English Speakers of Other Languages (ESOL) – 14 learners enrolled on ESOL provision against a target of 50.
- Retention of Accredited Adult Skills Learning is at 88% (based on 196 enrolments and 23 leavers who did not complete or achieve).  
Retention on Non-Accredited Community Learning is at 97% (based on 468 enrolments and just 14 leavers who did not complete course).

Work is also underway with:

- Communications to re-brand the ACL Service and improve the quality of the ACL website to attract more learners and promote a better curriculum offer.
- A range of Council Service to utilise ACL funding to develop learning and courses to support corporate priorities around digital inclusion, family learning and community cohesion.
- The Performance and Planning Service to address significant weaknesses in data and performance management with new reports (and subsequently monthly profiles based upon robust analysis).
- The Commissioning Service to improve performance management of sub-contractors and tutors and to maximise learner participation amongst current sub-contractors.

**Ongoing risks and challenges ahead:**

- An in-depth analysis of performance (as of 31<sup>st</sup> March 2017) against the SFA's 40% MLP methodology reveals that whilst underperformance is currently at 11%, there is a risk of 75% underperformance.
- The SFA Notice restricts the Council from expanding its sub-contracting base to commission provision to increase learner numbers – risk that learner enrolment target of 1,950 might not be met (664 enrolments as of 12 April 2017), as insufficient provision has not been commissioned and developed during the first two terms.
- The Notice can be cause to trigger an Ofsted inspection.

The self-assessment process has been reviewed and a complete overhaul of the process developed (January-March 2017), which has led to a thorough draft self-assessment report (SAR) for 2015/16 and a judgement of Requires Improvement. This has been supported by the establishment of an ACL Quality Assurance Panel.

An ACL Improvement Plan has been produced and approved by CYPS DLT on 20<sup>th</sup> March 2017. The Plan was discussed with the SFA on 23<sup>rd</sup> March 2017 and a formal version sent on 5 April 2017 from the Chief executive in response to the Notice being issued.

A thorough quality assurance, performance and data management and monitoring process has been developed that includes;

- A Quality Assurance Validation Panel
- Regular attendance at CYPS Performance
- Data Clinics (meet monthly) to verify data at month end
- Learner & Course Case Conferences (initially, meet fortnightly);
  - Opportunities to increase learner enrolments;
  - Additional support for learners with low attainment and/or poor attendance;
  - 1:1 support to learners at risk of withdrawing
  - Additional classroom support for tutors.
  - Additional expertise brought into the ACL Service to improve commissioning and performance management of sub-contractors and sessional tutors.

In addition increased operational management capacity from the Creative Learning Centre (CLC) Manager to work with other Council Services and external partners to promote ACL and develop a curriculum offer to increase learner participation – this has led to the identification of 1,014 learning places to enrol learners on by end of July 2017.

**PRIORITY 5:**

**A MODERN, EFFICIENT COUNCIL**

**PRIORITY 5: RUNNING A MODERN, EFFICIENT COUNCIL****Outcome: A. Maximised use of assets and resources and services demonstrate value for money****Lead accountability:**

**Judith Badger**, Strategic Director – Finance & Customer Services

**Overview of progress:**

With continued cuts to Government funding it is vital that the Council aspires to excellence at collecting local revenues, in particular Council Tax and Non Domestic Rates, which currently fund around one third of the Council's annual spend on providing services to citizens (excluding housing benefit payments, housing revenue account and schools grant funding).

For 2016/17 the collection rate for Council Tax has been maintained at the same level as last year whilst the collection rate for Non Domestic Rates has been improved upon. Both Council Tax and Non Domestic Rates in year collection measures have exceeded the performance targets set at the start of the year.

**Exceptions:**

<b>Good/improved performance:</b>	<b>Areas of concern:</b>
<b>Ref No. 5.A1 - % Council Tax collected in year was 97.3% for 2016/17 which is the same performance as was achieved in 2015/16.</b>	
<b>Ref No. 5.A2 - Cumulative Council Tax arrears was £1.01 per property higher for 2016/17 compared with 2015/16 however this was impacted to some extent by the Council Tax increase in 2016/17.</b>	
<b>Ref No. 5.A3 - % Non-domestic rates collected in year was 98.3% for 2016/17 which was an increase of 0.2% on performance in 2015/16.</b>	

**Story/narrative:****Action - Maximising the local revenues available to fund council services**

**Ref No. 5.A1 Council Tax in-year collection** – For 2016/17 the Council Tax to be collected was £110.4m an increase from last year of £6.3m, of which we planned for a collection rate of at least 97% in-year. The final collection figure for 2016/17 was 97.3%, the same figure as in 2015/16 and 0.3% above the planning target.

**Ref No. 5.A2 Cumulative Council Tax arrears** - measures the amount of unpaid Council Tax from previous years per property. The final figure for 2016/17 was £69.13 which was £1.01 higher than in 2015/16 however this was impacted to some extent by the Council Tax increase in 2016/17. This performance is substantially better than the Metropolitan Council top quartile performance in 2015/16 which was £109.22.

**Ref No. 5.A3 Non Domestic Rates (NDR) collection** – For 2016/17 the Non Domestic Rates to be collected was £79.3m an increase from last year of £0.9m, of which we planned for a collection rate of at least 98% in-year. The final collection figure for 2016/17 was 98.3%, which was 0.2% higher than in 2015/16 and 0.3% above the planning target.

The national collection data for 2016/17 will be published in June 2017 which will enable us to update the position of Rotherham Council's performance relative to others.

**Ongoing risks and challenges ahead:**

The Council is becoming increasingly dependent on the revenues it can raise locally to fund its services and with the proposed move to 100% retention of business rates by 2020, the achievement of an excellent revenues collection rate will become ever more important.

The challenge for the service is to improve its collection rates still further in 2017/18 whilst recognising the potential impact of the increase in the rate of council tax and of the Government revaluation of business rates.

**Outcome: B Effective governance arrangements and decision making processes are in place**
**Lead accountability:**

**Judith Badger**, Strategic Director – Finance & Customer Services  
**Shokat Lal**, Assistant Chief Executive

**Overview of progress:**

Overall progress in continues to be monitored by the Joint Improvement Board (now chaired by the Leader of the Council) and this has a key role in ensuring continued improvement and helping to assesses prospects for returning decision-making control of services to the Council, as appropriate.

New service planning and performance management arrangements have been implemented, alongside risk management arrangements which have bene recently refreshed. Improvements in information governance are being implemented; as are procurement arrangements.

Recommendations arising from Overview and Scrutiny are a key indicator of the strength of the council's governance arrangements. Overall, there has been solid progress in implementing the pre-decision scrutiny arrangements ahead of Cabinet and Commissioner meetings.

**Exceptions:**

<b>Good/improved performance:</b>	<b>Areas of concern:</b>
<b>Ref No. 5.B3</b> - Acceptance of recommendations from pre-decision scrutiny is currently at 100% at the end of quarter three.	

**Performance story/narrative:**
***Corporate Plan Action - Establishing and working to a new Local Code of Corporate Governance***
**Ref No. 5.B1 Fit for purpose Annual Governance Statement 2016/17 (Priority measure)**

The Council was given a qualified (negative) opinion on the effectiveness of its governance arrangements in its Annual Governance Statements for 2014/15 and 2015/16, which reflected the position the Council was in at the time. Work is currently in hand to produce the Annual Governance Statement for 2016/17 and assurance statements have been received from all Strategic Directors to enable the Statement to be produced. Improvements have been made in key services, including service planning, performance management, risk management, procurement, information governance and the management of major projects and this progress will be reflected in the draft Governance Statement which is due for publication by 30<sup>th</sup> June 2017.

***Corporate Plan Action - The Scrutiny function is effective; engages members and improve outcomes for Rotherham residents and communities***
**Ref No. 5.B2 – 5.B3 % of scrutiny recommendations which are accepted and implemented; Number of pre-scrutiny recommendations adopted**

The pre-decision scrutiny process is embedded within the decision-making process. Members feel that they are able to add value to the proposals brought forward. Overview and Scrutiny Management Board continues to identify reports for scrutiny and make recommendations where felt necessary. Where additional recommendations have been made, these have been adopted by Cabinet and Commissioners when making final decisions on proposals.

Whilst there are no scrutiny recommendations recorded as being accepted and implemented, it should be noted that there are a number of decisions that have been taken by Cabinet and actions implemented that have arisen directly from scrutiny activity in previous years or single recommendations made during meetings which have not been developed as part of a formal scrutiny review.

**Ongoing risks and challenges ahead:**

Any reversal of progress in Children's Services or any failure to improve other services to enable their return to Council responsibility could prevent the issuing of an unqualified opinion on 2016/17's Annual Governance Statement, as could failure to sufficiently improve Corporate processes.

Overview and Scrutiny exists to provide challenge and ensure that decision-makers have included mitigations to risks that arise in respect. The challenge is maintain momentum and the culture of openness and good governance that pre-decision scrutiny is grounded in. Focus by Members on the areas prioritised for scrutiny is critical to ensuring that recommendations are forthcoming from other areas of scrutiny activity.



**Outcome: C Staff listen and are responsive to customers to understand and relate to their needs**
**Lead accountability:**

**Judith Badger**, Strategic Director – Finance & Customer Services  
**Shokat Lal**, Assistant Chief Executive

**Overview of progress:**

The number of complaints has reduced compared to previous quarters at 265. Despite the small decrease in quarter 4 overall there has been a higher number received in the year compared to the previous two years. The annual total is 1016 (compared to the c. 700 received in the previous two years). The increase is due to changes in the way that service is delivered in the Departments (further information will be presented in the annual complaint report) and a change in emphasis to ensure that more customer enquiries and issues are processed as formal complaints so that they receive investigations by managers and learning is captured for the purposes of service improvement. Despite this continuing high number of complaints received the Council's response rate has again improved in the quarter to 89% (from 86% in quarter 3, 82% in quarter 2 and 79% in quarter 1) – exceeding the cumulative target set for the year.

Following the collection of the 6 monthly C.5 figures for the period January to March 2017 it was discovered that the figures have previously been recorded in a potentially inaccurate manner, erroneously including all website visits. The newly reported figure of 21% reflects "genuine" transactions and cannot be compared to the performance of previous years nor to the target set in the Corporate Plan.

**Exceptions:**

<b>Good/improved performance:</b>	<b>Areas of concern:</b>
<b>Ref. No. 5.C1b</b> Numbers of complaints responded to within timescale is now at 89%, above the target of 85%, representing a steady increase in performance since quarter one (and in the context of an increase in the numbers of complaints being investigated during the year).	<b>Ref. No. 5.C1a</b> – as reported in Quarter 2, while not a concern in itself, the numbers of complaints being investigated by the Council remained at a high level throughout the year and is 50% above the figures for the last financial year.
<b>Ref. No. 5.A3</b> % non-domestic (business) rates collected in the current financial year now stand at 98.3%, which is 0.2% better than last year and places Rotherham well in the top quartile of performance for Metropolitan Authorities.	

**Performance story/narrative:**
**Ref No. 5.C1 (a), (b) and 5.C2: Treating customer complaints with respect and dealing with them in an efficient and outcome-focussed way**

The numbers of complaints received by the Council has reduced since quarter 3 (275) at 265. This compared to the lower level of 205 in quarter 1 and is significantly higher than quarterly figures for 2015/16.

As reported previously, the Council has taken a number of steps over recent years to make it easier for complaints to be made, so that the appropriate steps can be taken to address the issues and problems residents wish to raise. The numbers of complaints now being investigated reflect the increased efforts to capture learning and ensure appropriate management oversight of customers' issues. This is not necessarily a negative development. The Corporate Complaints Team is working to ensure that regular reporting to senior and directorate management teams includes analysis on the emerging patterns and trends; as well as help ensure that all learning is taken on board.

In addition, the Complaint Team is currently analysing the increase in the number of complaints received as the increase cannot be completely attributed to improvements in complaint management or access to the complaint procedures. The results of the analysis will be published in the annual complaint report. It is expected that changes in service delivery will underpin most of the increases.

Despite this sustained higher level of complaint investigations compared to previous years, there has been an improvement in the numbers being responded to within the required timescales, up to 89% which is above the 85% target for the year. This is an increase from the 86% in quarter 3, 82% in quarter 2 and 79% in quarter 1. Previously reported challenges in responding to complaints within the Regeneration Environment Directorate (specifically Waste Management) have been tackled and this reflects a key factor in the improved performance overall. Improved performance management (introduced in year 2015/16) in CYPS continues to positively affect the number of complaints responded to in timescale, despite an increase in complaints overall.

Numbers of compliments received saw an increase from 226 in quarter 3 to 271 in this quarter. This is higher than the 183 reported in quarter 1 and reflects efforts with Directorates to ensure that this information is effectively captured for performance reporting purposes.

**Ref No. 5.C3 – 5.C4 % of residents satisfied with the way RMBC runs things; % of residents that have confidence in the RMBC** – During December 2016, the Local Government Association (LGA) undertook its fourth satisfaction survey with Rotherham residents. These were reported in the 3<sup>rd</sup> quarter report and are not repeated here.

Overall, all questions have seen a percentage rise since the last survey undertaken in June 2016 and over the course of all four polls there has been a slight improvement.

**Ref No. 5.C5 (a), (b) and (c): Enable customer to be active and interact with the Council in an efficient way, accessing more services online.**

Following the collection of the 6 monthly C.5 figures for the period January to March 2017, the Assistant Director CIDS discovered that the figures have previously been recorded in a potentially inaccurate manner. C.5a % of transactions online has been calculated to include all visits to our website, although the majority of these visits do not result in the customer accessing a transactional service. Although some of these visits may save customer contact via another method, i.e. phone or face to face, most of these visits will be for browsing purposes. It is not possible to distinguish the difference in the types of website visits. These visits make up the highest proportion of the transactions online figure, which is seen as presenting the Council in a better state of 'Digital readiness' than may actually be the case. It is therefore suggested that the figure for online transactions is adjusted to remove all website visits. The figures for quarter 2 (July - September 2016) and quarter 4 (January – March 2017) have been adjusted accordingly.

**Ongoing risks and challenges ahead:**

The major barrier to increasing the number of online transactions is digital exclusion. When our citizens are unable or unwilling to get online we will be unable to deliver our channel shift aspirations. In the interest of tackling digital exclusion the Council now provide free citizen Wi-Fi in all libraries, customer service centres, the Town Hall and museum. Libraries continue to run targeted events to encourage digital take-up and some self-service kiosks are being installed in Riverside House to encourage customers to transact with the Council on line.

## Outcome: D Effective members, workforce and organisational culture

### Lead accountability:

**Shokat Lal**, Assistant Chief Executive

### Overview of progress:

The target for PDR completion for 2016/17 (95% of staff) was exceeded and the roll out of an improved programme of PDR's for 2017/18, which includes the new behaviours and values, has commenced. As the organisation continues with its change programme it is essential that these values and behaviours are embedded and employees are engaged during the change process.

The number of sickness days lost per person increased over the year from 10.43 to 10.97 days with three conditions, Musculo Skeletal (31%), Stress (29%) and Infection Virus (16%), accounting for three quarters of all absence. Steps have been put in place to deliver more effective management of attendance including a review of policy, manager training and a dedicated sub group of the Council's Health, Safety and Welfare Committee.

Although agency expenditure did not achieve its target reduction, the final quarter showed a substantial reduction in the amount spent compared to previous quarters.

### Exceptions:

Good/improved performance:	Areas of concern:
<b>Ref No. 5.D1</b> % PDR completion is now at 96% compared to a target for the year of 95%, with three Directorates exceeding the target	<b>Ref No. 5.D2</b> Sickness days lost per FTE has increased to 10.97 days (excluding schools) – target is 10.2 days ( <b>Priority Measure</b> )
<b>Ref No. 5.D4</b> – 87% of members have a personal development plan and this exceeds the target of 80% that was set.	<b>Ref No. 5.D3</b> Reduction in agency staff cost target is a reduction of 10%. Current figures show an increase of 50% to £10.2m ( <b>Priority Measure</b> )

### Performance story/narrative:

**Ref No. 5.D1 % PDR completion** – Having exceeded the 95% PDR target for 2016/17 the focus on quarter 4 has been on reporting outcomes of the quality DIP sample. The findings were mainly positive in that reviewers and reviewees both recognised the value of these conversations, however it was also recognised that there was scope for improvement. As a result changes have been made to PDR form work and a review of best practice has commenced which will inform a second phase of changes due for 2018/19. A roll out of the new programme of one to one performance conversations for 2017/18 has started with briefings on changes and areas of improvement. A series of email reminders targeting reviewing managers who have yet to complete their reportees PDR's has commenced.

**Ref No. 5.D2 Days lost to sickness absence** – in the final quarter of the year sickness absence increased slightly from the previous quarter resulting in the final outturn for the year having an overall increase in days lost per person rising from 10.43 in 2015/16 to 10.97 in 2016/17

SLT have set challenging individual reduction targets of up to 15% for Services for 2017/18, depending on year end performance. The Health and Safety Sub-Group has commenced a review of current practice including adopting more creative and innovative approaches to facilitate early and appropriate return to work following long term absence. A revised Managing Attendance policy has been drafted and consultation with trade unions on adoption is due to commence in May. The emphasis of the policy will be on engaging with employees in a joint commitment to ensure an appropriate level of attendance rather than on absence management. The aim of this is to enable the Council to have a more creative offer of employee support, from a range of diverse sources. One option currently being explored is utilising the Fit for Work service to support early return to work, which creates a return to work plan after a four weeks absence trigger.

Regular reporting of workforce metrics have been augmented through the HR system and are being reported and analysed at DMTs to introduce a more pro-active approach to case management.

The HR Service continues to provide targeted support to individual managers by Business Partners and systems based reminders where action is required. The Service has delivered a further three sessions on Managing Attendance/People Management skills to 60 managers in January and February 2017, bringing the total number of attendees since November 2016 to 198. These sessions are aimed at M2 and M3 levels.

HR has revised and rolled-out an attendance management e-learning package for managers and this is being used in conjunction with the corporate programme of manager workshops with 200 places currently planned under the Best Work of our Life programme.

The Council's Occupational Health (OH) provision has also been reviewed to enable speedier access to OH support as well as access to physiotherapy and counselling services. There will be further work on this in the coming months and a revised tender requirement drafted for October 2017.

The requirement for all managers to complete Stress Risk Assessments has been highlighted and promoted, with a target date for completion set. Workshops have been held with managers to ensure that there is an appropriate level of understanding of the importance and purpose of the Stress Risk Assessment process. An audit of completed Risk Assessments will take place following completion.

The Council is holding a number of events to support Mental Health Awareness in May 2017, with follow up workshops scheduled for June 2017.

Attendance figures are being reported and challenged by SLT and Joint Consultative Committee Members on a quarterly basis.

The Council is committed to achieving the Workplace Well-being Charter and is working towards this accreditation.

***Corporate Plan Action - Reduced use of interims, temporary and agency staff through effective and efficient recruitment***

**Ref No. 5.D3 Reduction in Agency cost (Priority measure)** – In the final quarter of the year the Council's spent £1.7m on the use of temporary and agency staff which was approximately half the cost incurred in the previous quarter.

The Council did not achieve the 10% reduction target with agency expenditure seeing an overall increase of 50% over the year. It should be noted however that this increase contains some expenditure classified as Consultancy in previous years and approximately 70% of the expenditure was covered by existing staffing budgets.

Changes in "Off Payroll" worker IR35 regulations on the taxation treatment of earnings from the Public Sector are expected to see agency costs fall during 2017/18 as some workers choose to move into permanent roles.

The Workforce Management Board, led by the Assistant Chief Executive and attended by Assistant Directors from all Directorates, has introduced a control process with use of agency staff requiring explicit Directorate and Board sign off which should also contribute to a reduction in expenditure. The Terms of Reference of the Workforce Management Board have been reviewed to ensure a specific focus on unplanned expenditure, including agency, but also the cost of additional hours worked, overtime, and temporary additional responsibility payments.

***Corporate Plan Action - Members are able to fulfil their roles as effective community leaders***

**Ref No. 5.D4 % members receive a personal development interview leading to a structured learning and development plan**

The Personal Development Plan process for members is developing. Learning style questionnaires have been issued to members and responses have been returned and non-returns followed up. Review meetings have taken place with individual members and the PDR completion rate is now 87% - in excess of the target.

In addition to this, the Cabinet Member with responsibility for member development, Councillor Yasseen, has agreed the terms of reference for a Member Development Group which now regularly meets. This group has a role to help define and monitor the approach to member sign up to their Personal Development Plans.

**Ongoing risks and challenges ahead:**

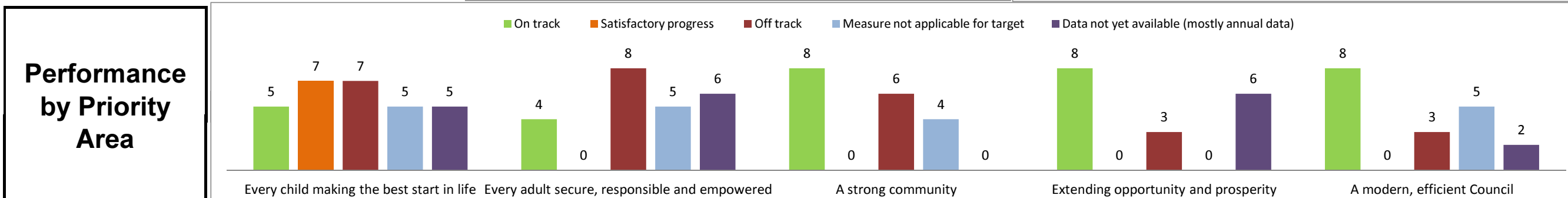
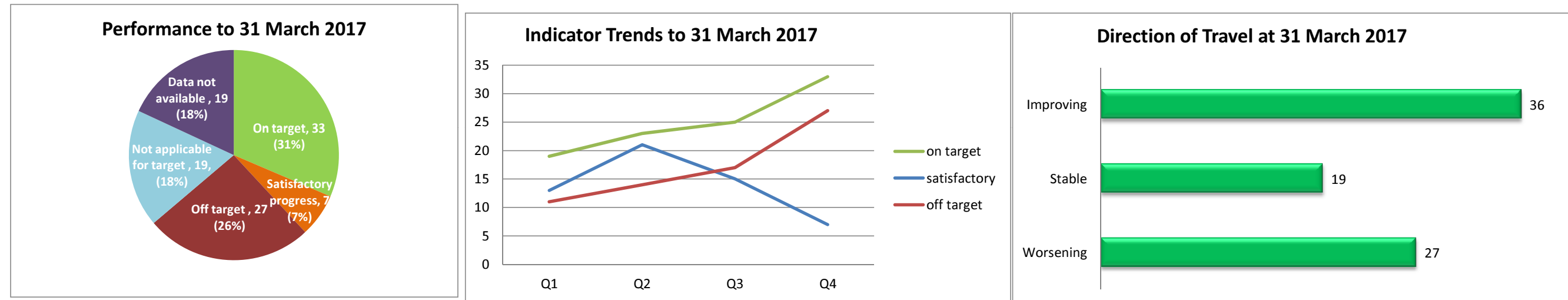
Levels of sickness absence continue to be an area of concern posing both a financial and operational delivery risk. Attendance policies, procedures and HR working practices are under review with more focused targeted support in hot spot areas.

The final quarter of 2016/17 saw a substantial reduction in the amount spent on agency compared to previous quarters, however expenditure continues to be above acceptable levels with in excess of 25% of costs not being accommodated within staffing budgets. Changes to the authorisation processes and legislation on the taxation treatment of "Off Payroll" Workers are expected to be reflected in a reduction in expenditure next year. In order to further reduce dependency on agency workers, particularly in specialist professional roles, the Council will need to maintain focus on achieving a more flexible but stable workforce through improved workforce planning.

**OVERALL PERFORMANCE SCORECARD**

*As per separate document*

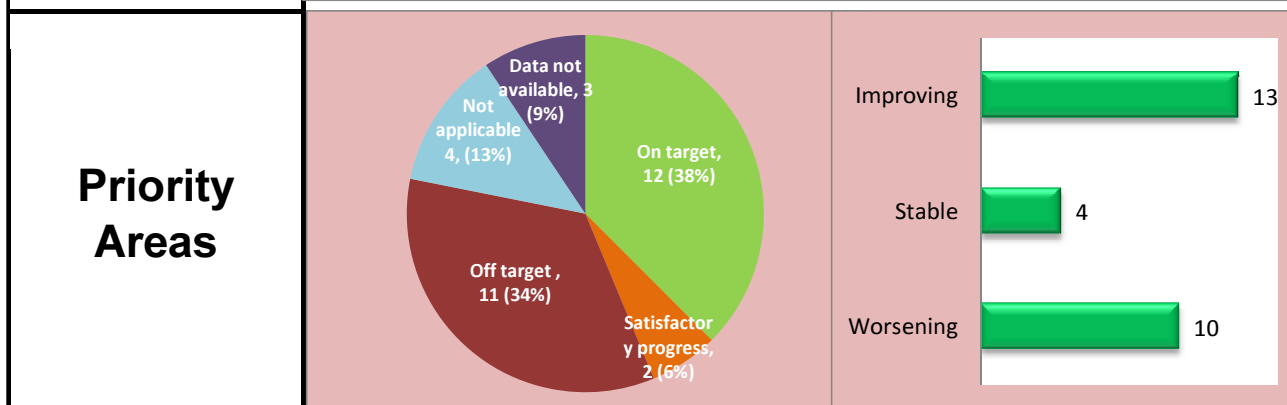
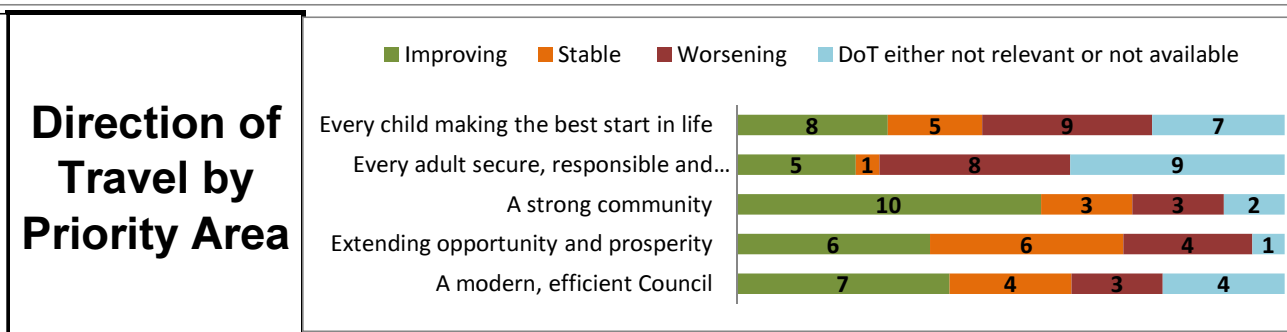
# Corporate Plan 2016/17 Performance Report Dashboard at 31 March 2017



### Red Flags

**Indicators off track in Q3 and still off track in Q4**

- 1.A3 - % children who had a social care concern raised within 12 months of the last concern ending (Re-referrals) (Priority measure)
- 1.A4 - % children who are subject to repeat child protection plans (within 24 months) (Priority measure)
- 1.C4(b) - % of triaged referrals that were assessed within 3 weeks.
- 2.B2 - Average delayed transfers of care from hospital attributable to Adult Social Care (Priority measure)
- 2.B5 - Number of carers assessments
- 3.A1 - Reported instances of anti-social behaviour in Rotherham
- 3.A4 - % of licence holders that demonstrate adherence to the requirements of the Council's Hackney Carriage and Private Hire Policy (Priority measure)
- 3.A5(b) - Overall, how satisfied are you with Rotherham as a place to live?
- 3.A6 - Number of people borrowing books and other materials (Priority Measure)
- 3.A7 - Aggregate Pedestrian footfall in the Town Centre
- 3.B4(b) - Number of Grounds Maintenance customer contacts
- 4.A5 - Narrow the gap to the UK average on the rate of working age population economically active in the borough
- 4.B1 - Number of new homes delivered during the year (Priority Measure)
- 4.B4 - Number of new affordable home ownership units started in year
- 5.D2 - Days lost per FTE (Priority measure)



# Appendix B

## Corporate Plan 2016/17

### Performance Report

#### Quarter 4 Performance Scorecard (data for March 2017)

Please note: Although care is taken to ensure data is as accurate as possible, delays in data input can result in changes in figures when reports are re-run retrospectively.







##### Document Details





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##### Summary

	Measure progressing above or in line with target set	33	31.4%
	Measure progress has been satisfactory but is not fully reaching target set	7	6.7%
	Measure has not progressed in accordance with target set	27	25.7%
	Measure under development (e.g. awaiting data collection or target-setting)	0	0.0%
	Measure not applicable for target (e.g. baseline year, or not appropriate to set a specific target)	19	18.1%
	Measure information not yet available (e.g. due to infrequency or timing of information/data)	19	18.1%

	Numbers have improved	36
	Numbers are stable	19
	Numbers have got worse	27
	Direction of Travel is not applicable	23



**Corporate Priority 1 – Every child making the best start in life**

Key	Overall status (relevant to target)					
	✓	Measure progressing above or in line with target set	✘	Measure under development (e.g. awaiting data collection or target-setting)		
	●	Measure progress has been satisfactory but is not fully reaching target set	□	Measure not applicable for target (e.g. baseline year, or not appropriate to set a specific target)		
	✘	Measure has not progressed in accordance with target set	■	Measure information not yet available (e.g. due to infrequency or timing of information/data)		

Outcome	Lead Accountability (Strategic Director)	Ref No.	Action	Measure	Lead officer	Good performance	Frequency of reporting	Target	Overall status	DOT	Data available dependent upon the frequency of reporting									Data notes (where measure has not progressed in accordance with the target set provide details of what is being done to improve performance)
											Annual		Quarterly				Monthly			
											Year end 2014/15	Year end 2015/16	Q1 Apr - Jun 2016	Q2 Jul - Sep 2016	Q3 Oct - Dec 2016	Q4 Jan - Mar 2017	Jan-17	Feb-17	Mar-17	
A. Children, young people and families are protected and safeguarded from all forms of abuse, violence and neglect	Ian Thomas, Strategic Director Children and Young People's Services	1.A1	Early Help – Early Help service to identify and support families at the right time to help prevent social service involvement	Reduction in Children in Need rate (rate per 10K population) (Priority measure)	Mel Meggs - CYPS	low	Monthly	No target (to be used a measure to watch over the next 12 months)	□	⬇️	347.1	320	356.0	390.4	380.0	359.8	359.2	355.7	359.8	The Liquid Logic social care database went live on 31st October 2016. This should be taken into consideration when undertaking any trend analysis across the year. There is no good or bad performance however the aim is to ensure performance is in line with the national average. Following a peak in November the number of Children In Need (CIN) has decreasing and stabilised over the last quarter.
		1.A2		The number of families engaging with the Families for Change programme as a percentage of the troubled families target	David McWilliams - CYPS	high	Monthly	100% (882 families by end of March 2017)	✓	⬆️	100%	100%	24%	46%	68%	100%	77%	89%	100%	Target of 100% is by March 2017. 882 families engaged with to date which is 100% of the year target. Performance is reported cumulatively and is therefore YTD.
		1.A3	Children's Social Care Improvement - Ensure that all children in need work is managed robustly and that appropriate decisions and actions are agreed	% children who had a social care concern raised within 12 months of the last concern ending (Re-referrals) (Priority measure)	Mel Meggs - CYPS	low	Monthly	April - September 26% October - March 23%	✘	⬆️	22.8%	30.6% (note - Corporate Plan stated 30.9%)	29.9%	30.4%	28.3%	27.5%	28.0%	27.7%	27.5%	The Liquid Logic social care database went live on 31st October 2016. This should be taken into consideration when undertaking any trend analysis across the year. As this is a 'rolling year indicator' this considers referral data for the 12 months prior to 31st March 2017. This measure is a good indication of the effectiveness, quality and sustainability (by families) of children's social care work. We have not been able to reach the year end target, however, there has been a sustained month on month improvement since September 2016 and if this continues we are in a strong position to achieve the national and statistical benchmarking averages in 2017/18. Contributing factors to this improvement include a greater management focus on overall 'quality' of work, systematic auditing and a strengthened front door screening process within MASH.
		1.A4		% children who are subject to repeat child protection plans (within 24 months) (Priority measure)	Mel Meggs - CYPS	low	Monthly	4%	✘	⬆️	4%	4.7%	6.1%	6.6%	6.7%	8.4%	8.3%	8.4%	8.4%	The Liquid Logic social care database went live on 31st October 2016. This should be taken into consideration when undertaking any trend analysis across the year. As this is a 'rolling year indicator' this considers referral data for the 12 months prior to 31st March 2017. There continues to be an increase in the number of children being subject to a second or subsequent plan within 2 years of the other ceasing. Performance against this measure declined in January & then further in February & March 17 to be higher than where we would like. Work continues in the service to assess the quality of plans and to ensure that plans are only ceased when children and young people are no longer at risk or are supported appropriately at a lower level of intervention.
		1.A5		LAC Sufficiency Strategy – Increase in the proportion of children who are cared for in a family based setting	Increase in the proportion of children who are cared for in a family based setting (Priority measure)	Mel Meggs - CYPS	high	Monthly	87.5%	✘	⬆️	80.5%	84.5%	84.4%	81.1%	80.2%	81.1%	80.3%	79.9%	81.1%

Outcome	Lead Accountability (Strategic Director)	Ref No.	Action	Measure	Lead officer	Good performance	Frequency of reporting	Target	Data available dependent upon the frequency of reporting										Data notes (where measure has not progressed in accordance with the target set provide details of what is being done to improve performance)		
									Overall status	DOT	Annual		Quarterly				Monthly				
											Year end 2014/15	Year end 2015/16	Q1 Apr - Jun 2016	Q2 Jul - Sep 2016	Q3 Oct - Dec 2016	Q4 Jan - Mar 2017	Jan-17	Feb-17		Mar-17	
		1.A6	Child Sexual Exploitation - an increased awareness of CSE and an increase in the number of police prosecutions as a result of joint working	Number of CSE referrals	Mel Meggs - CYPS	Not applicable	Monthly	No target - not applicable	<input type="checkbox"/>			200	52	35	71	73	18	26	29	The Liquid Logic social care database went live on 31st October 2016. This should be taken into consideration when undertaking any trend analysis across the year.  There is no target for this measure as numbers can fluctuate significantly.	
		1.A7		Number of prosecutions	Mel Meggs - CYPS	high	Monthly	No target - not applicable	<input type="checkbox"/>	U	12	37 (note the Corporate Plan states 43 (June 2015 - May 2016))	7	5	3	2	1	1	0	Parameter used to define 'CSE prosecution' is: offences that resulted in a suspect or suspects being charged or summonsed in Rotherham.	
		1.A8		Number of victims/survivors accessing post abuse support services (new referrals)	Mel Meggs - CYPS	Not applicable	Monthly	No target - not applicable	<input type="checkbox"/>					524	104	143	84	139	24	51	64
We are supported to reach their potential	Ian Thomas, Strategic Director Children and Young People's Services	1.B1	Early Help – Increase the take-up of free Early Childcare for disadvantaged families	% of entitled 2 year olds accessing childcare	Karen Borthwick - CYPS	high	Termly	80%	<input checked="" type="checkbox"/>	U	78% (summer term 15)	Not applicable	79.5% (summer term)	87.2% (Autumn term 2016)	83% (Spring Term)					Termly data shown in the closest reporting quarter to the end of term. This relates to an 'as at' position and cannot be aggregated into year-end. Performance is above target but the take-up figure for the Spring term dropped by 4.2% from the Autumn term, which is to be expected.	
		1.B2	Sustainable Education and Skills	% children and young people who attend a good or better schools	Karen Borthwick - CYPS	high	Termly	90% (Academic Year)	<input type="checkbox"/>	U	82.4% (summer term 15)	84.9%	86%	85%	84%					The Rotherham average has declined by 2% from 31 August 2016. The latest comparison to the national average is 87% as at 31 December 2016. A number of primary schools with a 'Requires Improvement (RI)' judgement have converted to academies. These schools have made significant improvements which should ensure that the next inspection judgement is 'Good'. However, the first inspection for all new schools, including converter academies, usually takes place in the third year of opening, which therefore means these schools will retain the 'RI' judgement until the inspection and impact on improvement of the aggregated LA average. Current performance appears to be low but it is greatly affected by the inspection process for converter academies.	
		1.B3	Sustainable Education and Skills – challenge all schools, academies and education settings who are not providing at least a 'good' level of education to our children	The progress a pupil makes from the end of primary school to the end of secondary school. (Key Stage 4 Progress 8 Measure)	Karen Borthwick - CYPS	high	Annual	No target - target for future years to be set inline with or above the national average	<input type="checkbox"/>	U	No data - new measure	No data - new measure	No data - new measure	No data - new measure	0.03	+0.04 (Final Results)					This is a new measure for secondary school accountability in 2016. Targets in future years would be set in line with or above the national average. The progress 8 score for Rotherham in 2016 is 0.04, this is above the national average progress score of -0.03. Rotherham is one of only 3 LA's in our statistical neighbour comparative group that has a score above 0.
		1.B4 (a)	Sustainable Education and Skills – Reduce the number of children and young people persistently absent from school	Persistent absence rate a) Primary School	David McWilliams	low	Termly	8.4%	<input checked="" type="checkbox"/>	U	2.9% (old definition not comparable)	10.4% (confirmed outturn for 2015/16)	Not applicable	10.7% (Academic predicted year end outturn 2015/16)	10.3% (based on Autumn 15/16 combined)	10.4% (confirmed outturn for 2015/16)					The position at Quarter 4 is confirmed outturn for 2015/16 based on data published by the DfE.
		1.B4 (b)		Persistent absence rate b) Secondary School	David McWilliams	low	Termly	13.8%	<input checked="" type="checkbox"/>	U	7.5% (old definition not comparable)	15.8% (confirmed outturn for 2015/16)	Not applicable	15.3% (Academic predicted year end outturn 2015/16)	14.4% (based on Autumn 15/16 combined)	15.8% (confirmed outturn for 2015/16)					The position at Quarter 4 is confirmed outturn for 2015/16 based on data published by the DfE.
		1.B5 (a)	Sustainable Education and Skills – Reduce the number of school days lost to exclusion	Reduction in the number of exclusions from school which are i) Fixed term (Secondary school)	Karen Borthwick - CYPS	low	Monthly	2,500 Academic Yr (14/15 = 3,497 15/16 = 3,528)	<input type="checkbox"/>	U	4,210	Not yet available (Academic Year)	1,072 (Academic term end outturn)	227 (Sept 15 = 325)	1097 (Sept - Dec 15 = 1562)	1064 (Jan 16 - Mar 16 = 1017)	294 (Jan 16 = 368)	269 (Feb 16 = 332)	445 (Mar 16 = 289)		
	Reduction in the number of exclusions from school which are ii) Fixed term (Primary school)	280 Academic Yr (14/15 = 349 15/16 = 407)		<input type="checkbox"/>				U	349	407	134	35	84	106 (Jan 16 - Mar 16 = 99)	32 (Jan 16 = 32)	23 (Feb 16 = 27)	50 (Mar 16 = 38)				

Outcome	Lead Accountability (Strategic Director)	Ref No.	Action	Measure	Lead officer	Good performance	Frequency of reporting	Target	Data available dependent upon the frequency of reporting										Data notes (where measure has not progressed in accordance with the target set provide details of what is being done to improve performance)	
									Overall status	DOT	Annual		Quarterly				Monthly			
											Year end 2014/15	Year end 2015/16	Q1 Apr - Jun 2016	Q2 Jul - Sep 2016	Q3 Oct - Dec 2016	Q4 Jan - Mar 2017	Jan-17	Feb-17		Mar-17
B. Children and Young people		1.B5 (b)		Reduction in the number of exclusions from school which are i) Permanent (Secondary school)	Karen Borthwick - CYPs	low	Monthly	30 Academic Yr (14/15 = 48 15/16 = 43)	●	↻	50	53 September 2015 - July 2016	47 (Sept 15 - July 16)	2 (Sept 15 = 7)	12 (Sept-Dec15 = 20)	12 (Jan 16 - Mar 16 = 17)	4 (Jan 16 = 8)	5 (Feb 16 = 3)	5 (Mar 16 = 6)	Data collection processes have improved and the service will be reporting on both secondary and primary going forward, this has therefore been reflected in this report. It should also be noted that due to the change the targets have been slightly adapted. Year end related to academic year.
			Reduction in the number of exclusions from school which are ii) Permanent (primary school)	6 Academic Yr (14/15 = 7 15/16 = 9)				●	↻	7	9	5	1	3	1 (Jan 16 - Mar 16 = 0)	1 (Jan 16 = 0)	0 (Feb 16 = 0)	0 (Mar 16 = 0)		
		1.B6	<b>Sustainable Education and Skills</b> – Enable hard to reach young people to achieve their full potential through education employment or training	% of young people aged 16-18 who are Not in Education, Employment or Training (NEET)	David McWilliams - CYPs	low	Monthly	3.1% (Annual Target based upon Nov/Dec/Jan Ave.) (note - Corporate Plan included 4.9%)	✓	↻	5.9%	5.3% (note - Corporate Plan included 5.1%)	5.5%	2.4%	2.9%	3.3%	3.2%	3.2%	3.5%	The position at the end of March shows a NEET figure of 3.5% (against a local target of 3.7%) Data sharing exercises and follow up will continue, as will work to re-engage the NEET cohort, both centrally and across all localities to ensure we continue to meet our local targets. Latest comparison data available for February return show. In respect of NEET figures Rotherham are enjoying better results than both statistical neighbours and region, whilst being in line with the national return
		1.B7 (a)		<b>Percentage of Education Health and Care Plans completed in statutory timescales (based on NEW Plans issued cumulative from September 2014) (Priority measure)</b>	Karen Borthwick - CYPs	high	Monthly	90% by April 2018	●	↻		58.3% (note - the Corporate Plan states 52.4%)	67%	61%	54%	52%	52%	52%	52%	Data relates to completion of EHC plans within the reporting period (based on new plans). Performance is cumulative from September 2014 to March 2017.
		1.B7 (b)	<b>Special Educational Needs and Disabilities (SEND)</b> – Improve personal outcomes for our young people with SEND to enable them to make choices that lead to successful adult lives	<b>Percentage of Education Health and Care Plans completed in statutory timescales (based on Conversions from Statements to EHCP cumulative from September 2014) (Priority measure)</b>	Karen Borthwick - CYPs	high	Monthly	90% by April 2018	●	↻		85.5% (note - the Corporate Plan states 81.6%)	58%	52%	52%	58%	53%	55%	58%	Data relates to completion of EHC plans within the reporting period (based on conversions from statement to EHCP). Performance is cumulative from September 2014 to March 2017.
		1.B8	<b>Sustainable Education and Skills</b>	% of children aged 0-5 living in the Rotherham area who are registered with a Children's Centre	David McWilliams - CYPs	High	Quarterly	95%	✗	↻	98.2%	91.4%	89%	91%	93%	94%				Data available on a quarterly basis. This involves a data collection from children centres and validation process therefore there may be a time lag between quarter end and availability of data. Target has changed from 94% to 95% so that it is in line with OFSTED requirements
		1.B9 (a)	<b>Sustainable Education and Skills</b> – ensure that all vulnerable groups attain at the same level as their peers	a) % "Looked After Children" (LAC) achieving Level 4 or above at Key stage 2 for reading, writing and maths combined	Karen Borthwick - CYPs	high	Annual	NA – New measure	■	NA – New measure	NA – New measure					23.8%			23.8%	Performance slightly below national LAC (25.1%) and Yorkshire and Humber (25%). New measure and targets are yet to be agreed.
		1.B9 (b)		b) % "Looked After Children" (LAC) achievement against Key stage 4 Progress 8 measure	Karen Borthwick - CYPs	high	Annual	NA – New measure	■	NA – New measure	NA – New measure					-0.94%			-0.94%	Performance above both national LAC (-1.14) and Yorkshire and Humber (-1.16). New measure and targets are yet to be agreed.
	NOTE:		For attainment of vulnerable groups and adult learning please see Priority 4																	
families are enabled to live healthier lives	Terri Roche, Director Public Health	1.C1		<b>Smoking status at time of delivery (women smoking during pregnancy) (Priority measure)</b>	Jo Abbott - Public Health	Low	Quarterly/ Annual	18.4% by 2016/17 (local target)	✓	↻	18.3%	18.1%	19.1%	12.1%	19.9%	17.0%			National ambition 11% or less by the end of 2015. 2016/17 full year for Rotherham = 17.0% so local target achieved.	
		1.C2 (a)	<b>Deliver services for the 0-19 year olds</b> – to support children and families to achieve and maintain healthier lifestyles	<b>Reduce year-on-year levels of childhood obesity for: a) Reception year children (age 4/5) (Priority measure)</b>	Jo Abbott - Public Health	Low	Annual	Downward trend in excess weight by 2020	■		9.9%	10.3%							PH indicators dependent on annual data.	
		1.C2 (b)		<b>Reduce year-on-year levels of childhood obesity for: b) Year 6 children (age 10/11) (Priority measure)</b>	Jo Abbott - Public Health	Low	Annual	Downward trend in excess weight by 2020	■		21.6%	21.8%							PH indicators dependent on annual data.	
		1.C3		Chlamydia detection rate (15-24 year olds) - CTAD (Persons)	Jo Abbott - Public Health	High	Annual	At least 2,300 per 100,000 (national target)	■		2,141 per 100,000 (2014)	1,738 per 100,000 (2015)							PH indicators dependent on annual data. Improvement plan in place. Provider working with Sexual Health Facilitator at Public Health England to improve rates. The latest returns from the service show Rotherham's position moving from red to amber (based on interim data to February 2017)	

Outcome	Lead Accountability (Strategic Director)	Ref No.	Action	Measure	Lead officer	Good performance	Frequency of reporting	Target	Data available dependent upon the frequency of reporting										Data notes (where measure has not progressed in accordance with the target set provide details of what is being done to improve performance)		
									Overall status	DOT	Annual		Quarterly				Monthly				
											Year end 2014/15	Year end 2015/16	Q1 Apr - Jun 2016	Q2 Jul - Sep 2016	Q3 Oct - Dec 2016	Q4 Jan - Mar 2017	Jan-17	Feb-17		Mar-17	
C. Children, young people and	Ian Thomas, Strategic Director Children and Young People's Services	1.C4 (a)	Ensure that all children and young people with <b>emotional wellbeing and mental health needs</b> , receive prompt support and treatment	% of referrals triaged for urgency within 24 hours of receipt.	Linda Harper	High	Monthly	100%	✓	↻	90.5%	99.4%	88.2%	100%	100%	100%	100%	100%	100%	100%	Consistently achieved, therefore no exception required
		1.C4 (b)		% of triaged referrals that were assessed within 3 weeks.	Linda Harper	High	Monthly	95%	✗	⬇	27.8%	26.3%	26.4%	28.60%	24.00%	27.50%	31.00%	21.30%	27.50%	27.50%	27.5% of triaged referrals were assessed within 3 weeks. This is a 6.27% increase from the previous months position of 21.3%. When reported against a 6 wks. target 40% were assessed within 6 wks. The average waiting time was 49 days. Longest patient still waiting for assessment was 97 days (13.9 wks.). However, it should be noted that as the service reduces the waiting lists and sees patients who have been waiting for more than 3/6 weeks, this will effect the percentage compliance.

Corporate Priority 2 – Every adult secure, responsible and empowered

Key	Overall status (relevant to target)					
	✓	Measure progressing above or in line with target set	✘	Measure under development (e.g. awaiting data collection or target-setting)		
	●	Measure progress has been satisfactory but is not fully reaching target set	□	Measure not applicable for target (e.g. baseline year, or not appropriate to set a specific target)		
	✘	Measure has not progressed in accordance with target set	■	Measure information not yet available (e.g. due to infrequency or timing of information/data)		

Outcome	Lead Accountability (Strategic Director)	Ref No.	Action	Measure	Lead officer	Good performance	Frequency of reporting	Target	Overall status	DOT	Data available dependent upon the frequency of reporting							Data notes (where measure has not progressed in accordance with the target set provide details of what is being done to improve performance)			
											Annual		Quarterly				Monthly				
											Year end 2014/15	Year end 2015/16	Q1 Apr - Jun 2016	Q2 Jul - Sep 2016	Q3 Oct - Dec 2016	Q4 Jan - Mar 2017	Jan-17		Feb-17	Mar-17	
A. Adults are enabled to live healthier lives	Terri Roche, Director Public Health	2.A1	Implement <b>Health and Wellbeing Strategy</b> to improve the health of people in the borough	Smoking prevalence (18+) (Priority measure)	Jo Abbott - Public Health	Low	Annual	Reduction of 1 percentage point each year from baseline position.	■		19.4% (2014) (18.4% in Plan)	18.0% (2015)							PH indicators dependent on annual data. Target = local target. National ambition to reduce to 18.5% by the end of 2015. This was achieved locally. Adult smoking data in PHOF now sourced solely from the Annual Population Survey. This affects data shown.		
		2.A2		% of physically inactive adults (aged 16+)	Jo Abbott - Public Health	Low	Annual	No national target but local aim to increase physical activity for people with long term conditions	■		31.5% (2014)	30.6% (2015)								PH indicators dependent on annual data	
		2.A3		Excess weight in adults (aged 16+)	Jo Abbott - Public Health	Low	Annual	National ambition: a downward trend in the level of excess weight averaged across all adults by 2020.	■		73.3% (2012-14)	76.2% (2013-15)								PH indicators dependent on annual data. Based on a survey of self-reported data and small sample size. To note, Rotherham has successfully applied for funding to deliver the second wave of the National Diabetes Prevention Programme. A likely benefit of the Programme is the reduction of excess weight in adults.	
		2.A4		Suicide rate (all ages) (Persons)	Jo Abbott - Public Health	Low	Annual	No national target but national recommendation to have a local action plan	■		10.9 per 100,000 (2012-14) (9.7 in Plan)	14.2 per 100,000 (2013-15)									PH indicators dependent on annual data. Definition change in PHOF. Data for 2013-15 and retrospective data revised. Actions developed to reduce the rate include: monitoring progress on the Action Plan; men's suicide prevention campaign; young people's mental health campaign; a critical incident response checklist for schools; Samaritans/South Yorkshire Police support for bereaved adults; and prevention activity in Wentworth Valley (more detail in Q4 Narrative)
		2.A5 a)		Successful completion of drug treatment – a) opiate users (aged 18-75)	Jo Abbott - Public Health	High	Annual	No national target. Local ambition to be within LA Comparators Top Quartile	■		7.3% (2014)	6.3% (2015)									The early gains achieved by changing the GP contract which increased the number of service users recovering and leaving treatment have now slowed down, leaving service users who are increasingly long term and complex. Public Health continue to work with Providers to improve services. A definition change may also have affected data and trend.
		2.A5 b)		Successful completion of drug treatment –b) non-opiate users (aged 18-75)	Jo Abbott - Public Health	High	Annual	As above	■		54.9% (2014) (52.6% in Plan)	42.9% (2015)									Rotherham's performance on non-opiate recovery has recently declined which is a changed trend as performance in this area has previously been good. Service providers are reporting changes in patterns of drug use which is reflected in the national picture and Public Health are in dialogue about this, and the decline in performance. A definition change may also have affected data and trend.
Shokat Lal, Assistant Chief Executive	2.A6 a)	Support vulnerable people in times of crisis	Number of people supported through welfare provision - Food parcels provided	Jackie Mould, Assistant Chief Executive's Directorate	Not applicable	Quarterly (Monthly data also available)	Not target - not applicable	□		Not available	2,526	810 food parcels	892 food parcels	787 food parcels	621 food parcels	269 food parcels	260 food parcels	92 food parcels	Note that the March data is incomplete with only 9 out of 17 returns received. The Local Welfare Provision (LWP) measure is split and includes food parcels provided, whereas the data collected includes the number of individual beneficiaries (adults and children) and crisis loans, which just register the number of loans, not the numbers of households benefitting. There is other food in crisis provision in Rotherham, but this is not directly funded through LWP. Council-wide/partnership service.		
	2.A6 b)		Number of people supported through welfare provision - Crisis loans	Jackie Mould, Assistant Chief Executive's Directorate	Not applicable	Quarterly (Monthly data also available)	Not target - not applicable	□		Not available	1,041	248 loans (£20,706 value)	130 loans (£10,325 Value)	109 loans (£8,425 Value)	194 loans (£15,258 Value)	74 loans (£4,875 value)	61 loans (£5,299 value)	59 loans (£5,084 value)	As above		
		2.B1	Implement the new <b>Adult Safeguarding Strategy</b> to prevent neglect and abuse, embed making safeguarding personal and provide support to victims, linked to the corporate Safeguarding Strategy	No. of Safeguarding investigations (Section 42 enquiries) completed (Priority measure)	Sam Newton - Adult Social Care and Housing	High	Quarterly	Baseline year	□	🕒	Not available	568	130	95 (revised)	62 (Oct-Nov only)	437 (Apr-Mar)			New measure 2015/16 based on new adults safeguarding collection and Care Act changes to safeguarding. Data not robust enough to use for full year target setting in 16/17 but in year quarter and year to date (accumulative) comparisons will be possible during 16/17. Q4 figure is a full year total. The total has been calculated from merged data across two systems. The fall in numbers completed between years is impacted by data processing and recording differences between systems.		

Outcome	Lead Accountability (Strategic Director)	Ref No.	Action	Measure	Lead officer	Good performance	Frequency of reporting	Target	Data available dependent upon the frequency of reporting										Data notes (where measure has not progressed in accordance with the target set provide details of what is being done to improve performance)		
									Overall status	DOT	Annual		Quarterly				Monthly				
											Year end 2014/15	Year end 2015/16	Q1 Apr - Jun 2016	Q2 Jul - Sep 2016	Q3 Oct - Dec 2016	Q4 Jan - Mar 2017	Jan-17	Feb-17		Mar-17	
B. Individuals and carers are supported to be safe, independent and resilient within a personalised model of care and support	Anne Marie Lubanski, Strategic Director Adult Social Care and Housing (Commenced 8th August 2016).	2.B2	Integrate health and care services to consolidate and share resources to reduce duplication and provide excellent services	Average delayed transfers of care from hospital attributable to adult social care or both health and adult social care per 100,000 population (Priority measure)	Sam Newton - Adult Social Care and Housing	Low	Quarterly	1.5	✗	🔄	2.3	1.6	2.9	2.1	2.38 (Nov data)	2.45				Data provided by NHS England, Data shows "as at" position at the end of each quarter for the latest published figures – data is as at March 2017.	
		2.B3	People get the information and advice early and help to make informed choices about care and support	Number of people provided with information and advice at first point of contact (to prevent service need)	Sam Newton - Adult Social Care and Housing	High	Quarterly	Baseline year	☐	⬆️		944	719	824	587 (Oct-Nov only)	2780 (Apr-Mar)				New for Corporate Plan. Note - process for capturing implemented November 2015 so data not robust enough to use for full year target setting in 16/17.	
		2.B4 (a)	Improved approach to personalised services – always putting users and carers at the centre of everything we do	Proportion of Adults receiving long term community support who receive services via self-directed support (Priority measure)	Sam Newton - Adult Social Care and Housing	High	Quarterly	76%	✔️	⬆️	76.4%	75.7%	79.6%	79.9%	78.68% (Oct-Nov only)	78.3%				Data shows "as at" position at the end of full year Apr-Mar.	
		2.B4 (b)		Proportion of Carers in receipt of carer specific services who receive services via self-directed support (Priority measure)	Sam Newton - Adult Social Care and Housing	High	Quarterly	46.7%	✗	🔄	0%	29.2%	100%	100%	100% (Oct-Nov only)	6.02%				Data shows "as at" position at the end of each quarter, MH data included at Q4 - impact on score from Q3 figures due to both impact of Mental Health year end data being merged to other ASC data. MH have offer includes provision of commissioned services which reduce the total number and % provided by SDS (which is standard ASC default offer and why in year figures showed 100%) servicer and how data is represented in Liquidlogic (LAS) from migrated historical data and new recording processes. Carer's data activity has been derived from LAS standard reporting tables and are not comparable to previous bespoke in year qtr reporting. New reporting tool to be developed for 17/18 and possible pre-publish revision of 16/17 data.	
		2.B5		Number of carers assessments	Sam Newton - Adult Social Care and Housing	High	Quarterly	2500	✗	🔄	2566	2420	430	341	164 (Oct-Nov only)	466 (year end total)				This figure accumulates in year, activity for both Q1 and Q2 is below expected. Issues have been identified with numbers of carer assessments recorded by our MH partner and these are being addressed by service. Further discussions with service will identify plans to improve in Q3 and Q4. Year end total from data submitted in SALT return and comprises of RDASH and 'out of the box' Liquidlogic data and impact is similar to comments made on carer's assessments above (2B.5).	
		2.B6	Modernise Enablement Services to maximise independence, including: • Intermediate care • Enabling • Prevention agenda • Developing community assets	The proportion of people (65+) still at home 91 days after discharge into rehabilitation (Priority measure)	Sam Newton - Adult Social Care and Housing	High	Annual	91%	✗		83.5%	89.6%					87.50%				Data captured Oct-Mar (discharges Oct-Dec followed up 91 days later) based on 126 clients living at home after 91 days (144 eligible cohort)
		2.B7		No of admissions to residential rehabilitation beds (Intermediate Care)	Sam Newton - Adult Social Care and Housing	High	Quarterly	600	✔️	⬆️	587	613	153	159	186	656 (Apr-Mar)					Accumulative measure progressed in year in line with target and exceeded target by year end.
		2.B8		Proportion of new clients who receive short term (enablement) service in year with an outcome of no further requests made for support	Sam Newton - Adult Social Care and Housing	High	Quarterly	74% (2015/16) 2016/17 target tbc	✗	🔄	85.2%	86.1%	95.6%	85.0%	Data not available for Q3 from LAS, to be provided Q4	81.9% (year end)				Data shows "as at" position at the end of each quarter for qtr 1-3. The Q4 figure shows full year performance from derived LAS 'out of box' reporting	
		2.B9 a)	Development of Adult Care Market Position Statements to provide alternatives to traditional care, maximise independence and stimulate the market	a) Permanent admissions to residential care for adults (Priority measure)	Nathan Atkinson - Adult Social Care and Housing	Low	Quarterly	17.6 (27 admissions)	✔️	⬆️	12.3 (20 admissions) Accumulative	20.03 (31 admissions)	1.94 (3 admissions)	4.52 (7 admissions)	7.75 (12 admissions Apr - Nov data)	17.44 (27 admissions)					Data shows "as at" accumulative position at the end of each quarter. Qtr 4 is full year reporting from LAS 'out of box' this is subject to possible change as may be lower (as per indications Q1-3) and if possible revised in the national re-submission window.
		2.B9 b)		b) Permanent admissions to residential care for older people (Priority measure)	Nathan Atkinson - Adult Social Care and Housing	Low	Quarterly	797 (390 admissions)	✔️	⬆️	958.5 (469 admissions) Accumulative	819.52 (401 admissions)	102.18 (50 admissions)	224.81 (110 admissions)	320.4 (159 admissions Apr - Nov data)	662.97 (329 admissions)					Data shows "as at" accumulative position at the end of each quarter. Figures are from verified in place RMBC data systems not LAS 'out of box' so are more robust.
2.B9 c)	c) % spend on residential and community placements (Priority measure)	Sam Newton - Adult Social Care and Housing		Low residential and high community placements	Quarterly	Baseline year	☐	🔄	Not available - not previously been required	Not available - not previously been required	Residential 38.48% (against budgeted 35.35%) Community 46.23% (against budgeted 40.56%)	Residential 36% (against budgeted 35.35%) Community 44% (against budgeted 40.56%)	Residential 38% (against budgeted 35.35%) Community 46% (against budgeted 40.56%)	Residential 38.61% (against budgeted 35.45%) Community 45.57% (against budgeted 41.36%)					New for corporate plan and measure reports Net % spend compared to % budgeted. Q4 reflects slight amendments to budgets.		

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									Overall status	DOT	Annual		Quarterly				Monthly			
											Year end 2014/15	Year end 2015/16	Q1 Apr - Jun 2016	Q2 Jul - Sep 2016	Q3 Oct - Dec 2016	Q4 Jan - Mar 2017	Jan-17	Feb-17		Mar-17
		2.B10	Adults with learning disabilities are supported into employment enabling them to lead successful lives	Supporting people with a Learning Disability into employment	Sam Newton - Adult Social Care and Housing	High	Quarterly	6.0%	X	U	6.0%	5.6%	5.7%	5.7%	5.56% [39 people/702 on service] (Apr-Nov)	4.39				Data shows "as at" position at the end of each quarter. End of year data based on 31 people in employment/706 in receipt of Long Term Service(LTS) some of previous year people no longer are counted as current support package is not an LTS or have lost their employment by year end.
		2.B11 a)	Improve satisfaction levels of those in receipt of care and support services	Overall satisfaction of people who use care and support services - a) service users	Sam Newton - Adult Social Care and Housing	High	Annual	72%	X	U	65.0%	70.0%				69				Annual score collected in ASC User Survey
		2.B11 b)		Overall satisfaction of people who use care and support services - b) carers	Sam Newton - Adult Social Care and Housing	High	Biennial	50%	X	U	48.6%	Biennial				42.9				Biennial collection from carers survey next schedule 16/17.

Corporate Priority 3 – A strong community in a clean safe environment

Key	Overall status (relevant to target)			
	✔	Measure progressing above or in line with target set	✘	Measure under development (e.g. awaiting data collection or target-setting)
	●	Measure progress has been satisfactory but is not fully reaching target set	□	Measure not applicable for target (e.g. baseline year, or not appropriate to set a specific target)
	✘	Measure has not progressed in accordance with target set	■	Measure information not yet available (e.g. due to infrequency or timing of information/data)

Outcome	Lead Accountability (Strategic Director)	Ref No.	Action	Measure	Lead officer	Good performance	Frequency of reporting	Target	Overall status	DOT	Data available dependent upon the frequency of reporting							Data notes (where measure has not progressed in accordance with the target set provide details of what is being done to improve performance)		
											Annual		Quarterly				Monthly			
											Year end 2014/15	Year end 2015/16	Q1 Apr - Jun 2016	Q2 Jul - Sep 2016	Q3 Oct - Dec 2016	Q4 Jan - Mar 2017	Jan-17		Feb-17	Mar-17
A. Communities are strong and help people to feel safe	Damien Wilson, Strategic Director Regeneration and Environment	3.A1	Ensure that the Safer Rotherham Partnership is robust and fit for purpose. Develop an effective Community Safety Strategy and Performance Management Framework	Reported instances of anti-social behaviour in Rotherham	Karen Hanson - Regeneration and Environment	Low	Quarterly	5% reduction on 2015-16	✘	⬆️	15,553 Incidents	14,355 Incidents 8% Decrease (1,198)	3,835 - a 7% increase (257 on Q1 15/16)	4295 - a 12% increase (446 on Q2 15/16)	3,298 - a 3% reduction (114) on Q3 15/16	2,700 - a 23% reduction (816) on Q4 15/16				Q 4 has seen a 23% (816 incident) reduction in reported ASB compared to the same period in 2015/16. At the end of 16/17 there had been 14,128 recorded incidents of ASB, a 1% reduction (213 incidents) compared to 2015/16. Performance in Q4 continued the downward trend first seen in the previous quarter.
		3.A2		Reported instances of hate incidents in Rotherham	Karen Hanson - Regeneration and Environment	Not applicable	Quarterly	No Target - Not Applicable (Note - Corporate Plan stated 25% increase on 2015-16)	□		178 Incidents	254 Incidents 43% Increase (76)	85, a 93% increase (41 incidents) on same period 15/16	Hate Crime 79, a 22% (14 on Q2 15/16) Hate Incidents 67, an 86% increase (31 on Q2 15/16)	Hate Crime 83, a 12% (9 on Q3 15/16) Hate Incidents 55, a 72% increase (23) on Q3 15/16	Hate Crime 100, a 37% increase (27) on Q4 15/16 Hate Incidents 46, a 6% reduction (3) on Q4 15/16				Actions across The Safer Rotherham Partnership to build public awareness and confidence to report hate are continuing. For this reason, it is not considered appropriate to have a target to reduce reported incidents and increases are seen as a positive response.
		3.A3		Reported instances of domestic abuse in Rotherham	Karen Hanson - Regeneration and Environment	Not applicable	Quarterly	No Target - Not Applicable (Note - Corporate Plan stated 10% increase on 2015-16)	□		1,384 Incidents	1,770 Incidents 28% Increase (386)	503, a 19% increase (80 incidents) on same period 15/16	Crimes 473, a 7% increase (32 on Q2 15/16) Incidents 1205, a 2% increase (19 on Q2 15/16)	632, a 43% increase (189) on Q3 15/16	689, a 50% increase (231) on Q4 15/16				Actions across The Safer Rotherham Partnership to build public awareness and confidence to report hate are continuing. For this reason, it is not considered appropriate to have a target to reduce reported incidents and increases are seen as a positive response.
		3.A4	Ensure an robust, effective and efficient licensing service	% of licence holders that demonstrate adherence to the requirements of the Council's Hackney Carriage and Private Hire Policy (Priority measure)	Karen Hanson - Regeneration and Environment	High	Quarterly	100% of 1) eligible licence holders that have subscribed to the DBS online update service; 2) drivers that have completed the council's safeguarding awareness course; 3) vehicles that, where required to do so, have had a taxi camera installed (or are committed to having one installed); 4) drivers that have obtained the BTEC / NVQ qualification.	✘	⬆️	Not available - new measure	Not available - new measure	Q2 was first reporting	Figures for each sub-indicator: 1) 100% 2) 97% 3) 96% 4) 56%	Figures for each sub-indicator: 1) 100% 2) 98% 3) 98% 4) 62%	Figures for each sub-indicator: 1) 100% 2) 99% 3) 99.5% 4) 75%				This indicator comprises of 4 main elements to achieve the overall target; subscription to the DBS update service, completion of safeguarding training, taxi camera installation and attainment of BTEC / NVQ qualification. The successful implementation of each of these four requirements is being monitored, and the reported figure is based on the compliance rate for whichever of these requirements it is that has the lowest compliance level.  Officers within the Licensing team have identified all current drivers that have yet to provide evidence that they meet the qualification requirement. These drivers will be contacted by letter in the first quarter of the 2017/18 financial year and asked to provide evidence of their qualification – this will then allow for the targeted enforcement of the requirement by Licensing Enforcement Officers.
		3.A5 a)	Rotherham residents are satisfied with their local area and borough as a place to live	a) How satisfied or dissatisfied are you with your local area as a place to live	Leona Marshall, Assistant Chief Executive's office	High - very or fairly satisfied	6 monthly	>79%	✔	⬆️		79% June 2015 82% December 2015 satisfied or fairly satisfied	80% June 2016 satisfied or fairly satisfied		81% December 2016 satisfied or fairly satisfied					The LGA polling on resident satisfaction is conducted on a 6 monthly basis and was requested by the Commissioners.
		3.A5 b)		b) Overall, all things considered, how satisfied or dissatisfied are you with Rotherham Borough as a place to live	Leona Marshall, Assistant Chief Executive's office	High - very or fairly satisfied	6 monthly	>69%	✘	⬆️		69% June 2015 61% December 2015 very or fairly satisfied	62% June 2016 satisfied or fairly satisfied		66% December 2016 very or fairly satisfied					The LGA polling on resident satisfaction is conducted on a 6 monthly basis and was requested by the Commissioners.
		3.A6	Create a rich and diverse cultural offer and thriving Town Centre	Number of people borrowing books and other materials (Cumulative) (Priority measure)	Polly Hamilton - Regeneration and Environment	High	Quarterly	25,000	✘	⬇️	25,684	22,472	11,717	16,621	18,980	21,158				The outturn demonstrates a 5.8% reduction on performance in 2015/16. Benchmarking confirms that this is both a regional and national trend. The emerging role of libraries as neighbourhood hubs presents many opportunities to encourage new and repeat visitors. The future challenge will be to encourage those visitors to become and develop as readers.
		3.A7		Aggregate Pedestrian footfall in the Town Centre	Paul Woodcock - Regeneration and Environment	High	Quarterly	>23,699,399	✘	⬇️	Not available	23,699,399	5,641,296	5,898,148	5,492,033 (17,031,477 - Cumulative)	4,808,955 (21,851,449 - Cumulative)				The actual figures for 2016/17 are slightly below target which reflects the national picture, which has seen a six-month consecutive decline. As the town centre masterplan is nearing completion, it is anticipated the developments will reverse the recent decline in footfall
		3.B1		Levels of Street Cleanliness not more that 5% of sites are considered to be below standard (Grade A or B in CoP)	Karen Hanson - Regeneration and Environment	Low	Quarterly	<5%	✔	⬆️	0%	0%	0%	0%	0%	0%				Levels of Street Cleanliness have been maintained through the year. The Council has met its target to achieve its outturn figure of <5%



Outcome	Lead Accountability (Strategic Director)	Ref No.	Action	Measure	Lead officer	Good performance	Frequency of reporting	Target	Data available dependent upon the frequency of reporting									Data notes (where measure has not progressed in accordance with the target set provide details of what is being done to improve performance)			
									Overall status	DOT	Annual		Quarterly				Monthly				
											Year end 2014/15	Year end 2015/16	Q1 Apr - Jun 2016	Q2 Jul - Sep 2016	Q3 Oct - Dec 2016	Q4 Jan - Mar 2017	Jan-17		Feb-17	Mar-17	
B. Streets, public realm and green spaces are clean and well maintained	Damien Wilson, Strategic Director Regeneration and Environment	3.B2 (a)	Deliver a cleaner, greener Rotherham to ensure that it is a safe and attractive place to live, work and visit	Percentage of the principal road network in need of significant repair	Karen Hanson - Regeneration and Environment	Low	Annual	4%	✓	↻	3%	Not yet available				3%			The target is based on the national average condition and the Council aspires to be good or better.		
		3.B2 (b)		% of the non-principal road networks in need of repair	Karen Hanson - Regeneration and Environment	Low	Annual	7%	✓	↻	6%	Not yet available						7%		The target is based on the national average condition and the Council aspires to be good or better. The national average has improved from 7% to 6%	
		3.B2 (c)		% of unclassified roads in need of repair (Priority Measure)	Karen Hanson - Regeneration and Environment	Low	Annual	<28%	✓	↻	24%	24%	23%	23%	23%	23%				To achieve a target of below 22% by March 2018, however the national average target is 17%. The Council is investing £10m over three years - 2017 - 2020 to arrest the deterioration of this classification of highway and to bring the condition of Rotherham's roads closer to the National Average.	
		3.B3(a)		Effective enforcement action taken where evidence is found a) Fly Tipping (fixed penalty notices and prosecutions)	Karen Hanson - Regeneration and Environment	High	Quarterly	Baseline Year	□	↻	Not available - baseline year	Not available - baseline year	4	12	5	4					The cumulative outturn provides the baseline for future performance monitoring. Year end figure of 25 compares favourably with 17 for 2015/16, 12 for 2014/15 and 3 for 2013/14
		3.B3(b)		Effective enforcement action taken where evidence is found b) Other enviro-crime (fixed penalty notices and prosecutions)	Karen Hanson - Regeneration and Environment	High	Quarterly	Baseline Year	□	↻	Not available - baseline year	Not available - baseline year	14	7	164	117					The cumulative outturn provides the baseline for future performance monitoring. Year end figure of 302 compares favourably to the outturn for 2015/16 of 51, 62 for 2014/15, and 142 2013/14.
		3.B4(a)		Following re inspection of grounds maintenance works achieve no more than 5% defective/not to standard works (Priority measure)	Karen Hanson - Regeneration and Environment	Low	Quarterly	<5%	✓	↻	0%	0%	0%	0%	0%	0%					Performance has been maintained throughout the 4 quarters and the Council has confident the end target of <5% will be achieved.
		3.B4(b)		Number of grounds maintenance customer contacts	Karen Hanson - Regeneration and Environment	Low	Quarterly	<719	✗	↻	Not available	719	332	286	73	44 735 (Cumulative figure for year)					During Q4 44 members of the public made enquiries regarding grounds maintenance issues, of which 5 were classed as complaints within the service. No official complaints were raised. Overall 16 more enquiries were made in the year 16/17 than in the year 15/16. The three year average for 2014-16 is 967 enquiries compared with an average of 1069 enquiries for the years 2013-15. So whilst a small increase was seen in 2016, the overall trend is for fewer enquiries
		3.B5		Number of missed bins per 100,000 collections	Karen Hanson - Regeneration and Environment	Low	Quarterly	60	✓	↻	38.33	62.7	62.28	52.11 (57.17 -Year to Date)	38.21 (45.75 - YTD)	29.82 (46.92 - YTD)					Welcome improvement in the performance of this measure has been seen through out the year.
		3.B6		Ensure an efficient and effective waste and recycling service	% of waste sent for reuse (recycling and composting)	Karen Hanson - Regeneration and Environment	High	Quarterly	45%	✓	↻	40.02%	43.11%	Estimated Performance up to 30.6.16 = 50.34% Forecasted performance up to 31.3.17 = 44.99%	Performance (cumulative) up to 30.9.16 = 50.41% Forecasted performance up to 31.3.17 = 45.17%	Performance (cumulative) up to 31.12.16 = 47.28% Forecasted performance up to 31.3.17 = 45.1%	Forecasted performance 45.3%				The 45% target has been calculated using the performance of the PFI plant over 2015/16 and the 2015/16 performance rates from Kerbside, HWRC & Bring site recycling. Improvement in the performance of the PFI plant in Q4 has helped achieve this measure.

Corporate Priority 4 – Extending opportunity. Prosperity and planning for the future

Key	Overall status (relevant to target)					
	✓	Measure progressing above or in line with target set	✘	Measure under development (e.g. awaiting data collection or target-setting)		
	●	Measure progress has been satisfactory but is not fully reaching target set	□	Measure not applicable for target (e.g. baseline year, or not appropriate to set a specific target)		
	✘	Measure has not progressed in accordance with target set	■	Measure information not yet available (e.g. due to infrequency or timing of information/data)		

Outcome	Lead Accountability (Strategic Director)	Ref No.	Action	Measure	Lead officer	Good performance	Frequency of reporting	Target	Overall status	DOT	Data available dependent upon the frequency of reporting							Data notes (where measure has not progressed in accordance with the target set provide details of what is being done to improve performance)						
											Annual		Quarterly				Monthly							
											Year end 2014/15	Year end 2015/16	Q1 Apr - Jun 2016	Q2 Jul - Sep 2016	Q3 Oct - Dec 2016	Q4 Jan - Mar 2017	Jan-17		Feb-17	Mar-17				
A. Businesses supported to grow and employment opportunities expanded across the borough	Damien Wilson, Strategic Director Regeneration and Environment	4.A1	Deliver <b>economic growth</b> (via the Economic Growth Plan, Business Growth Board and Sheffield City Region)	Survival rate of new businesses (3 years) (Priority measure)	Paul Woodcock - Regeneration and Environment	High	Annual	57.5%	✓	↻	63.1%	60%				59.90%				Figure for 2016/17 was 2.4 percentage points above the target for 2016/17. Indicator is very volatile and should aim for a steady rise over the medium to long term				
		4.A2		Number of jobs in the Borough (Priority measure)	Paul Woodcock - Regeneration and Environment	High	Annual	1,000 new jobs p.a. (10,000 over 10 years). No specific target for 2016/17 until 2015/16 data is available	✓	↻	92,300	100,000						>100,000				Net growth in Rotherham job numbers has been 7,000 over the last 2 years. Number of jobs within the borough has exceeded 100,000 for the first time since prior to the recession in 2008		
		4.A3		Increase Number of Business Births / Start Ups per 10,000 Resident Population 16+ years old)	Paul Woodcock - Regeneration and Environment	High	Annual	50	✓	↻	47	47							52.6					
		4.A4		Overall number of businesses in the Borough (Priority measure)	Paul Woodcock - Regeneration and Environment	High	Annual	6,500	✓	↻	5,715	6,390							6,810					
		4.A5		Narrow the gap to the UK average on the rate of the working age population economically active in the borough	Paul Woodcock - Regeneration and Environment	Low	Quarterly	Reduce gap to 0.7%	✘	↻	2.8% gap	1% gap	2.60%	4.50%	6.0%	Data not Available until later in Financial Year.								Figure substantially below the target. This can be partially attributed to the fluctuations in the figures, with a 4 quarter rolling average giving a less volatile result and the gap dropping to 3.4 percentage points. Even with this method there has been a drop in the Rotherham rate and this needs further investigation.
		4.A6		Median average gross weekly wage for full-time employees working in the borough. Percentage of UK average	Paul Woodcock - Regeneration and Environment	High	Annual	91.5%	■		90.7%	89.9%												Please note, data obtained from ONS, latest data received at the end of 2016 and shows the position at 01/04/16. Although a slight decline is shown year on year, the Annual Survey of Hours and Earnings, (ASHE) is unreliable at a local authority level given small sample size – it can fluctuate significantly from year to year and it is the longer term trend that is important (Rotherham has been around 90% of UK for several years). In view of the volatility of the survey the decline is not considered to be of concern.
Hed, private rented or home ownership sector		4.B1	Implement the Housing Strategy 2016-2021	Number of new homes delivered during the year (Priority measure)	Tom Bell - Adult Social Care and Housing	High	Annual (interim quarterly data also available)	731	✘	↻	633	663	201	178	123	91					91 new homes have been completed in quarter 4, 32 properties fewer than quarter 3, 87 fewer than quarter 2 and 110 less than quarter 1. This means 593 new homes have been built in the borough against a set target of 731. The DOT rating for this indicator is based on the comparable performance between quarters 4 and quarter 3.			
		4.B2		% of stock that is non-decent (Priority measure)	Tom Bell - Adult Social Care and Housing	Low	Annual (interim quarterly data also available)	0.5%	✓	↻	0% (note Corporate Plan stated - 0.67%)	0% (note Corporate Plan stated 1.3%)	1.30%	0.18%	0.13%	0.00%						Performance is 0.13% lower (better) than in quarter 3. Work has been undertaken during the final quarter of the year by the Councils partners Fortem and Morrisons to bring the remaining 26 properties in the borough up to a minimum standard of decency which means 0.0% of the Council housing stock is non - decent. The DOT rating for this indicator is based on the comparable performance between quarters 4 and quarter 3.		

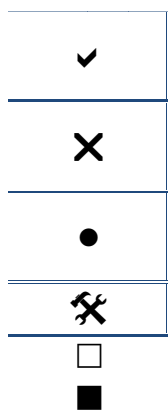
Outcome	Lead Accountability (Strategic Director)	Ref No.	Action	Measure	Lead officer	Good performance	Frequency of reporting	Target	Data available dependent upon the frequency of reporting										Data notes (where measure has not progressed in accordance with the target set provide details of what is being done to improve performance)		
									Overall status	DOT	Annual		Quarterly				Monthly				
											Year end 2014/15	Year end 2015/16	Q1 Apr - Jun 2016	Q2 Jul - Sep 2016	Q3 Oct - Dec 2016	Q4 Jan - Mar 2017	Jan-17	Feb-17		Mar-17	
B. People live in high quality accommodation which meets their need, whether in the social rent	Anne Marie Lubanski, Strategic Director Adult Social Care and Housing (Commenced 8th August 2016).	4.B3	2016-2019 to provide high quality accommodation	Number of new social rented homes started in year	Tom Bell - Adult Social Care and Housing	High	Annual (interim quarterly data also available)	60	✓	⬆️	49	77	46	4	2	9				7 more new homes have been built to rent in this quarter than for quarter 3. This means the Council has built 61 new homes to rent in the year which is 1 property more than the target of 60 properties it set itself at the beginning of the year. The DOT rating for this indicator is based on the comparable performance between quarters 4 and quarter 3.	
		4.B4		Number of new affordable home ownership units started in year	Tom Bell - Adult Social Care and Housing	High	Annual	148	✗	⬆️	51	58	2	2	7	0				No new affordable home ownership units were built in quarter 4 which is 7 less units than were delivered in quarter 3. Following recent government announcements made by the Government to provide additional funding to build more new homes in Rotherham the Council is confident the numbers of new affordable home ownership units will be increased next year. The DOT rating for this indicator is based on the comparable performance between quarters 4 and quarter 3.	
		4.B5(a)	Private rented housing – improving standards through selective licensing	% of eligible properties which have applied for a license, within Selective Licensing areas (Priority measure)	Karen Hanson - Regeneration and Environment	High	Monthly	95%	✓	⬆️	Not available	87%	84%	91%	92%	96%	94%	95%	100%	Performance is 4% above quarter 3 and 1% above the overall target for the year of 95%. The DOT rating for this indicator is based on the comparable performance between quarters 4 and quarter 3.	
		4B5(b)		% of privately rented properties compliant with Selective Licensing conditions within designated areas (Priority Measure)	Karen Hanson - Regeneration and Environment	High	Monthly	70%	✓	⬆️	Not available as not previously required	Not available as not previously required				85%	87%	85%	82%	Performance is 15% above annual target but 5% lower than it was at the beginning of quarter 4. The 5% fall in performance is due to the increased numbers of inspections being carried out. Compliance levels are also expected to fluctuate further depending on the numbers of inspections carried out and number of properties becoming broadly compliant	
C. Adults supported to access learning improving their chances of securing or retaining employment	Ian Thomas, Strategic Director Children and Young People's Services	4.C1	Adults are supported and have access to learning opportunities	Increase the number of people aged 19+ supported through a learning programme	Karen Borthwick - CYPS	high	Annual (academic year from September to July)	1,950 (target amended from 450 increase to the overall number expected)	■	⬆️	1,266 (figure amended to overall out-turn rather than increase of 289 in line with target)	1,500 (figure amended to overall out-turn rather than increase of 264 in line with target)								The majority of learners participating in accredited courses will not complete until later in the academic year. The ACL Service is performing poorly in terms of learner enrolments – 664 against an April profile target of 1,560 (academic year target of 1,950). However, a review of learning place capacity and significant partnership work with other Council services has resulted in 1,014 learning places being made available from 24 April to 31 July 2017.	
		4.C1 a)		Increase the % of people aged 19+ supported through a learning programme who have: a) Obtained a formal qualification	Karen Borthwick - CYPS	high	Annual (academic year from September to July)	95%	■	⬆️	94%	95%									The majority of learners participating in accredited courses will not complete until later in the academic year. So far we have only had results for 51 learners. For those learners the success rate is 55%.
		4.C1 b)		Increase the % of people aged 19+ supported through a learning programme who have: b) Progressed/working towards another level	Karen Borthwick - CYPS	high	Annual (academic year from September to July)	40%	■	⬆️	26%	41%									Most of the learners are still actively learning so the progression data for learners is not calculated until the end of the academic year.
		4.C1 c)		Increase the % of people aged 19+ supported through a learning programme who have: c) Obtained or got a better job	Karen Borthwick - CYPS	high	Annual (academic year from September to July)	20%	■	⬆️	12%	13%									Most of the learners are still actively learning so the progression data regarding employment is not calculated until the end of the academic year.
		4.C2		Increase the number of people working towards an English for Speakers of Other Languages (ESOL) accredited qualification	Strategic Director CYPS	High	Annual (academic year from September to July)	50	■	⬆️	70	67									

Corporate Priority 5 – A modern, efficient Council

Key	Overall status (relevant to target)			
	✓	Measure progressing above or in line with target set	✘	Measure under development (e.g. awaiting data collection or target-setting)
	●	Measure progress has been satisfactory but is not fully reaching target set	□	Measure not applicable for target (e.g. baseline year, or not appropriate to set a specific target)
	✘	Measure has not progressed in accordance with target set	■	Measure information not yet available (e.g. due to infrequency or timing of information/data)

Outcome	Lead Accountability (Strategic Director)	Ref No.	Action	Measure	Lead officer	Good performance	Frequency of reporting	Target	Overall status	DOT	Data available dependent upon the frequency of reporting									Data notes (where measure has not progressed in accordance with the target set provide details of what is being done to improve performance)	
											Annual		Quarterly				Monthly				
											Year end 2014/15	Year end 2015/16	Q1 Apr - Jun 2016	Q2 Jul - Sep 2016	Q3 Oct - Dec 2016	Q4 Jan - Mar 2017	Jan-17	Feb-17	Mar-17		
A. Maximised use of assets and resources and services demonstrate value for money	Judith Badger, Strategic Director Finance and Customer Services	5.A1	Maximising the local revenues available to fund council services	% Council Tax collected in the current financial year	Graham Saxton - Finance and Customer Services	High	Monthly	97% (Top Quartile Met Authorities)	✓	🔄	97.2%	97.3%	27.7%	54.3%	80.8%	97.3%	89.8%	93.7%	97.3%	The final performance figure for 2016/17 is 97.3% which is the same as in 2015/16. For Council Tax in 2015/16 we were 4th highest Met (out of 36). The Met Council average for 15/16 was 95.4%, but this figure can be influenced by the design of local council tax support schemes. The national performance figures for 2016/17 will be published in June 2017.	
		5.A2		Cumulative Council Tax arrears per property	Graham Saxton - Finance and Customer Services	Low	Annual (interim quarterly and monthly data also available)	£109.22 (Top Quartile Met Authorities)	✓	🔄	£66.98	£68.12	£58.59	£51.06	£46.07	£69.13	£44.09	£42.73	£69.13	The final performance figure for 2016/17 is £69.13 per property which is £1.01 higher than in 2015/16. For 15/16 we were the third best Met Council with £68.12 per property. The Met Council average for 15/16 was £148.58 but this figure can be influenced by the design of local council tax support schemes. The national performance figures for 2016/17 will be published in June 2017.	
		5.A3		% non-domestic (business) rates collected in the current financial year	Graham Saxton - Finance and Customer Services	High	Monthly	98% (Top Quartile Metropolitan Authorities)	✓	🔄	98.3%	98.1%	28.4%	54.9%	81.7%	98.3%	91.9%	94.6%	98.3%	The final performance figure for 2016/17 is 98.3% which is 0.2% higher than in 2015/16. For Non Domestic Rates in 15/16 we were 8th highest Met (out of 36) with 98.1%. The Met Council average for 15/16 was 97.2%. The national performance figures for 2016/17 will be published in June 2017.	
B. Effective governance arrangements and decision making processes are in place	Shokat Lal, Assistant Chief Executive	5.B1	The Scrutiny function is effective; engages members and improve outcomes for Rotherham residents and communities	Establishing and working to a new Local Code of Corporate Governance, encompassing: • Risk management • Information governance (including FOI/DSA) • Business continuity • Internal audit • Emergency planning	Simon Dennis - Assistant Chief Executive's Directorate	n/a	Annual	Improved Annual Governance Statement in 2016/17	■		Qualified Conclusion reached	Qualified Conclusion reached									The final 2015/16 AGS was published on 30 September 2016. This includes an overall qualified conclusion on the Council's governance arrangements. Work to draw together the 2016/17 AGS has commenced by the Statement will not be published until the end of June 2017.
	Shokat Lal, Assistant Chief Executive	5.B2		% of scrutiny recommendations which are accepted and implemented	James McLaughlin, Assistant Chief Executive's Directorate	High	Quarterly	80%	■		Not available - not previously been required	Not available - not previously been required	0	0	0	0					Whilst there are no recorded scrutiny recommendations recorded as being accepted and implemented, it should be noted that there are a number of decisions that have been taken by Cabinet and actions implemented that have arisen directly from scrutiny activity in previous years or single recommendations made during meetings which have not been developed as part of a formal scrutiny review.
	Shokat Lal, Assistant Chief Executive	5.B3		Number of pre-scrutiny recommendations adopted	James McLaughlin, Assistant Chief Executive's Directorate	High	Quarterly	60%	✓	🔄	Not available - not previously been required	Not available - not previously been required	Not available	100%	100%	100%					All pre-decision scrutiny recommendations have been fully accepted by Cabinet and adopted as formal resolutions when decisions have been made. It should also be noted that where recommendations have been made to Commissioners, these have also been fully accepted and incorporated within decisions that they have made for those functions which they are responsible.
C. and relate to their needs	Shokat Lal, Assistant Chief Executive	5.C1 a)	Treating customer complaints with respect and dealing with them in an efficient and outcome-focussed way	a) Total number of complaints received by the Council	Justin Homer - Assistant Chief Executive's Directorate	Not applicable	Monthly	No target - not applicable	□		692	695	205	271	275	265	93	76	96	The number of complaints received in March has increased. A review is underway to fully identify the reasons for this and will be reported in the complaints annual report.	
		5.C1 b)		b) % of complaints closed and within timescale (cumulative)	Justin Homer - Assistant Chief Executive's Directorate	High	Monthly	85%	✓	🔄	82%	80%	79%	82%	86%	89%	86%	88%	89%	Performance has increased and remains above target.	
		5.C2		Number of compliments received	Justin Homer - Assistant Chief Executive's Directorate	Not applicable	Monthly	No target - not applicable	□		604	603	183	168	226	271	47	79	145	Significant increase in the number received. All Directorates continue to be reminded to report all received.	

Outcome	Lead Accountability (Strategic Director)	Ref No.	Action	Measure	Lead officer	Good performance	Frequency of reporting	Target	Overall status	DOT	Data available dependent upon the frequency of reporting							Data notes (where measure has not progressed in accordance with the target set provide details of what is being done to improve performance)				
											Annual		Quarterly			Monthly						
											Year end 2014/15	Year end 2015/16	Q1 Apr - Jun 2016	Q2 Jul - Sep 2016	Q3 Oct - Dec 2016	Q4 Jan - Mar 2017	Jan-17		Feb-17	Mar-17		
C. Staff listen and are responsive to customers to understand		5.C3	<b>Resident satisfaction</b> - Assessing overall public opinion on the way the council is working and responding to customers	% of residents satisfied with the way Rotherham Metropolitan Borough Council runs things	Tracy Holmes, Assistant Chief Executive's Directorate	High - very or fairly satisfied	6 monthly	>55%	✗	🔄		55% June 2015 and 54% December 2015 very or fairly satisfied	50% June 2016 very or fairly satisfied		50% December 2016 very or fairly satisfied						The LGA polling on resident satisfaction is conducted on a 6 monthly basis and was requested by the Commissioners.	
		5.C4		% of residents that have confidence in Rotherham Metropolitan Borough Council	Tracy Holmes, Assistant Chief Executive's Directorate	High - great or moderate extent	6 monthly	>41%	✓	🔄		41% June 2015 and 45% December 2015 great or moderate extent	44% June 2016 great or moderate extent		49% December 2016 great or moderate extent							The LGA polling on resident satisfaction is conducted on a 6 monthly basis and was requested by the Commissioners.
	Judith Badger, Strategic Director Finance and Customer Services	5.C5 a)	Enable customers to be active and interact with the Council in an efficient way, <b>accessing more services online</b>	% of transactions a) online	Luke Sayers - Finance and Customer Services	High	6 monthly	>36%	□	🔄	24%	36%		20%			21%					6 monthly measure only. Data for Q2 was incorrectly calculated and overstated the number of online transactions. The target has also been overstated and therefore the indicator has been reset to be a baseline year.
		5.C5 b)		% of transactions b) face to face customers	Luke Sayers - Finance and Customer Services	Low	6 monthly	<6%	□	🔄	9%	6%		9%			9%					6 monthly measure only. Data for Q2 was incorrectly calculated and overstated the number of online transactions. The target has also been overstated and therefore the indicator has been reset to be a baseline year.
		5.C5 c)		% of transactions c) telephony customers	Luke Sayers - Finance and Customer Services	Low	6 monthly	<58%	□	🔄	67%	58%		71%			70%					
	D. Effective members, workforce and organisational culture	Shokat Lal, Assistant Chief Executive	5.D1	Staff and managers have an opportunity to <b>reflect on performance</b> , agree future objectives and are aware of how they contribute to the overall vision	% PDR completion	Tracey Parkin, Assistant Chief Executive's Directorate	High	Annual	95%	✓	🔄	61%	96%	94.5%	96%	96%	96%					Achievement at 96% against 95% target. Target for 2017/18 will be agreed as part of lessons learned in autumn.
5.D2			<b>Sickness is managed</b> and staff wellbeing supported	<b>Days lost per FTE (Priority measure)</b>	Ian Henderson, Assistant Chief Executive's Directorate	Low	Monthly	10.2	✗	🔄	10.9 days (excluding schools)	10.43 Days (excluding schools)	11.10 days (excluding schools)	10.71 days (excluding schools)	10.70 days (excluding schools)	10.97 days (excluding schools)	10.76 days (excluding schools)	10.83 days (excluding schools)	10.97 days (excluding schools)		Targeted intervention measures are currently being applied and further work is being undertaken to refresh management processes and target specific issues. Sub group of Health, Safety & Wellbeing Committee focusing on sickness management.	
5.D3			<b>Reduced use of interims, temporary and agency staff</b> through effective and efficient recruitment	<b>Reduction in Agency cost (Priority measure)</b>	Ian Henderson, Assistant Chief Executive's Directorate	Low	Monthly	10% reduction	✗	🔄	£2.8m	£6.8m	£2,263 (+33%)	£4,859 (+43%)	£7,335 (+43%)	£10,211 (+50%)	£8,463 (+64%)	£9,283 (+64%)	£10,211 (+50%)		DoT is based on projected annual expenditure against last years actual. Classification of £480k consultancy expenditure now as agency in year will distort annual projections and percentage change. 63% of all expenditure is supporting improvement in Children's services. Workforce Management Board to monitor cost and approve any further expenditure.	
5.D4			<b>Members are able to fulfil their roles</b> as effective community leaders	% members receive a personal development interview leading to a structured learning and development plan	James McLaughlin, Assistant Chief Executive's Directorate	High	Annual	85%	✓	🔄		80%					87%					55 out of 63 Members have had a personal development plan interview with representatives of the Local Government Association. Arrangements will be made to achieve 100% via Group Leaders and Group Whips. The result is above target for the year.



Priority

		1	2	3	4	5		% Change of those items scored this period (Q3)	% Change of those items scored in Q1
✓		5	4	8	8	8	✓	49.3%	43.2%
●		7	0	0	0	0	●	10.4%	29.5%
✗		7	8	6	3	3	✗	40.3%	27.3%
⚙️		0	0	0	0	0			
□		5	5	4	0	5			
■		5	6	0	6	2			
⬆️		8	5	10	6	7	⬆️	43.9%	36.0%
➡️		5	1	3	6	4	➡️	23.2%	18.8%
⬇️		9	8	3	4	3	⬇️	32.9%	45.2%
		7	9	2	1	4			

	On track	Satisfactor	Off track	Measure n	Data not yet available (mostly annual data)
Priority 1	5	7	7	5	5
Priority 2	4	0	8	5	6
Priority 3	8	0	6	4	0
Priority 4	8	0	3	0	6
Priority 5	8	0	3	5	2

	Improving	Stable	Worsening	DoT either not relevant or not available
Priority 5	7	4	3	4
Priority 4	6	6	4	1
Priority 3	10	3	3	2
Priority 2	5	1	8	9
Priority 1	8	5	9	7

	Q1	Q2	Q3	Q4
satisfactory	13	21	15	7
off target	11	14	17	27
on target	19	23	25	33
data not available	16	16	19	19
not applicable	43	29	19	19

Indicators off trac	1	2	3	4	5
	3	0	2	0	2
Indicators with wc	1	2	3	4	5
	3	0	3	1	2

MANUAL ADJUSTMENT NEEDED

on target	12	38%
satisfactory	2	6%
off target	11	34%
not applicable	4	13%

data not available	3	9%
Worsening	10	
Stable	4	
Improving	13	
Not applicable	5	

Every child making the best start in life  
Every adult secure, responsible and empowered  
A strong community  
Extending opportunity and prosperity  
A modern, efficient Council

A modern, efficient Council  
Extending opportunity and prosperity  
A strong community  
Every adult secure, responsible and empowered  
Every child making the best start in life

on target	33	31%
satisfactory	7	7%
off target	27	26%
data not av	19	18%
not applica	19	18%

Worsening	27
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Stable	19
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Improving	36
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Not applica	23
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## **Appendix C**

### **Asset Management Improvement Plan Progress Update**

#### **February to May 2017**

Following the recommendations in the CIPFA Health Check report published in November 2016, an Asset Management Improvement Plan was approved by Cabinet in February 2017.

The Improvement Plan includes the 22 recommendations outlined in the Health Check report together with the ten “hallmarks of good Asset Management” and five areas requiring a “strong programme” outlined in Commissioner Kenny’s letter in November 2016 to the Council’s Chief Executive.

The approval required that an update be provided to Cabinet on a quarterly basis and this paper is the first such update, reporting progress for the period from February to May 2017.

Significant progress has been made during the period and the position as at 31 May 2017 can be seen at Appendix A, the dashboard, reflecting progress made on all 17 composite points in the Plan.

Key highlights are:

#### **Governance Structure and Directorate Engagement (AMIP2017-02 and AMIP 2017-05)**

An Asset Management Board (AMB) has been created to enable senior management and Member leadership to oversee asset management activities and set priorities to support the implementation of Corporate Landlord and to embed an integrated approach to property and land assets. AMB is attended by Strategic Director or Assistant Director representatives from all Directorates.

The remit of the AMB is underpinned by the activities of the Asset Management Officer Group (AMOG), a group attended by M3/M2 representatives from all Directorates which in addition to being a sounding board for items being progressed to AMB also acts as an efficient way of engaging effectively with Directorates.

Engagement is also taking place with Directorate representatives on a regular basis, most recently for the completion of the Service Asset Management Plans (SAMPS).

#### **Scheme of Delegation (AMIP2017-07)**

Revised Financial Regulations and Contract Standing Orders have been produced and were approved by Full Council in January 2017.

Subsequent to this, a Scheme of Delegation relating to Asset Management was approved by Commissioner Kenny to allow progression of certain matters and to ensure Asset Management workstreams were as efficient as possible.

#### **Asset Management Restructure (AMIP2017-04)**

A draft structure designed to deliver the requirements outlined in the Health Check of a responsive service which embraces the needs of the whole organisation was initially presented to staff in April 2017. The consultation period is now over and a revised structure, taking on board many of the comments and suggestions received has been devised. This will be considered by Asset Management Board on 12<sup>th</sup> June 2017 and by Regeneration and Environment DLT on 13<sup>th</sup> June 2017.

In addition, the recommendation that a Strategic Asset Management function be created has also been included in the structure with an Interim Strategic Asset Manager in post since 3 April 2017.

The structure is expected to be implemented by the end of September 2017.

#### **Corporate Landlord (AMIP2017-08)**

The whole Council estate was incorporated into management under the Corporate Landlord Model with effect from 1 April 2017.

This followed a recommendation in the Health Check that the Council revisit the implementation of Corporate Landlord and that simple service standards, guidance and promotional material facilitate the sharing of the new approach throughout Directorates.

Briefings and presentations have been produced and carried out along with individual meetings held with Directorate representatives.

#### **Asset Management Plan (AMIP2017 – 03)**

The Health Check recommended that the Council define its corporate and strategic direction for property through the development of an overall Asset Management Strategy.

This is to be delivered through an all-encompassing Asset Management Plan which is comprised of three key elements – The Policy, the Strategy and the Action Plan.

The Asset Management Policy and Strategy for the period from 2017 to 2025 was approved at Cabinet in May 2017 and is based on the following five key principles:

1. Enabling delivery of the Council's services and priorities.
2. Supporting Economic Growth, Housing Growth and Town Centre Regeneration.

3. Maximising the opportunities that are available through the adoption of “one public estate”.
4. Developing growth income from commercial/non-operational activities.
5. Maximising the range of benefits through the commissioning of property projects and property services.

In addition to this, Service Asset Management Plans (SAMPs) have been produced by each service area. Analysis of the SAMPs together with the principles of the Policy and Strategy will inform the Action Plan which will be in place by September 2017.

### **Comprehensive Property Review (AMIP2017 – 06)**

The Non-Operational and Operational Property Reviews are underway with Project Initiation Documents (PIDs) approved at AMB in May 2017. Condition surveys of all assets are to be undertaken during the Summer, subject to agreement on funding, to inform the process.

The non-operational review will focus on the commercial estate, concentrating on return, location, demand, condition and how each asset fits into the Council’s future direction in terms of asset management. The review is scheduled to be completed by September 2017.

The operational property review will tie in very much with the principles outlined in the Policy and Strategy and also the results from the SAMPs, seeking to address service and corporate need while providing revenue savings and the potential for capital receipts. This review is due to be completed by the end of March 2018.

### **Property Maintenance and Compliance (AMIP2017-11 and AMIP2017-12)**

The contracts in respect of day to day maintenance and support provided to schools and in respect of the commercial estate are in the process of being reviewed to determine the most efficient way forward. As part of this contact has been made with other organisations to ensure best practice is adopted wherever possible.

Alongside this methods of maintaining records to ensure compliance on all managed property are being updated and enhanced. To ensure this is prioritised going forward, a Compliance Officer has been included in the revised structure.

### **Performance Management (AMIP2017 – 17)**

The implementation of a comprehensive performance management and benchmarking process within Asset Management was mentioned in both the Health Check and the letter from Commissioner Kenny.

Measurement against CIPFA indicators will provide a cross-cutting picture of how the Asset Management service is performing, however these are in the main high level

and may not inform the management team of performance in all areas. They will however be used as a benchmarking tool.

Consequently, a Balanced Scorecard specific to Asset Management has been drafted, showing key indicators to drive performance and a culture of enhanced customer care. The indicators are aligned with the five key principles of Asset Management set out in the Policy and Strategy document and above.

Alongside the above, the Asset Management service is also forging closer links with Strategic Housing and RiDO (Rotherham Investment and Development Office), delivering a further key recommendation made in delivering regeneration through joined-up working across the Council.

Closer relationships with key partners are also being forged through membership of the Sheffield City Region Joint Asset Board (JAB), the Rotherham Together Partnership Local Estates Forum (LEF) and the NHS South Yorkshire and Bassetlaw Strategic Transformation Plan (STP). It is expected this will lead to co-location of services, the realisation of opportunities, efficiencies for all involved and delivery of "One Public Estate".

Asset Management - Improvement Plan 2017-2018														
Updated by:		Paul Smith - Head of Asset Management			Date of Latest Review			05/06/17		Version Number:			9	
Red = High Risk of Failure Amber = Possible issues which are manageable Green = no issues Blue = completed														
Project/ Task Reference	Action	RMBC Lead Officer	AMS Lead Officer	Key Actions Dates	Date Reviewed	Comments	Status R/A/G	Covers Recommendations						
								Evidence Bank Updated	Health Check Report 25/11/16	Commissioners Letter 29/11/16	Commissioners 4 Tests for Return of Powers			
AMIP2017-01	SLT and Cabinet to agree to the Health Check recommendations and plan of action. Then Report Progress As required.	DW	PS	13-Feb-17	13/03/17	13 Feb 2017 report to Cabinet	Complete	Yes	1	NA	1, 2, 3			
AMIP2017-02	New Asset Management Governance Structure and arrangements in place	DW	PS	SLT Rpt April Operational June 17	14/03/17	Report to SLT 21/3/17 and first board meeting held 28/3/17 First officer group 5th April 2017	Complete	Yes	4, 6C	7, 5, 9	1, 2, 4			
AMIP2017-03	Council to define its corporate approach to and ask from property by producing a Corporate Asset Management Plan which covers:- Note: (3e) Regeneration and growth outcomes, working with partners and periodic reviews of alternative service delivery to be incorporated in this Plan.	PS	PS	30/09/17	19/05/17		Green	Yes	3, 3D, 3E, 6B, 8	4, 7, 8, 9, C	1, 4			
	i) Property Asset Management Policy			31/05/17	19/05/17	i) Policy approved by Cabinet on 15th May 2017.	Complete	Yes						
	ii) Property Asset Management Strategy			31/05/17	19/05/17	ii) Strategy approved by Cabinet on 15th May 2017.	Complete	Yes						
	iii) Asset Management Action Plan			30/09/17	09/05/17	iii) using feedback from SAMPs and SLAs Due at Asset Management Board September 17.	Green	Yes						
	iv) Agreement to adopt revised Corporate Landlord Model			21/03/17	19/05/17	Report to SLT approved on 21st March 2017.	Complete	Yes						
	v) Corporate Landlord Model SAMP and SLA templates			30/06/17	19/05/17	SAMP template in place and issued. SLA Draft was issued to Directorates for comment 3/4/17. No adverse comments received.	Green	Yes						
	vi) SLAs in place for all accommodation and services			30/06/17	19/05/17	Meetings with Directorate representatives to be arranged once review of SAMPs received completed.	Green	Yes						
	vii) Asset Management Governance			30/03/17	27/04/17	Governance report to SLT 21/3/17.	Complete	Yes						
	viii) SAMPs in place for all services and review completed.			30/06/17	05/06/17	SAMPs received from all services, review underway with report to AMB on 12 June 2017.	Green	Yes						
	ix) Corporate Landlord Complex Change Request procedure			30/06/17	19/05/17	Change Procedures within SLA draft issued to Directorates for approval 3/4/17. SLAs to be completed by 30/6/17. A more detailed Complex Change Request procedure is being drafted for agreement at AMOG.	Green	Yes						
x) Performance Management	30/09/17	27/04/17	vii) Performance Management see AMIP2017-17	Green	Yes									
AMIP2017-04	Review of Corporate Property Unit structure to:-	PW/PS	PS	Proposals in May 17 In Place Sept 17	27/04/17	Now Asset Management Service	Green	Yes	2, 3A, 9A, 9B, 9C, 20, 22	6, 7, 9, 10, B	1, 2			
	A) (2+3a) Create a Strategic Asset Management (SAM) team within AMS. Adequately Skilled and dedicated resource.			Sep-17	27/04/17	(2+3a) SAM (interim) Manager commenced 3/4/17.	Complete	Yes						
	B) (6a) Identify Key AMS Contacts for services.			Mar-17	27/04/17	(6a) Completed	Complete	Yes						
	C) (9a) A Structure with clear delegated responsibilities and contact points.			Sep-17	05/06/17	(9a) Draft Structure in Place. Consultation with staff commenced 11/4/17 and completed 11/5/17. Officer Delegation agreed. Report to AMB on 12 June 2017 and to SLT on 13 June 2017.	Green	Yes						
	D) (9b) Reduce management time on day-to-day issues and release managers to concentrate on section management and prioritisation of team activities.			Sep-17	27/04/17	(9) Service/ action plans and priorities are progressing. New Structure and SAM team will also address this point.	Green	Yes						
E) (22) Identify what the Service Priorities are and review roles against job descriptions and person specifications to ensure that staff are adequately qualified and trained to undertake the required tasks.	Jun-17	27/04/17	(22) Task review complete (see evidence file) new structure drafted. Training plan in place. New Job descriptions issued to staff on 11/4/17 including proposed career grades. Request for funding to support RICS qualifications.	Green	Yes									
AMIP2017-05	Directorate Engagement:	SLT	Strategic Directors, Assistant CX, PS	Start April 17	09/05/17		Complete	Yes	3C, 6A, 6B, 6C	5, 9	1			
	i) Directorates to identify Directorate/ Service Property Representatives (M3/M2) to meet regularly with AMS leads to ensure that future aspirations and needs are understood, that all property activity is via the Asset Management Governance/ Corporate Landlord. Take an active role in the Asset Management Officer Group.			Start April 17	09/05/17	Directorates representatives identified. And first Asset management Officer Group (AMOG) meeting held 4/5/17. Further AMOG meetings arranged. Representatives tasked with and have completed Service Asset Management Plans. Multiple directorate Asset Management meetings were arranged to progress.	Complete	Yes						
	ii) Directorates to identify key Assistant Directors to lead on Directorate engagement in Asset Management and to be an Asset Management Board Member.			Start April 17	09/05/17	Directorate Leads identified at AD level. AMB now operational.	Complete	Yes						
	iii) Corporate Property Manager and AMS Leads to meet regularly with Directorate/ Service Property Representatives to understand all their Asset needs, create and monitor Directorate/ Service Asset Management Plans and to feedback on property issues raised by the Directorates/ Services.			Start April 17	09/05/17	Directorates representatives identified. And first Asset management Officer Group (AMOG) meeting held 4/5/17. Further AMOG meetings arranged. Representatives tasked with and have completed Service Asset Management Plans. Multiple directorate Asset Management meetings were arranged to progress. Asset Management have started attending Directorate and Service Management Teams.	Complete	Yes						
AMIP2017 - 06	(3b.) Carry out a Comprehensive Property Review.	PS	JM	Mar-18	19/05/17	1) Operational Estate review to align with Localities/ Integrated working review. Rotherham Working Together Workshop 3 "A Shared Neighbourhood Approach" on 4th May 17. Set 4 work groups up to report back in August 17. 2) Internal review of Operational Council Property is ongoing with projects with Adults - Learning Disabilities and CYPs. Completion and analysis of SAMPs will also allow focus on possible rationalisation sites. 3) PID approved by AMB 10/5/17 for operational review.	Green	Yes	3B, 11	1, 2, 3	1			
				Sep-17	19/05/17	1) Commercial Estate review ongoing and with existing resources to be completed September 2017 - Subject to Condition data. In Action AMIP2017-11 2) PID approved by AMB 10/5/17 for non-operational Estate review.	Green	Yes						
				Sep-17	19/05/17	3) Mapping of Estate Completed including Public Sector Partners . All Council ownership information is currently available within the Estates Team - Land Tier System	Complete	Yes						

Asset Management - Improvement Plan 2017-2018													
Updated by:		Paul Smith - Head of Asset Management		Date of Latest Review		05/06/17		Version Number:		9			
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Project/ Task Reference	Action	RMBC Lead Officer	AMS Lead Officer	Key Actions Dates	Date Reviewed	Comments	Status R/A/G	Covers Recommendations					
								Evidence Bank Updated	Health Check Report 25/11/16	Commissioners Letter 29/11/16	Commissioners 4 Tests for Return of Powers		
				Sep-17	19/05/17	4) The calculation of alternative use valuations of the whole estate with existing resources will take 5 years (tied in with normal reviews) Additional resources have been requested, through a draft report to SLT, to accelerate this work. Alternative uses are already investigated and calculated when properties are reviewed as a possible release by services or if a rationalisation is possible.	Green	Yes					
AMIP2017-07	i) Constitution and Scheme of Delegation. Revised Financial Regulations and Contract Standing Orders - With Commissioner approval that they apply to AMS.	PW	PS	Jan-17	06/04/17	i) Asset Management worked with Legal and Democratic & Finance Services to develop clearer and more robust Financial Regulations and Contract Standing Orders. These were approved at Full Council 25/1/17	Complete	Yes	9A, 9C, 15	9	1, 4		
	ii) Devise a suitable scheme of delegation to AMS officers that is clear and efficient.			May-17	06/04/17	ii) "Property Officer" delegation approved by Commissioner Kenny 31/3/17	Complete	Yes					
AMIP2017-08	Corporate Landlord model to be reviewed and re-launched. i) Revisit the implementation of the Corporate Landlord model and include all property related activity unless there are clear operational reasons not to do so.	DW	SC	Review Model by May 17 Promotional Materials Sep 17 Roll out & full re-launch by Sept 17	27/04/17	Corporate Landlord relaunched with additional properties transferred from 1st April 2017. Agreed at SLT 21/3/17 see also AMIP-2017-02	Complete	Yes	5	5, 6, 8, 9	1, 4		
	ii) The adopted approach to be formalised through simple consistent service standards (SLA's)			Jun-17	19/05/17	Draft SLA's reviewed at Asset Management Board 28/3/17 and revised versions issued to Directorates 3/4/17. No adverse comments, meetings to commence.	Green	Yes					
	iii) Provide simple guidance/promotional material to client departments.			Sep-17	27/04/17	To be developed once SLA's and SAMPS are agreed. With Directorate Representatives.	Green	Yes					
	iv) Provide training for property staff to clarify what services are provided.			Sep-17	27/04/17	Training to Roll out in July once SLA's and SAMPS are agreed.	Green	Yes					
AMIP2017-09	Corporate Profile & Communications: i) Regular updates to be provided on action plans, progress and achievements via new governance structure, "Service Property Representatives" and attendance at DMT's.	PS	DR	April 2017 onwards	22/05/17	1. Communication Gap analysis in progress 2. Staff communication distributed to assess actual/perceived communication gaps. 3. Draft strategy to be developed following communication gap analysis	Complete	Yes	7, 21	6, 7, A	2		
	ii) Updated and maintained Intranet page with who's who, what we do, Property process guidance and Latest news.			Jul-17	05/06/17	To be agreed once documentation is all in place. Updates commenced.	Green	Yes					
	iii) Asset Management "re-launch" at an M3 Managers briefing.			Sep-17	05/06/17	Undertaken on 25th May 17 Corporate M3 Managers update re. Corporate Landlord.	Green	Yes					
	iv) Member/ Commissioner/ SLT briefings on Policy, Strategy, Action Plan and key projects.			May 17 Onwards	27/04/17	Agreed at Asset Management Board.	Complete	Yes					
	v) Ensure internal visibility of external activities such as SCR JAB and RTP-LEF.			May 17 Onwards	27/04/17	Report quarterly to AMB and AMOG.	Green	Yes					
	vi) Communication strategy and action plan to be created and maintained.			Jun-17	09/05/17	Report to Asset Management Board in June 17	Green	Yes					
	vii) AMS Management to attend Cabinet Member/ Commissioner/ DMT, SLT and Area Assembly meetings as appropriate.			March 17 Onwards	09/05/17	Commenced on back of AM Governance and SAMPS.	Complete	Yes					
AMIP2017-10	Training: i) Identify and arrange appropriate Management training for AMS Managers.	PS/PW	DR	Training Workbench June/July 17 following PDR's	22/05/17	Asset Management Service Managers are commencing a Management 360 exercise to identify Training requirements. Head of Asset Management has taken up offer of Mentoring.	Green	Yes	6D, 10, 17, 19	B, D	2		
	ii) Appropriate customer care training for all staff.			Training Workbench June/July 17 following PDR's	22/05/17	Training Plan in Place that identifies:- 1) 360 review of Managers to identify training needs arranged. Completion date 19th April with following 2 weeks for analysis and feedback. 2) Gap analysis of staff skills, attitude and behaviours to identify training requirements. 3) 1 day customer care training for all staff arranged 18th, 19th April, 24th, 25th April. 4) Change Management Training all staff.	Complete	Yes					
	iii) All staff training requirements are identified, included in Workbenches and rolled out. Including that identified in action AMIP2017-04			Training Workbench June/ July 17 following PDR's	09/05/17	Training Workbench to be completed and all training needs identified through PDR's and 360 feedback.	Green	Yes					
	iv) Provide training for property staff to clarify what services Corporate Landlord/ AMS will provide.			Jul-17	09/05/17	Training to Roll out in July once SLA's and SAMPS are agreed.	Green	Yes					
AMIP2017-11	Detailed Property Maintenance Review:1. Operational/Corporate Landlord/FM & Contract.	PS	SC	Sep-17	22/05/17	Corporate landlord model implemented from April 2017, to be relaunched at M3 Managers in May 2017.Review underway.	Green	Yes	12	1, 6, 9	1		
	2 & 3. Review with CYPS Manager and Estates Manager the operation and provision of support to schools/commercial estate.			Sep-17	22/05/17	Discussions complete with CYPS and proposals in place/ taken place with Estates Manager to consider commercial estate and maintenance regime going forward.	Green	Yes					
	4. Work with P2P to review and procure new day to day maintenance contract.			Sep-17	22/05/17	Maintenance contract is out to tender. Extension in place on rolling basis to extend day to day maintenance until contract is re-let. Target is September 2017.	Green	Yes					
	5. Review with other Local Authorities how they procure their maintenance contracts/servicing options.			Sep-17	22/05/17	Identified potential LA which delivers best practice Corporate landlord Model York Council. Contact to be made to review their working practices. Enquiry raise on CIPFA asset management forum for examples of best practice.Attending CIPFA event in May 2017.	Green	Yes					
	6. Continue with regular maintenance/servicing as per action contained in AMIP2017-12			Ongoing	22/05/17	Regular maintenance/servicing ongoing.	Green	Yes					
	7. To review the condition survey programme and determine most appropriate way forward to ensure condition information is up to date.			May-17	22/05/17	Tender documents being prepared to request prices bring stock condition information up to-date. Report drafted for SLT to request funding to undertake them in one batch to support property reviews.	Amber	Yes					
	8. Review with Building Officers the capital maintenance investment programme for 2017/18 and going forward.			Sep-17	22/05/17	Building Officers requested to identify projects required to be in the 2017/18 programme and for future years.	Green	Yes					

Asset Management - Improvement Plan 2017-2018														
Updated by:		Paul Smith - Head of Asset Management			Date of Latest Review			05/06/17		Version Number:			9	
Red = High Risk of Failure Amber = Possible issues which are manageable Green = no issues Blue = completed														
Project/ Task Reference	Action	RMBC Lead Officer	AMS Lead Officer	Key Actions Dates	Date Reviewed	Comments	Status R/A/G	Covers Recommendations						
								Evidence Bank Updated	Health Check Report 25/11/16	Commissioners Letter 29/11/16	Commissioners 4 Tests for Return of Powers			
	9. To review with P2P the contracts register and establish a programme of contract renewals for property related activity.			Sep-17	22/05/17	Review of contracts register taken place and schedule of property related contracts identified	Complete	Yes						
AMIP2017-12	CIPFA Compliance Audit Recommendations to be implemented: 1. Review all servicing requirements for each building and identify statutory/legislative servicing requirements.	PS	SC	Apr-17	22/05/17	1. Work already carried out on this task and servicing schedule established. Regular compliance meetings held with main servicing contractors. Minutes recorded.	Complete	Yes	13	1	1			
	2. Review with Procurement Team the servicing contracts so fully understand current position with regards to the contracts register.			Apr-17	22/05/17	2. Contact made with P2P. Details of contract expiry dates now established.	Complete	Yes						
	3. Work with Asset Information Officer and Building Officers to consider filing structure and use of CIPFA Asset Manager for compliance storage options.			Apr-17	22/05/17	3. Issues raised at FM meeting and initial file structure in place on "W" drive. To agree information to be recorded on asset manager system completed.	Complete	Yes						
	4. Review options for record keeping for compliance and consider whether there are alternatives.			Mar-18	22/05/17	4. Access data base already developed within the FM team. Need to review other solutions ie CIPFA or other electronic record keeping. Discussions to be had with CIPFA to discuss use of asset manager system	Green	Yes						
	5. As part of restructure consider introduction of a Compliance Officer and a Premises Fund Officer to manage compliance.			Jul-17	22/05/17	5. Roles for a compliance officer and premises fund officer already proposed within a new structure. Linked to AMIP2017-04.	Green	Yes						
	6. Review with Procurement and Building Officers a programme for managing all service contracts including regular contractor compliance and performance meetings.			Apr-17	22/05/17	6. All principal contractor compliance meetings already in place /fully documented and recorded. Nominated Building Officers attend with Corporate Facilities Manager.	Complete	Yes						
	7. Review with Building Officers method for storage and retrieval of compliance information ensuring all visits are recorded on CIPFA Asset Manager system.			Apr-17	22/05/17	7. File structure already set up on "W" drive plus email folders for managing compliance with contractors.	Complete	Yes						
AMIP2017-13	Review Internal Fee Recharging.	PS	MS/JM	Jun-17	22/05/17	Trading account, CECs & surplus target reviewed. Possible budget issues if fees are reduced as a surplus is built into R&E budgets. Report went to R&E DLT 3rd May 17. Further discussions with finance required on effects on General Fund Budget.	Amber	Yes	14				1	
AMIP2017-14	Review of all Soft Facilities Management services to be carried out	PW	KP	Apr-17	22/05/17	Facilities Services Review of the operational estates completed and new regime commences 1/4/17. Included in ASR.	Complete	Yes	16				1	
AMIP2017-15	Review of Property Data Management.	PS	DR	Jun-17	09/05/17	Initial review of data management completed. Report to now progress via Asset Management Leadership Team.	Green	Yes	17	1			1	
AMIP2017-16	Academies - Facilities Management i) Review true costs of Facilities Management services to schools.	PS	RH	Apr-17	22/05/17	(i) Progressed true costs of Building Managers service to academies. Based on the 3 building managers that serve schools overall running costs £140,863. Potential income £212,200. Review completed.	Complete	Yes	18				1	
	ii) Look at a number of service options and offered to Academy Schools on a true trading basis.			Apr-17	22/05/17	(ii) There were 3 service options considered, option 3 proffered, where only statutory checks made plus a menu of additional services at additional costs to school. New Draft SLA written, currently being reviewed by the team and by a small selection of schools acting as a critical friend. Will then be rolled out to Academies in May 17. With Commencement in September 17 at the start of the Schools financial year. Review completed.	Complete	Yes						
	iii) Alignment with Corporate Review of trading services and portfolio of service delivery to schools.			Sep-17	22/05/17	Academies have been consulted and schools are on board with proposed changes. New SLAs are currently being written which will come into operation from September 2017. Awaiting response of trading review.	Green	Yes						
	Performance Management i) Review existing measures and benchmarking activity in Asset Management for appropriateness.			i) to iii) by May 17 iv) in line with action AMIP2017-03	22/05/17	Existing measures for Design & Projects, FM, CYPS, FM, Estates & Energy teams reviewed.	Complete	Yes						

**Summary Sheet**

Cabinet and Commissioners' Decision Making Meeting – 10<sup>th</sup> July 2017

**Title**

2016/17 Revenue and Capital Outturn

**Is this a Key Decision and has it been included on the Forward Plan?**

Yes

**Strategic Director Approving Submission of the Report**

Judith Badger, Strategic Director of Finance and Customer Services

**Report Author(s)**

Pete Hudson, Chief Finance Manager

Graham Saxton, Assistant Director Finance

**Ward(s) Affected**

All

**Summary**

This report outlines the pre-audit revenue, capital and Housing Revenue Account (HRA) outturn positions for 2016/17.

The original revenue budget for 2016/17 approved by Council on 2nd March 2016 was £199.521m. On 7th December 2016 Council approved an additional budget allocation of £8.456m, largely to address pressures within Children's Social Care services, increasing the 2016/17 budget to £207.977m.

This report shows a revenue outturn underspend of £765k against this revised budget inclusive of those Traded Services balances which are carried forward each year in line with Council policy. In addition a total of £1.968m of qualifying expenditure was capitalised, resulting in a final charge against the revenue budget of £205.244m which was £2.733m less than the revised budget. A summary of the Outturn is shown in Section 3.1 Table 1 and details of the Directorate's key outturn variances are shown in Appendix 1.

The outturn position takes account of the carry-forward of unspent balances in respect of specific projects/programmes (Rotherham Partnership, Emergency Planning Shared Service with Sheffield City Council and the Members' Community Leadership Fund). These amount in total to £0.160m.



The Council's General Fund Working Balance remains at £11.269m. The use of reserves to support the additional budget allocation agreed in December 2016 was £5.723m. This is £2.733m less use of reserves than that anticipated when the revised budget was approved.

This outturn position should be seen in the context of the significant increasing cost and demand for Children's Social Care services, the increase in demand for Adult Care Services and the delays in implementing some aspects of the Adult Care Development Programme. Delivering this overall position necessitated the implementation of a moratorium on all but essential spend through stringent procurement controls and recruitment controls (via the newly established Workforce Management Board) and the concerted efforts of both elected Members and senior officers in managing the reducing levels of funding at a time of increasing service need, and also the generally good and responsible financial management on the part of budget managers and budget holders.

The outturn means that the required call on the reserves to fund the additional £8.456m budget approved by Council in December will now be less by £2.733m. The use of reserves has been actioned in accordance with Council's approval in December but instead of drawing down the whole of the available Transformation Reserve (£4.936m), only £2.203m has been used leaving a balance on that reserve of £2.733m.

The Housing Revenue Account (HRA) underspent by £7.224m in 2016/17. Schools out-turned (including Declared Savings) with a combined balance of £1.304m which will be carried forward into 2017/18 in accordance with Department for Education (DfE) regulations.

The Capital Programme outturn shows an underspend of £9.850m (14.8%) against the estimated spend in 2016/17. This is due to the re-profiling of expenditure on a number of schemes and Cabinet is asked to note the underspends and associated re-profiling of certain scheme budgets into 2017/18 as shown in Appendix 4.

## **Recommendations**

### **That Cabinet:**

- a. Note the Revenue outturn position of £765k underspend, (Directorate details are set out in Appendix 1) and the capitalisation of £1.968m of qualifying revenue expenditure**
- b. Approve that the final revenue budget saving of £2.733m be a reduction to the planned transfer from the Transformation Reserve.**
- c. Approve the Housing Revenue Account (HRA) outturn of £7.224m underspend and its transfer to the HRA Reserve.**
- d. Note the carry-forward to 2017/18 of the combined schools' balance of £2.834m in accordance with DfE regulations.**
- e. Approve the reserves position as set out in section 3.20.**

- f. **Note the final capital expenditure and resourcing position, incorporating expenditure of £56.490m against a final budget of £66.340m, and the carry-forward of underspends to re-profile the relevant scheme budgets into 2017/18 as set out in Appendix 3.**

**List of Appendices Included**

Appendix 1- Individual Directorate Outturn positions 2016/17

Appendix 2 - Traded Services Outturn 2016/17

Appendix 3 – Capital Programme Carry-forwards to 2017/18

**Background Papers**

Estimated Outturn Report to Cabinet – 10 April 2017

**Consideration by any other Council Committee, Scrutiny or Advisory Panel**

Overview and Scrutiny Management Board

**Council Approval Required**

Yes

**Exempt from the Press and Public**

No

**Title: 2016/17 Revenue and Capital Outturn**

**1. Recommendations**

**That Cabinet:**

- 1.1 Note the Revenue outturn position of £765k underspend, (Directorate details are set out in Appendix 1) and the capitalisation of £1.968m of qualifying revenue expenditure
- 1.2 Approve that the final revenue budget saving of £2.733m be a reduction to the planned transfer from the Transformation Reserve.
- 1.3 Approve the Housing Revenue Account (HRA) outturn of £7.224m underspend and its transfer to the HRA Reserve.
- 1.4 Note the carry-forward to 2017/18 of the combined schools' balance of £2.834m in accordance with DfE regulations.
- 1.5 Approve the reserves position as set out in section 3.20.
- 1.6 Note the final capital expenditure and resourcing position, incorporating expenditure of £56.490m against a final budget of £66.340m, and the carry-forward of underspends to re-profile the relevant scheme budgets into 2017/18 as set out in Appendix 3.

**2. Background**

- 2.1 This report sets out the Council's revenue, capital and HRA outturn position in 2016/17. The Council set a revised revenue budget of £207.977m, a HRA balanced budget after planning a revenue contribution to Capital of £8.159m and a final Capital Programme budget of £66.340m in 2016/17.
- 2.2 The report shows the Council's financial position in relation to management accounts used to monitor performance through the year. The Audit Committee will consider separately the Council's Statement of Accounts in July. The Statement of Accounts shows the financial position in a statutorily prescribed format in compliance with financial reporting standards, which is different in some respects to how the Council's day to day finances are managed.

**3. Key Issues**

**REVENUE OUTTURN**

- 3.1 The table below summarises the Revenue Account outturn for 2016/17, after the carrying forward of Traded Services balances (surplus or deficit) in accordance with Council Policy. A summary of the reasons for the most significant year-end variations is provided from paragraph 3.2 to 3.9 with more detail provided in Appendix 1 (where relevant to do so) and details of the Traded Services balances are shown in Appendix 2.

Table 1 – Summary Revenue Outturn 2016/17

Directorate / Service	Revised Annual Budget	Outturn	Variance	Variance
	£m	£m	£m	%
Children & Young People's Services	63.336	65.680	+2.344	+3.7%
Adult Care & Housing	68.338	71.348	+3.010	+4.4%
Regeneration & Environment	46.427	44.716	-1.711	-3.7%
Finance & Customer Services	14.791	13.631	-1.160	-7.8%
Assistant Chief Executive	5.229	5.073	-0.156	-3.0%
Council-wide Services	9.856	6.764	-3.092	-31.4%
<b>Total</b>	<b>207.977</b>	<b>207.212</b>	<b>-0.765</b>	<b>-0.4%</b>
<b>Capitalisation/ Capital Receipts Flexibility</b>	<b>0</b>	<b>-1.968</b>	<b>-1.968</b>	
<b>Total Outturn</b>	<b>207.977</b>	<b>205.244</b>	<b>-2.733</b>	

(+ = overspend, - = underspend)

### 3.2 Children & Young People's Directorate

The Children and Young People's Services Directorate (excluding School and Pupil Referral Unit delegated budgets) has a net over-spend of £2.344m. The most significant pressure in the Directorate, which has been monitored and reported on continuously over the financial year, is within Children's Social Care services. This is largely due to the number of Looked After Children (LAC) in excess of budget (488 as at 31<sup>st</sup> March 2017 against a budgeted projection of 460), which reflects the national picture of growing LAC numbers, with mounting pressure on the cost of Independent Fostering Placements and Out of Authority provision and the use of agency staff to cover vacant Social Worker and team manager to secure the right knowledge, skills and leadership and reduce average caseloads to a reasonable level.

### 3.3 Adult Care and Housing Directorate

The Adult Care and Housing Directorate overspent by £3.010m in 2016/17. The key reason for the overspend within Adult Care services (£3.866m) is due to the increased demand for direct payments and managed accounts, residential and nursing care and domiciliary care packages. Neighbourhoods Services underspent by £0.856m, mainly as a result of additional income from the Furnished Homes scheme and delayed recruitment to staff vacancies pending the review of the Neighbourhood Partnerships service.

### 3.4 **Public Health**

Public Health Services are funded via a ring-fenced grant. The service received an in-year reduction in the grant funding of £1.319m (applied by the Government excluding the transfer of children's 0-5 responsibilities) and transferred £0.235m from the Public Health reserve (£592k less than was planned) to meet expenditure in 2016/17. The cumulative balance on the Public Health grant reserve as at 31<sup>st</sup> March 2017 is £0.788m.

### 3.5 **Regeneration & Environment Directorate**

The Directorate of Regeneration & Environment has a total net underspend of £1.711m. This represents underspending on a number of budgets, offsetting some on-going underlying operational pressures and follows service-wide efforts during the year to reduce non-essential spend. In addition £1.233m of qualifying expenditure was charged to capital resources.

Within the overall underspend position, Facilities Management have underspent £0.503m as a result of savings on land and property costs, due to the ongoing rationalisation of Council Buildings. The Rotherham Investment and Development Office (RIDO) have underspent by £0.307m as a result of additional grant income and other one-off funding. Facilities Services have underspent by £0.305m as a result of staff savings. Safer Neighbourhoods have underspent by £0.296m as a result of savings in the Community Protection Service. There were other smaller underspends across the Directorate largely due to reductions in operational spending.

3.6 Overspends were incurred in Building Design and Corporate Projects (£0.115m) as a result of under-recovery of income; in Green Spaces (£0.088m) as a result of under-recovery of income at Rother Valley Country Park; in Planning and Building Control (£0.086m) as a result of under-recovery of income resulting from economic conditions; in Estates (£0.078m) as a result of under-recovery of fee income as a consequence of a vacant post impacting on the service's ability to generate external fee income; and in the Street Scene service (£0.070m) mainly as a result of demand pressures for Home to School Transport.

### 3.7 **Finance and Customer Services Directorate**

The Finance and Customer Services Directorate underspend of £1.160m is predominantly in respect of receipt of additional income from the recovery of Housing Benefits overpayments (£295k), reduced costs of collection (£240k) and staff savings and non-staff savings from the moratorium on non-essential spend across Revenues and Benefits, Finance, Procurement and Customer, Information & Digital services.

### 3.8 **Assistant Chief Executive's Directorate**

The Assistant Chief Executive's Directorate underspent by £156k. Whilst there was a pressure on the Communications and Media budget (£0.1m) this pressure was more than offset by savings on the Member's Allowances budget and staffing and non-staff savings across the wider directorate as a result of the impact of the moratorium on non-essential spend.

### 3.9 Council-wide Services

The £3.092m underspend on Council-wide services is mainly due to:

- £1.620m underspend on the capital financing budget as a result of the Council being able to reschedule a market loan, changing interest rate forecasts post-EU Referendum, and a reduced borrowing need in year;
- £0.196m as the cost of the Integrated Transport Authority, Coroners and other levies are less than budgeted;
- £0.489m from the release of a bad debt provision which is no longer required (one-off);
- £0.186m one off dividend income from the wind up of Digital Region Ltd;
- £0.848m additional government income from Section 31 grants (£653k), business rates (£161k) and New Homes Bonus (£34k); and
- £0.464m additional income in excess of budget generated from non-General Fund services.

In addition, £735k of qualifying expenditure was funded from capital resources, utilising the Government's capital receipts flexibilities and in line with the Council's policy for flexible use of capital receipts.

The above underspends were partially offset by a budget pressure arising as a result of not delivering the £1m budget saving in respect of staff terms and conditions of employment for the period October 2016 to March 2017.

- 3.10 Within the Revenue Outturn position reported the Council has made provision for potential liabilities in relation to known CSE claims. The provision has been made in accordance with accounting standards and in consultation with solicitors, insurers and the Council's External Auditors.

### 3.11 Traded Services

For management accounts purposes there are four Traded Services within the Council all of which out-turned a surplus balance in 2016/17 (combined total of £0.241m): the Schools' Meals Service, the Schools' Music Service, Neighbourhoods Dispersed Units and the Schools' Insurance Fund. Details of the services' outturn positions are set out in Appendix 2. The Council's existing practice has been to carry forward 100% of surpluses and deficits and the 2016/17 outturn position has been taken into account in the 2017/18 business plans of the Traded Services.

### 3.12 Amounts Carried Forward for Specific Purposes

In addition to the carry-forward of Traded Services' balances, Council practice is to carry forward committed amounts for specific purposes, if the project or development concerned is a joint arrangement or if the project remains to be completed. These are listed below.

- 3.13 The Rotherham Partnership budget is hosted by the Council but includes contributions from across the partnership. As such, the under-spend does not belong to the Council. As in previous years, the unspent balance is carried forward to support the Partnership's work in 2017/18 (£70,952).
- 3.14 The Council's Emergency Planning Shared Service jointly funded with Sheffield out-turned with an underspend of £70,748. As in previous years this underspend is carried-forward to fund service activity in 2017/18.

3.15 The Members Community Leadership Fund (which allocates £1,000 per annum to each ward member) has underspent by £17,905. As in previous years this is carried-forward for use in 2017/18.

### 3.16 HOUSING REVENUE ACCOUNT (HRA) OUTTURN 2016/17

3.17 There was an underspend of £7.224m against the HRA Budget in 2016/17 as set out below.

**Table 2 – HRA OUTTURN 2016/17**

<b>HRA Summary Position</b>	<b>2016/17 Budget £m</b>	<b>2016/17 Outturn £m</b>	<b>2016/17 Variance £m</b>
Expenditure	75.424	72.623	-2.801
Income	-83.493	-85.098	-1.605
<b>Net Cost of Service</b>	<b>-8.069</b>	<b>-12.475</b>	<b>-4.406</b>
Interest Received/Debt Redemption	-0.090	-0.215	-0.125
Revenue Contribution to Capital	8.159	5.466	-2.693
Transfer to/from Reserves	0	0	0
<b>Net Surplus for the year</b>	<b>0</b>	<b>-7.224</b>	<b>-7.224</b>

3.18 The main reasons for the underspend are:

- £0.693m underspend on the cost of Housing repairs principally due to faster void turnaround within the empty homes budget and a reduced level of spend on responsive work programmes and overheads.
- £1.430m underspend on Supervision and Management - mainly due to higher than expected staff turnover, reduced pension costs, review and reduction in the provision for disrepair claims, savings on non-pay budgets (computer maintenance, printing and postage) and lower fuel prices within District Heating schemes.
- £0.406m underspend on the Provision for Bad Debts due to the proposed changes to the welfare benefits system being less of an impact than anticipated.
- £0.289m underspend on the cost of Capital/Debt Management charges due to the timing of borrowing and lower than anticipated interest rates.
- £0.950m additional income from dwelling rents due to faster turnaround times on void properties and a reduction in rent allowances, plus additional income from unbudgeted strategic acquisitions.
- £0.496m additional charges for services and facilities in respect of the furnished homes scheme.
- £2.694m underspend on Revenue Contributions to Capital due to in year reduction in the capital programme to mitigate the impact of the revised social rents policy on the long term HRA business plan plus alternative funding being identified to fund strategic acquisitions.

### 3.19 SCHOOLS' OUTTURN 2016/17

School balances (including Declared Savings) at the end of 2016/17 for the Council's maintained schools and pupil referral units amount to £1.304m. This is £2.418m less than at the previous year end and takes account of schools that converted to academies during 2016/17.

## 3.20 RESERVES

### 3.20.1 Revenue Reserves

The Council's General Fund the overall balance remains at £11.269m. Overall, the Revenue Outturn is in balance for the year after allowing for the planned use of reserves of £5m agreed at the time that the 2016/17 budget was set and a further £5.723m additional use of reserves approved by Council in December 2016. The planned use of reserves takes into account the carry-forward of trading services balances (£0.241m) and other specific earmarked funding (£0.160m) as described in 3.12 – 3.15.

This leaves total revenue reserve balances at the end of 2016/17 of £88.395m, a decrease of £12.083m on the level of reserves at the end of 2015/16.

The movements in reserves during 2016/17 are summarised in the table below and are followed by an outline of the main changes and reasons for holding balances in these reserves.

**Table 3 – Movement in Revenue Reserves 2016/17**

	<b>Balance as at 1 April 2016 £m</b>	<b>Movement in the year £m</b>	<b>Balance as at 31 March 2017 £m</b>
General Fund Balance – Non Earmarked	11.269	0.000	11.269
General Fund Balance – Traded Services & Carry Forwards from 2015/16	0.589	-0.589	0.000
<b>Sub-Total</b>	<b>11.858</b>	<b>-0.589</b>	<b>11.269</b>
HRA Balance	27.932	7.224	35.156
School Balances (including Declared Savings)	3.722	-2.418	1.304
Carry-forward Earmarked Reserves	0	0.401	0.401
Insurance	0.350	0.000	0.350
Business Rates	4.000	0.000	4.000
Pensions	6.000	0.000	6.000
Transformation	5.151	-2.418	2.733
Looked-After Children	6.000	-4.000	2.000
Furnished Homes	3.277	-0.226	3.051
Private Finance Initiative (PFI)	14.638	-0.475	14.163
Revenue Grants	13.970	-9.638	4.332
Other Earmarked	3.580	0.056	3.636
<b>TOTAL</b>	<b>100.478</b>	<b>-12.083</b>	<b>88.395</b>



3.20.2 The chief reasons for the movements in the main balances are:

- HRA Balance £35.155m (£7.224m higher) - the working balance has increased as a result of the outturn for the financial year.
- Schools Balances £1.304m which are held and ring-fenced for the specific use of schools are £2.418m lower. The overall balance has reduced in the financial year by the £1.450m schools' outturn and balances transferred to new Academies and special schools (£0.968m).
- Carry-forward Earmarked Reserve £0.401m specific earmarked reserves created in 2016/17 for the carry-forward of traded services balances and specific annual carry-forward requests.
- Insurance - £0.350m to cover claims incurred but not yet reported to the Council and not taken account of in the Insurance Provision
- Business Rates - £4m to cover residual risks relating to appeals, NHS trusts claim for charitable relief, and business closures not taken account of in the provision for business rates appeals
- Pensions - £6m as part of meeting the Council's pension obligations across the medium term.
- Transformation £2.733m (£2.418m lower) this reserve has been set aside for meeting the likely significant additional costs and potential liabilities facing the Council in order to help bring about a 'fit for purpose' Council, at the earliest opportunity.
- Looked-After Children £2m (£4m lower) the reserve is being used to support the investment in Children's social care services.
- Furnished Homes £3.051m has reduced by £0.226m. This reserve is used to meet the additional capital financing cost following the capitalisation of furniture purchases in 2014/15. £0.616m of the trading surplus made in 2016/17 in excess of target has been used to support the Council's 2016/17 Revenue Budget.
- Private Finance Initiatives (Schools, Leisure and Waste) £14.163m decreased by £0.475m. These reserves are used to effectively manage the income and expenditures relevant to the schemes over the life of the contracts in line with the agreed finance and accounting models.
- Revenue Grants £4.332m (£9.638m lower) representing revenue grants (including a balance of £3.169m DCLG Transformation Grant) which are to be used to meet future spending plans relevant to the terms and conditions of the grant. The significant reduction on these grants includes the carry-forward of the deficit balance on the Dedicated Schools Grant (£5.213m) which, in accordance with Government policy, can be carried forward for the deficit to be addressed in the following year or the year after that. Children's services have already implemented plans to recover £3m of the deficit in 2017/18 and are currently developing plans to recover the balance.

- Other Earmarked £3.637m (£0.057m higher) – a range of reserves set aside for service specific purposes, the principal ones being the Selective Licensing reserve in line with the requirement for the service to be self-financing and the specific reserve to cover potential future financial impact of schools converting to Academy status.

3.20.3 **Capital Reserves** – the total un-earmarked capital reserve balances at the end of 2016/17 are £8.820m, an increase of £4.816m on the level of reserves at the end of 2015/16. The improvement in available resources is largely due to an increase in capital receipt income from Right-to-Buy sales (£5.650m received in 2016/17) and the early repayment of a loan (£4.392m), which forms part of the General Fund capital receipts balance..

**Table 4 – Capital Reserves**

	<b>Balance as at 31 March 2017 £m</b>	<b>Committed Resources £m</b>	<b>Un-earmarked as at 31 March 2017 £m</b>
<b>Capital Receipts</b>			
General Fund	20.867	18.310	2.557
HRA	6.555	0.720	5.835
<b>Sub-Total</b>	<b>27.422</b>	<b>19.030</b>	<b>8.392</b>
<b>Capital Grants</b>			
General Fund not service specific	0.559	0.131	0.428
General Fund (Service Specific)	10.863	10.863	0.000
HRA	0.062	0.062	0.000
<b>Sub-Total</b>	<b>11.484</b>	<b>11.056</b>	<b>0.428</b>
<b>Major Repairs Reserve – HRA</b>	<b>5.218</b>	<b>5.218</b>	<b>0.000</b>
<b>TOTAL</b>	<b>44.124</b>	<b>35.304</b>	<b>8.820</b>

### 3.21 CAPITAL OUTTURN POSITION 2016/17

3.21.1 The 2016/17 outturn position in respect of capital expenditure is shown in summary form by Directorate below:

Table 5 – 2016/17 Capital Expenditure by Directorate

Directorate	2016/17 Budget £m	2016/17 Outturn £m	2016/17 Variance £m
Children and Young People's Services	7.971	6.580	-1.391
Regeneration & Environment	20.328	15.300	-5.028
Adult Care & Housing	31.628	29.065	-2.563
Finance & Customer Services	4.113	3.022	-1.091
<b>Sub Total Capital Outturn 2016/17</b>	<b>64.040</b>	<b>53.967</b>	<b>-10.073</b>
Capitalisation Direction	2.300	2.523	+0.223
<b>Outturn Capital Expenditure 2016/17</b>	<b>66.340</b>	<b>56.490</b>	<b>-9.850</b>

3.21.2 The final level of capital expenditure for 2016/17 varied against the final budget by £9.850m: an underspend of 14.8%. The main variances contributing to this underspend are:

- Carriageway Resurfacing (£0.555m underspend). Operational resources had to be diverted to other, high priority, schemes;
- STEP2 (£1.105m underspend). Operational resources had to be diverted to other high priority schemes;
- Brinsworth Library (£0.497m underspend). A feasibility sketch and building cost estimate have been drafted for the project. It is hoped further progress will be made in 2017/18;
- Special Educational Needs & Disability (SEND) targeted capital funding (£0.496m underspend). A report was considered by Members on the 13<sup>th</sup> March 2017 highlighting areas of need to be addressed in 2017/18;
- Land Enabling and Strategic Acquisitions (£0.636m underspend). Planned purchase of properties at Waverley was delayed due to contractor issues. The purchase of the properties will now take place in the Spring/Summer of 2017;
- District Heating Schemes (£0.409m underspend). Problems identifying suitable sites, and necessary delays to the scheme over the Winter months led to the budget not being fully utilised;
- ICT Digital Strategy (£0.584m underspend). Individual sub-projects are still in the developmental stage and reports will be brought forward once finalised;
- Operational Property Condition Maintenance Programme (£1.112m underspend). Several projects have underspent, or not started, due to preliminary delays. These will continue/start in 2017/18;
- Suitability and Conditional Works Programme CYPS (£0.522m underspend). Of the £0.900m approved budget for this programme of suitability and conditional works £0.522m remains to be re profiled into 17/18.

Where an in-year underspend has occurred, and funding is still required to complete the project, the unspent balance from the 2016/17 has been carried-forward and re-profiled into 2017/18. The detail of the carry-forwards is set out, on a scheme by scheme basis, in Appendix 3.

### 3.21.3 Capital Receipts

The Council is continuing to undertake a comprehensive review of its assets and buildings portfolio with the aim of rationalising both its operational and non-operational asset holdings. This may contribute future capital receipts, the first £2m of which is earmarked to support the revenue budget, using the new capital receipts flexibilities introduced from the 1<sup>st</sup> April 2016, to fund expenditure relating to transforming Council services to generate future revenue efficiency savings.

During 2016/17 General Fund capital receipts of £6.716m were generated and the table below shows the more significant capital receipts that were received. These receipts form part of the Council's Capital Reserves (para 3.20.3 above). Although a significant loan repayment was received in 2016/17, that cannot be used to support the revenue budget as only those receipts generated by the disposal of property, plant and equipment assets can be used in that way.

**Table 6 – General Fund Capital Receipts Received in 2016/17**

	£m
Plot 2 Greasbrough Depot	0.775
Parkstone House & Land Adjacent	0.615
Land off of Browning Road	0.330
Former Rawson Road Car Park	0.225
Other Miscellaneous Capital Receipts	0.379
<b>Sub Total – Usable In-Year Capital Receipts</b>	<b>2.324</b>
Repayment of Loan	4.392
<b>Total Capital Receipts</b>	<b>6.716</b>

3.21.4 **Funding of the Capital Programme** - the £56.490m of capital expenditure was funded as shown in the table below:

**Table 7 – Funding of the 2016/17 Capital Programme**

Funding	2016/17 Budget £m	2016/17 Outturn £m	2016/17 Variance to Budget £m
Grants and Contributions	17.629	16.488	-1.141
Unsupported Borrowing	14.376	7.870	-6.506
Usable Capital Receipts – HRA	1.009	0.899	-0.110
General Fund	6.347	7.050	+0.703
Housing Major Repairs Allowance (HRA)	21.182	18.630	-2.552
Revenue Contributions:			
HRA	5.466	5.466	0.000
General Fund	0.331	0.087	-0.244
<b>TOTAL</b>	<b>66.340</b>	<b>56.490</b>	<b>-9.850</b>

**4. Options considered and recommended proposal**

4.1 This detail is set out in section 3 above.

**5. Consultation**

5.1 Revenue Budget and Council Tax for 2016/17 Report to Council 2nd March 2016.  
Estimated Outturn Revenue Budget Monitoring report 2016/17  
Strategic Directors and Service Directors of the Council  
Local Government Act 2003

**6. Timetable and Accountability for Implementing this Decision**

6.1 The Strategic Director of Finance and Customer Services is responsible for implementing any actions arising from the supported recommendations in this report. These should be actioned at the earliest opportunity to aid the monitoring of the 2017/18 Revenue Budget and Capital Programme.

**7. Financial and Procurement Implications**

7.1 The financial issues are discussed in sections 7 above.

**8. Legal Implications**

8.1 No direct legal implications

**9. Human Resources Implications**

9.1 No direct implications

**10. Implications for Children and Young People and Vulnerable Adults**

10.1 No direct implications

**11. Equalities and Human Rights Implications**

11.1 No direct implications

**12. Implications for Partners and Other Directorates**

12.1 No direct implications

**13. Risks and Mitigation**

13.1 The need to deliver a stable and balanced financial position in the short and medium term is a key corporate risk for the local authority and is reflected in the Corporate Risk Register.

13.2 As set out in section 3.20.1 as at 31<sup>st</sup> March 2017 the Council General Fund working balance was £11.269m. This is the same level as 2015/16 prior to which it was increased in light of the unprecedented speed of funding, welfare and other policy change. Having assessed the risks plus their impact on available balances and the potential scale of the financial challenges facing the Council, the Strategic Director of Finance and Customer Services confirms that at this stage it is reasonable to maintain the minimum working balance at this level, which takes into account the twin objectives of minimising the cost to the taxpayer whilst minimising the effect financial risk on the Council. Given current uncertainty about the longevity of funding and policy commitments it is intended that this balance will be carefully managed and may need to increase further to meet the level of risks in the system. Also as outlined in section 3.20.1 the Council also maintains separate Revenue Balances in respect of the HRA and Schools.

#### **14. Accountable Officer(s)**

Approvals Obtained from:-

Strategic Director of Finance and Customer Services:- Judith Badger

Assistant Director of Legal Services:- Dermot Pearson

Head of Procurement (if appropriate):- Not applicable

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<http://modern.gov.rotherham.gov.uk/ieDocHome.aspx?Categories=>

## Individual Directorate Outturn Positions

<b>Children and Young People's Service</b>	<b>£m</b>	<b>Key reason(s) for variance</b>
Directorate Wide	0.1	Costs of temporary interim managers and additional management support costs.
Locality Social Work Teams	0.1	Pressure on Direct Payments from both an increase in client numbers and the value of payments for clients who have more complex educational and disability needs. Additional agency staff costs incurred whilst recruiting to newly qualified Social Worker posts.
School Effectiveness	0.2	Reduced income from traded activities
Inclusion Services	(0.5)	Renegotiated Health contributions towards Complex Needs Placements (Education, Health and Care assessments). Additional spend on special educational needs and disability (SEND) transferred for funding through the DSG High Needs Block.
Early Years	(0.2)	Review of expenditure resulting in some costs transferring to the Dedicated Schools Grant Block
Early Help	(0.2)	In year savings within Children's Centres and from effective vacancy management within the service.

Children Looked After	2.8	Additional numbers of Looked after Children (revised budget provision for 460, actual numbers as at 31 <sup>st</sup> March of 488) contributing to overspends on Out of Authority Residential placements and Independent Fostering Agency placements. There was also an overspend on providing Leaving Care allowances and reduced income from Continuing Health Care contributions resulting from a change in funding criteria. These pressures were partially mitigated by savings resulting from the closure of Children's Residential Care Homes and additional grant income (Unaccompanied Asylum Seeker Children and Inter Agency Adoption).
<b>Total Children &amp; Young People's Service Variation</b>	<b>2.3</b>	



The Table below provides comparative information for the number and cost of Looked After Children for 2015/16 and 2016/17.

LOOKED AFTER CHILDREN  Placement Type	2015/16		2016/17		Actual Number of placements as at 31st March 2017
	Average No. of placements	Average Cost of Placement	Average No. of placements	Average Cost of Placement	
		£ per week		£ per week	
<b>Out of Authority Residential</b>	41.3	3,746	45.7	3,803	48
<b>Remand</b>	0.7	2,995	1.3	1,339	1
<b>Independent Fostering Agencies</b>	115.5	908	150.7	900	162
<i>Standard</i>	63.9	753	93.0	763	109
<i>Complex</i>	35.9	977	35.7	1,046	32
<i>Specialist</i>	15.7	1,358	22.0	1,243	21
<b>In-house Fostering</b>	189.0	281	179.0	333	197

<b>Adult Care &amp; Housing</b>	<b>£m</b>	<b>Key reason(s) for variance</b>
Adults general, Management, Training and Support	(0.1)	Planned delay on new qualifications training plus savings on recruitment to senior management posts.
Older Peoples Services	3.0	Overspends in respect of residential and nursing care due to a increase in the average cost of care packages, continued increased take up of Direct Payments/Managed Accounts/Domiciliary Care packages including an income budget pressure in respect of fees and charges. These pressures have been reduced by higher than anticipated staff turnover within Assessment and Care Management, plus additional non-recurrent Better Care Funding from Rotherham Clinical Commissioning Group (CCG).
Learning Disability Services	(0.9)	Overall underspend in respect of the lower take up of Shared Lives scheme, reconfiguration of Community Support and additional CHC income for supported living schemes, plus higher than anticipated staff turnover within in-house residential and day care provision.
Mental Health Services	0.9	Overspend due to additional high cost residential care placements plus increased take up of Direct Payments/Managed Accounts.
Physical and Sensory Disability Services	1.4	Overspend due to high cost residential and nursing placements plus additional demand for Direct Payments/Managed Accounts.
Adult Safeguarding	(0.2)	Higher than anticipated staff turnover due to restructure, additional funding for Domestic Violence and higher than anticipated income from managing Court of Protection cases.

Housing Related Support	0.1	Overall overspend due to delays in achieving budget savings on external contracts.
Commissioning, Performance and Quality	(0.3)	Underspend due to higher than anticipated staff turnover pending restructure, and lower than anticipated take-up of the new advocacy contract.
<b>Total Adult Services</b>	<b>3.9</b>	
<b>Neighbourhoods General Fund</b>		
Housing Options	(0.7)	Increased service fee income in respect of Furnished Homes scheme and private sector adaptations.
Neighbourhood Partnership and Engagement Services	(0.2)	Higher than anticipated staff turnover within Area Assemblies plus underspends due to the moratorium on non-essential spend and an underspend within the Members Community Leadership Fund.
Variations Less than £100k	-	Strategic Housing and Investment/Central Services
<b>Total Neighbourhoods General Fund Variance</b>	<b>(0.9)</b>	
<b>TOTAL ADULT CARE &amp; HOUSING</b>	<b>3.0</b>	

<b>Public Health</b>	<b>£m</b>	<b>Key reason(s) for variance</b>
Public Health (Specific Grant)	<b>0</b>	In addition to the use of the 2016/17 Public Health Grant (which reduced by £1.319m from 2015/16) the service utilised £235k of its reserve to present the balanced outturn. This is a very positive outturn for the service as the use of reserve was £592k less than had been planned for 2016/17.

<b>Regeneration &amp; Environment</b>	<b>£m</b>	<b>Key reason(s) for variance</b>
Estates	0.1	Under recovery of fee income due to a vacant post which has affected the services ability to generate external income. The service also engaged in non-fee earning work. Overspend partly offset by higher than budgeted income from Commercial Property.
Facilities Management	(0.5)	Savings on land and property costs due to the ongoing rationalisation of Council buildings. Staff savings as a result of vacancies and the capitalisation of premises lifecycle expenditure, resulting in an underspend on the premises fund.
Building Design and Corporate Projects	0.1	Under-recovery of income partly offset by service-wide staff savings
Adult Care & Housing Properties	(0.1)	Savings on utilities as a result of building closures during the year.
Markets	(0.1)	Revaluation gain following upwards revaluation of the Markets building.
Planning & Building Control	0.1	Under-recovery of income on Building Control applications and Local Land Charges as a result of economic conditions.
Rotherham Investment & Development Office (RIDO)	(0.3)	Additional grant income from the Department of Business, Energy and Industrial Strategy (BEIS), European Regional Development Fund (ERDF) Growth Hub and the use of reserves.
Facilities Services	(0.3)	Staff savings and an underspend on the Schools Catering traded service which will be carried forward into 2017/18.
Business Unit	(0.1)	Savings due to the moratorium on non-essential spend and offering a reduced training programme.

Green Spaces	0.1	Under-recovery of income at Rother Valley Country Park.
Tourism & Marketing	(0.1)	Staff savings and a reduced events programme in 2016/17.
Libraries & Customer Services	(0.2)	Staff savings as a result of vacant posts during the consultation period and non-pay savings as a result of the moratorium on non-essential spend.
Theatres	(0.2)	Staff savings as a result of vacant posts during the year and increased income.
Street Scene Services	0.1	An overspend in the Corporate Transport Unit, mainly home to school transport due to demand pressures, partly offset by savings in Street Cleansing and Grounds Maintenance as a result of staff savings.
Safer Neighbourhoods	(0.3)	Staff savings from vacancies in the Community Protection Service.
Emergency Planning and Health & Safety	(0.1)	Staff savings from vacant posts and savings to non-pay budgets.
Variation less than £100k	0.1	Corporate Environmental Team, Children's Capital Team, Corporate Property Management, Managed Workspace, Regeneration, Transportation, School Crossing Patrols, Sports Development, Trees & Woodlands, Heritage Services, Museum, Galleries & Archives, Community Safety and Business Regulation. Network Management
<b>Total Regeneration &amp; Environment Variance</b>	<b>(1.7)</b>	

<b>Finance &amp; Customer Services Directorate</b>	<b>£m</b>	<b>Key reason(s) for variance</b>
Revenues & Benefits	(0.8)	Recovery of Housing Benefit overpayments (£295k), reduced costs of collection (£240k) and staff cost savings (£236k) from vacancies and reduced overtime payments.
Customer, Information and Digital Services	(0.2)	Staff cost savings due to recruitment delays to the restructured service and additional income generation.
Finance	(0.1)	Staff cost savings and non-staff cost savings as a result of the spending moratorium.
Procurement	(0.1)	Staff cost savings and non-staff cost savings as a result of the spending moratorium.
Variation less than £100k	-	Legal, Elections, Statutory Costs, Business Unit and Internal Audit
<b>Total Finance &amp; Customer Services Variance</b>	<b>(1.2)</b>	

<b>Assistant Chief Executive</b>	<b>£m</b>	<b>Key reason(s) for variance</b>
Communications & Media	0.1	Additional staff costs, system and subscription costs
Democratic Services	(0.1)	Savings due to Members not receiving full Supplementary Responsibility Allowances (SRAs) and changes to Pension legislation. No expenditure incurred in respect of Town Twinning budget.
Policy & Partnerships	(0.2)	Staff cost savings and non-staff cost savings as a result of the spending moratorium. One-off income from the Local Government Association (£31k).  NB: The underspend on the Partnership budget (£71k) – see Appendix 3
Variation less than £100k	-	HR & Payroll, Management Support, Chief Executive's Office
<b>Total Assistant Chief Executive Variance</b>	<b>(0.2)</b>	

## APPENDIX 2

**Traded Services Outturn 2016/17**

The table below shows details of the Traded Services Outturn which in accordance with Council Policy are carried forward (surpluses or deficits) each year. All traded services in 2016/17 out-turned with a surplus balance.

2017/18 Service Business Plans reflect the carry-forward of these balances.

<b>Directorate</b>	<b>Service</b>	<b>Outturn (Surpluses)</b>
		<b>£</b>
Children & Young People's Services	School Meals Service	125,235
	School Music Service	28,168
Adult Care & Housing	Dispersed Units	79,489
Finance & Customer Services	Schools Insurance Fund	7,916
<b>TOTAL</b>		<b>240,808</b>



## APPENDIX 3

## Capital Programme – Carry-Forwards into 2017/18

## CHILDREN AND YOUNG PEOPLE'S SERVICE

<u>Project</u>	<u>Carry-Forward Explanation</u>	<u>£m</u>
<b><u>Primary Schools</u></b>		
Kiveton Park Infants	This project has provided a new nursery building to replace the old dilapidated nursery modular classroom building, and was completed over the Easter holiday period, in April 2017. The under spend will be re-profiled into 2017/18 to meet residual costs.	0.036
Laughton J&I	This project was started in 2016/17 and will provide a two classroom block extension and alterations to the main school building. The under spend will be re-profiled into 2017/18.	0.052
Maltby Hall Infants	This project was started in 2016/17 and relates to the demolition of an unused building. There have been various delays while different options were considered and then a further delay for a bat survey. The under spend will be re-profiled into 2017/18.	0.095
High Greave Infants	The scope of a previously approved project, to re-site existing mobile modular units, has been expanded to include development of the outside area using additional Early Years Capital funding from the Government.	0.009

<b><u>Other Projects</u></b>		
Special Educational Needs and Disability provision	A re-profiling of expenditure on the Special Educational Needs and Disability provision into 2017/18.	0.496
Capitalised Minor Enhancement programme	Using Government funding, minor enhancement works are carried out at schools. The under spend on the 2016/17 programme will be re-profiled into 2017/18.	0.377
Property Adaptations	Works to private properties to increase the Borough capacity for foster care placements. The under spend on the 2016/17 programme will be re-profiled into 2017/18 to continue those developments.	0.062
<b>TOTAL - CHILDREN AND YOUNG PEOPLE'S SERVICE</b>		<b>£1.127m</b>

## ADULT CARE &amp; HOUSING

<u>Project</u>	<u>Carry-Forward Explanation</u>	<u>£m</u>
<b><u>Neighbourhoods Services</u></b>		
Canklow Clearance	This is the continuation of a house clearance project. A small number of properties remain that need to be acquired and then demolished to clear the area.	0.142
Bellows Road Service Centre Clearance	The remaining budget for Bellows Road is for the compensation payments to traders.	0.056
IHMS – Phase 2	This phase of the project (Stock asset information – Keystone), started in 2016/17, work is continuing into 2017/18.	0.117
Fuel Poverty – Vulnerable People	A programme of thermal works (cavity wall and loft insulation) to homes, to alleviate fuel poverty in the private sector, has been delivered (242 homes in 2016/17). The scheme will continue into 2017/18 with a further 25-30 properties receiving investment.	0.048
Area Assembly Capital	Each of the 7 Area Assemblies received an allocation to be spent in line with priorities for each area. The underspend in 2016/17 is to be carried forward to deliver the work, mainly highways related, that was ordered but not delivered within the year.	0.050
Land Enabling and Strategic Acquisitions	Planned purchase of properties at Waverley was delayed due to contractor issues. The purchase of the properties will now take place Spring/Summer of 2017.	0.636
<b>TOTAL – ADULT CARE &amp; HOUSING DIRECTORATE</b>		<b>£1.049m</b>

## REGENERATION &amp; ENVIRONMENT

<u>Project</u>	<u>Carry- Forward Explanation</u>	<u>£m</u>
<b><u>Culture, Sport &amp; Tourism</u></b>		
Strategic Review of Libraries	<p>No spend in 2016/17 due to reviewing options for the future service offer of Library and Customer Services across all 16 sites.</p> <p>The Library Strategy and future service offer were approved by Council during 2016-17. This included specific recommendations relating to relocation of, and changes to, services which require capital expenditure during 2017-18. These, along with any additional proposed changes to service delivery, are being progressed in line with the wider review of assets.</p>	0.078
Brinsworth Library	<p>This project has been progressed in partnership with Brinsworth Parish Council during 2016-17. An options appraisal has recently been requested which will consider ways to continue to deliver and improve library provision in the area.</p> <p>Any proposed changes would be considered by Cabinet and would need to take account of the statutory nature of library provision, and the Council's wider review of assets. It is expected that this will take place as a matter of urgency during 2017-18.</p>	0.497
Alexandra Park	Some of the works profiled for 2016/17 required time to settle before finishing works could be undertaken. This has moved the final spend into 2017/18.	0.007
Clifton Park Bollards	Delay in provision of an electrical supply to the site has meant that completion of the project has been delayed into 17/18.	0.040

Barkers Park Changing Facilities	Procurement of contractors moved profiled spend into 2017/18.	0.040
Sanctuary Fields	The funding was to be utilised as a match for new equipment, but the application to a third party funder failed. There is a new application in progress for 2017/18.	0.005
Wath Park	The preferred contractor from the tender process went into administration leading to the re-profiling of expenditure. Contractor procured and contracts in place for delivery in June 2017.	0.037
Packman Way	This scheme has been delayed into 2017/18 as having employed a company to undertake soil sampling and testing, the site was found to be contaminated. A new site is required. The funding will now be spent at West Melton Park (this is allowable within the terms of the funding). Spend expected 2017/18.	0.020
Firsby Reservoir Phase 2	Ancillary earthworks, access works and ecology works have been postponed to 2017/18 to give the site a further year of natural recovery before any further works.	0.016
<b><u>Planning Regeneration and Transport</u></b>		
Town Centre Business Vitality Scheme	The carry-forward is in respect of grants to support new business start-ups into 2017/18.	0.074
Acquisition of Riverside Precinct	Agreement yet to be reached with occupants, re-profiled into 17/18.	0.347
Forge Island Redevelopment	Works to be carried out on the footbridge, including the roof and parapet. Demolition works complete.	0.030
Bassingthorpe Farm Development	Delayed start on site to minimise damage to the farmers' fields and crops after a period of very wet weather.	0.160
Pit House West Site Investigations	Project re profiled into 17/18.	0.046

Bailey House Condition	New projects associated with works at Bailey House have been approved for 17/18. To make it cost and time effective some of the works relating to this project have been delayed to correspond in 17/18.	0.075
Operational Property Condition Maintenance Programme	A number of projects within the property condition maintenance programme have underspent, or not started, due to preliminary delays and will continue/start in 17/18. These include RVCP heating/hot water system, Maltby Library relocation, Barbers Ave Depot roller shutters, Wath Library concrete works, Bailey House asbestos, and Hellaby Depot re-roofing.	1.112
Operational Buildings Capital Investment	A number of projects within the operational buildings capital investment programme have underspent or not started due to preliminary delays and will continue/start in 17/18. These include Markets complex works, Barbot Hall Industrial Estate retaining bank, Hellaby Depot Air Con, Bailey House Roof, Civic Theatre Dressing Rooms, and Victoria Park Rawmarsh foul drainage.	0.234
Suitability and Conditional Works Programme CYPs	Of the £0.900m approved budget for this programme of suitability and conditional works £0.522m remains to be re profiled into 17/18.	0.522
<b><u>Community Safety &amp; Environment</u></b>		
Landfill Sites	The carry-forward request is largely due to a number of operational issues. Wath experienced issues with the compressed air and pumping systems resulting in the use of loan equipment. Vandalism at Dropping Well Landfill has led to delays with works to the ground gas flare. Increased workloads, and staffing issues, have also impacted. Work to lay a new leachate line at the Wath site, together	0.066

	with electrical supply upgrade at the Dropping Well site, are expected during 17/18.	
Wath upon Dearne Flood Alleviation Scheme	As a result of cost savings on the original brief, additional works were agreed with the funder (Environment Agency). These works have progressed slowly due to staff resourcing issues.	0.043
Herringthorpe Valley Flood Defence	Work slipped due to a lack of capacity to carry out the works in house, as was initially proposed. Additional resources have now been allocated, the second phase of specialist modelling work has just been let to consultants and this work is progressing.	0.015
Whiston Brook flood storage	This is a joint project with the Environment Agency and was delayed due to their requirement for the computer modelling to be compatible with their systems. This issue has now been resolved and work is progressing.	0.030
Highways Maintenance	The in-year underspend will be carried forward to 17/18. This was the result of other schemes having to take priority, in particular improvements to the A618.	0.476
Highways Delivery (Connectivity, Network Management, Local Safety, Bus Projects, Smarter Choices & Step2)	Issues with the SCR approval process in respect of the STEP2 programme led to delays in projects commencing. Additionally the emergence of other schemes such as the A618 Growth Corridor placed further demands on the same design and delivery teams.	0.114
Bridges	Bridge works funded by grant re-profiled into 2017/18.	0.093
Pool Green Roundabout Highways Scheme	Re-profiling of expenditure into 2017/18 as the design and implementation resource to carry out the remaining safety audit works was redirected to the A618 scheme, which took priority.	0.164

A57 Scheme	Re-profiling of expenditure due to delays in agreeing with residents the installation of an electric gate and associated power supply.	0.058
SYITS	System Acceptance Testing and works on going. Slipped into 17/18 due to contractors work load and inability to meet original targets.	0.134
A630 Sheffield Parkway Widening	Project was delayed as traffic modelling by a third party consultant did not take place as originally timetabled and there was late commissioning of consultants through the Highways England Framework.	0.224
Waverley Link Road	Expenditure on the new Waverley Link Road was limited as a final decision on HS2 wasn't confirmed and agreement hadn't been reached with Sheffield City Council on the utilisation of playing fields.	0.174
Traffic Signal red light camera digital upgrade scheme	The delay in completion of the project has largely been down to issues with the provision of new BT phone lines and electrical connections. However the project is ongoing and is planned to complete in 17/18.	0.248
CIL Software	Delay in acquisition of system due early 17/18.	0.030
<b>TOTAL – Regeneration &amp; Environment Directorate</b>		<b>£5.209m</b>



## FINANCE &amp; CUSTOMER SERVICES DIRECTORATE

<u>Project</u>	<u>Carry Forward Explanation</u>	<u>£m</u>
ICT Strategy	A carry-forward request in respect of ongoing ICT Strategy 2 infrastructure projects and the financial systems project.	0.024
ICT Resilience	Resilience works within the Bailey House data centre. Part of the Bailey House renovation project referred to above.	0.009
ICT Digital Strategy	<p>During 2016/17 work has been undertaken firstly to develop the Digital Council Strategy, which was approved by the Cabinet and Commissioners' Decision Making Meeting in September, and secondly to develop key themes for future investment to enable the Council to meet the objectives of the Strategy.</p> <p>Following the conclusion of this work, business cases will now be brought forward for individual projects, such as Digital Collaboration, Digital Customer Services, Digital Place and Digital Workplace. As such the approved budget requires profiling into 2017/18.</p>	0.584
Network Equipment Refresh	Ongoing programme of network improvements re profiled into 17/18.	0.048
Computer Refresh	Ongoing programme to refresh staff computers re profiled into 17/18.	0.355
Replacement of server equipment	Ongoing programme to replace end of life and non-compliant IT server equipment re profiled into 17/18.	0.107
<b>TOTAL Finance &amp; Customer Services Directorate</b>		<b>£1.127m</b>



Cabinet and Commissioners' Decision Making Meeting  
Public Meeting

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## Summary Sheet

### Council Report

Cabinet and Commissioners' Decision Making Meeting – 10 July 2017

### Title

Annual Treasury Management Report and Actual Prudential Indicators 2016/17

### Is this a Key Decision and has it been included on the Forward Plan?

No

### Strategic Director Approving Submission of the Report

Judith Badger – Strategic Director of Finance & Customer Services

### Report Author(s)

Tina Stankley, Finance & Customer Services  
01709 822005 [tina.stankley@rotherham.gov.uk](mailto:tina.stankley@rotherham.gov.uk)

### Ward(s) Affected

All

### Summary

Council approved the treasury management strategy for 2016/17 at its meeting on 2 March 2016. Council also received a mid-year report at its meeting on 25 January 2017, representing a mid-year review of treasury activity during 2016/17.

The annual treasury management report is the final treasury report for 2016/17. Its purpose is to review the treasury activity for 2016/17 against the strategy agreed at the start of the year. The report also covers the actual Prudential Indicators for 2016/17 in accordance with the requirements of the Prudential Code.

The report meets the requirements of both the CIPFA Code of Practice on Treasury Management and the CIPFA Prudential Code for Capital Finance in Local Authorities.

The Council is required to comply with both Codes through Regulations issued under the Local Government Act 2003.

## **Recommendations**

That Cabinet

- 1.1 Note the Treasury Management Prudential Indicators out-turn position as set out in section 3 and Appendices A and B of the Annual Treasury Management Report for 2016/17.
- 1.2 Agree that the report is forwarded to Audit Committee for information

## **List of Appendices Included**

Appendix A – Summary Prudential Indicators for Rotherham MBC

Appendix B – Summary Prudential Indicators for the Former South Yorkshire County Council

## **Background Papers**

CIPFA – Code of Practice for Treasury Management in the Public Services Local Government Act 2003 (as updated)

CIPFA – Prudential Code (as updated)

## **Consideration by any other Council Committee, Scrutiny or Advisory Panel**

The report will also be presented to the Audit Committee on 19 July 2017.

## **Council Approval Required**

No

## **Exempt from the Press and Public**

No

## **Annual Treasury Management Report and Actual Prudential Indicators 2016/17**

### **1. Recommendations**

#### **That Cabinet**

- 1.1 Note the Treasury Management Prudential Indicators out-turn position as set out in section 3 and Appendices A and B of the Annual Treasury Management Report for 2016/17.
- 1.2 Agree that the report is forwarded to Audit Committee for information

### **2. Background**

- 2.1 The Council's treasury management activities are regulated by a variety of professional codes, statutes and guidance:
  - The Local Government Act 2003 (the Act), which provides the powers to borrow and invest as well as providing controls and limits on this activity;
  - The Act permits the Secretary of State to set limits either on the Council or nationally on all local authorities restricting the amount of borrowing which may be undertaken (although no restrictions were made in 2016/17);
  - Statutory Instrument (SI) 3146 2003, as amended, develops the controls and powers within the Act;
  - The SI requires the Council to undertake any borrowing activity with regard to the CIPFA Prudential Code for Capital Finance in Local Authorities;
  - The SI also requires the Council to operate the overall treasury function with regard to the CIPFA Code of Practice for Treasury Management in the Public Services;
  - Under the Act the CLG has issued Investment Guidance to structure and regulate the Council's investment activities; and
  - Under section 238(2) of the Local Government and Public Involvement in Health Act 2007 the Secretary of State has taken powers to issue guidance on accounting practices. Guidance on Minimum Revenue Provision was issued under this section on 8th November 2007.
- 2.2 The Council complied with all of the above relevant statutory and regulatory requirements which limit the levels of risk associated with its treasury management activities. In particular, the adoption and implementation of the Prudential Code and the Code of Practice for Treasury Management means that its capital expenditure is prudent, affordable and sustainable. Treasury investment practices are governed by the primary objectives of security ahead of liquidity and then yield.

### **3. Key Issues**

#### **3.1 OVERVIEW**

- 3.1.1 Indicators are set prior to the start of the financial year and reflect the known position at that time. Approved changes to the capital programme and its funding throughout the financial year, together with variations in treasury management activity, mean that actual indicators for the year may vary from the projections made prior to the start of the financial year. However, by regularly monitoring and reporting revisions to these indicators the Council is able to ensure the impact is known and managed through the Medium Term Financial Strategy.

The actual prudential indicators for 2016/17 for Rotherham MBC, with comparators, are shown in the attached Appendix A. Background to these is provided in the following paragraphs.

**3.1.2 Impact of the Council's Capital Expenditure and Financing 2016/17**

The Council incurs capital expenditure on long term assets. This may either be:

- Financed immediately through capital receipts, capital grants etc.; or
- If insufficient financing is available the expenditure will give rise to a borrowing need.

Part of the Council's Treasury activities is to address this borrowing need, either through borrowing from external bodies, or utilising temporary cash resources within the Council. The wider treasury activities also include managing the Council's cash flows, the impact of its previous borrowing activities and the investment of surplus funds. These activities are structured to manage risk foremost, and then optimise performance. The primary objective is security ahead of liquidity and then yield or return.

- 3.1.3 The Council's underlying need to borrow is called the Capital Financing Requirement (CFR). This figure is a gauge for the Council's debt position. It represents 2016/17 and prior years' net capital expenditure which has not yet been paid for by revenue or other resources. Following changes to accounting rules in 2009/10, the CFR also includes other long term liabilities which have been brought on balance sheet, for example, PFI schemes and finance lease assets.

The Non-HRA element of the CFR (excluding PFI schemes and finance lease assets) is reduced each year by a statutory revenue charge (the Minimum Revenue Provision - MRP). The CFR can also be reduced by:

- the application of additional capital resources (such as unapplied capital receipts); or
- charging more than the statutory revenue charge (MRP) each year through a Voluntary Revenue Provision (VRP).

At the end of the financial year the closing CFR is broadly in line with that approved as the revised indicator for the year.

### 3.1.4 Treasury Position at 31 March 2017

Whilst the Council's gauge of its underlying need to borrow is the CFR, the Strategic Director of Finance and Customer Services can manage the Council's actual borrowing position by either:

- borrowing up to the limit of the CFR (excluding the impact of PFI and similar contracts); or
- choosing to utilise some temporary internal cash flow funds instead of borrowing (under-borrowing); or
- borrowing for future increases in the CFR (borrowing in advance of need).

For 2016/17 it had been expected that borrowing would have been in line with the estimated borrowing need for the year whilst partly reducing the Council's 31 March 2016 under-borrowed position. The continued uncertainties driving the financial markets was such that the most prudent and cost effective approach was to continue to utilise temporary cash flow funds instead of borrowing.

Thus at 31 March 2017, the Council's borrowing (excluding PFI and similar schemes) and investments were as follows:

#### Council's Treasury Position 2016/2017

<b>Net Borrowing</b>	<b>As At 31 March 2017 £m</b>	<b>As At 31 March 2016 £m</b>
<b>External Borrowing</b>		
Public Works Loans Board (PWLB)	226.306	233.598
Market (e.g. Banks, Other Local Authorities)	243.000	243.000
Temporary Borrowing	30.000	0
	<b>499.306</b>	<b>476.598</b>
<b>External Investments</b>		
Debt Management Office	0	2.680
Banks	0	1.500
	<b>0</b>	<b>4.180</b>
<b>Net Borrowing</b>	<b>499.306</b>	<b>472.418</b>

Against the Council's Capital Financing Requirement of £657.987m (excluding PFI and similar arrangements totalling £135.551m), the Council's outstanding net debt of £499.306m is lower than this Requirement by approximately £158m due to the Council's prudent and cost effective approach of utilising temporary cash flow funds rather than taking out additional borrowings.

## 3.2 PRUDENTIAL INDICATORS AND COMPLIANCE ISSUES

Some of the prudential indicators provide either an overview or specific limits on Treasury activity:

### **3.2.1 Net Borrowing and the CFR**

In order to ensure that borrowing levels are prudent over the medium term the Council's external borrowing net of investments must only be used for a capital purpose. Net borrowing should not therefore, except in the short term, have exceeded the CFR for 2016/17 plus the expected changes to the CFR for 2017/18 and 2018/19. The Council complied with this prudential indicator throughout 2016/17.

### **3.2.2 The Authorised Limit**

The Authorised Limit is the "Affordable Borrowing Limit" required by S3 of the Local Government Act 2003. The Council does not have the power to borrow above this level. The Council maintained gross borrowing within its Authorised Limit, both excluding and including the impact of bringing PFI and similar arrangements on to the Council's Balance Sheet.

### **3.2.3 The Operational Boundary**

The Operational Boundary is the expected borrowing position of the Council during the year. Periods where the actual position is either below or over the Boundary is acceptable subject to the Authorised Limit not being breached. The Council maintained its borrowing position around its Operational Boundary.

### **3.2.4 Actual financing costs as a proportion of net revenue stream**

This indicator identifies the trend in the cost of capital (borrowing and the cost of other long term obligations but net of investment income) against the Council's Budget Requirement (net revenue stream) for the General Fund and budgeted income for the HRA.

Both indicators show a reduction in the actual financing costs as a proportion of net revenue stream. The General Fund ratio reduced from 6.46 (original budget) to 5.76 (actual out-turn). This was as a result of a combination of the actual net revenue stream for the year being higher than originally forecast and the actual MRP charge being lower than the original budget. The HRA ratio reduced from 16.43 (original budget) to 15.68 (actual out-turn). This was due to both the actual net revenue stream for the year being higher than originally forecast and the actual borrowing costs being lower than originally forecast.

### **3.2.5 Incremental impact of Capital Investment Decisions**

These two indicators are used to highlight the trend in cost arising from changes to the Council's capital investment plans:

- the impact on Council Tax Band D levels as already budgeted for within the Council's MTFS of changes to the General Fund capital programme, and
- the impact on weekly rent levels arising from changes in the housing capital programme

The incremental impact of capital investment decisions on the Band D Council Tax has reduced significantly from the original budget of £17.06 to £11.88. This is due to the actual borrowing required in the year being substantially lower than anticipated. More capital grants have been available and these have been applied in funding the capital programme, thus replacing the need to borrow. None of the HRA capital investment was financed by borrowing in 2016/17 and therefore there was no incremental impact of capital investment on HRA rent levels.

### **3.3 TREASURY MANAGEMENT INDICATORS**

#### **3.3.1 Limits on Activity**

Upper limits on fixed and variable interest rates as at 31 March 2017 – these indicators identify the maximum limits for fixed interest rate gross debt and for variable interest rates based upon the debt position, net of investments. The Council remained within the limits set throughout 2016/17.

Maturity structure of fixed rate borrowing during 2016/17 – These gross limits are set to reduce the Council's exposure to large fixed rate sums falling due for refinancing, and are required for upper and lower limits. The Council remained within the limits set throughout 2016/17.

Maximum funds invested for more than 364 days – This limit is set to reduce the need for early sale of an investment and is based on the availability of funds after each year end.

#### **3.3.2 Borrowing**

New and Replacement Borrowing - Three new long term loans of £10m each were drawn by Rotherham MBC during the year,

- one loan was with the PWLB borrowed over 5 years at an interest rate of 1.05%, (replacing a maturing loan)
- the second loan was with Siemens taken over 15 years at 2.66% (replacing a maturing loan)
- and the third loan was a new loan with the London Borough of Wandsworth taken over 2 years at 0.70%

This has given an overall average rate of 1.47%. The total long term borrowing taken was lower than the budget assumption for new & replacement borrowing in the financial year.

During the year temporary borrowing (maximum 3 months) was taken up on seven occasions to manage the Council's cash flow position. Of these short-term loans, three have been fully repaid in the year; one loan has been rolled over at the end of its 3 month term twice. It remains outstanding at the year-end, along with 3 other temporary loans.



Rescheduling – No rescheduling took place in 2016/17 due to the continuing market conditions which are unfavourable to debt rescheduling.

Debt Repayment – Four loans totalling £35m matured during the year as shown in the table below. Part repayments of principal (£2.278m) continued on the Annuity and Equal Instalment of Principal (EIP) loans taken up in prior years.

#### Debt Repayments 2016/17

Lender	Principal £m	Type	Interest Rate	Average rate of interest
PWLB	5.000	Fixed rate	2.18%	
PWLB	10.000	Fixed rate	0.69%	
Siemens	10.000	Fixed rate	3.22%	
Siemens	10.000	Fixed rate	3.14%	
PWLB EIP	2.000	Fixed rate	3.46%	
PWLB EIP	0.130	Fixed rate	1.89%	
PWLB Annuity	0.148	Annual repayments	Various	
<b>Total:</b>	<b>£37.278</b>			<b>2.37%</b>

The overall debt activity resulted in a slight decrease in the average interest rate on the Council's debt portfolio of 0.03%, from 4.20% to 4.17%. This has arisen as loans have matured (shown in the table above) and have been replaced with loans with lower interest rates.

### 3.3.3 Investments

The Council's investment policy is governed by DCLG Guidance, which was implemented in the annual investment strategy approved by Council on 2 March 2016. The investment activity during the year conformed to the approved strategy.

The Council maintained an average balance of funds on deposit of £16.2m and received an average return of 0.23%. When compared to the local measure of performance the average return was slightly higher the average 7 day LIBID rate for 2016/17 of 0.20%.

### 3.4 FORMER SOUTH YORKSHIRE COUNTY COUNCIL

No new borrowing or rescheduling took place during 2016/17, whilst one loan of £10m matured during the year. Thus at 31 March 2017, external debt, all with the PWLB, totalled £76.709m. The average interest rate on the debt is 5.42%.

The Former South Yorkshire County Council had no investments at 31 March 2017, the same position as at 31 March 2016.

The actual prudential indicators for the Former South Yorkshire County Council are shown in the attached Appendix B.

**4. Options considered and recommended proposal**

4.1 No options considered as the report outlines actual Treasury Management activity during 2016/17

**5. Consultation**

5.1 None required

**6. Timetable and Accountability for Implementing this Decision**

6.1 None

**7. Financial and Procurement Implications**

7.1 Treasury Management forms an integral part of the Council's overall financial arrangements.

**8. Legal Implications**

8.1 The report demonstrates compliance with the Code of Practice for Treasury Management in the Public Services Local Government Act 2003 (as updated) and the Prudential Code (as updated).

**9. Human Resources Implications**

9.1 There are no Human Resource implications arising from the report.

**10. Implications for Children and Young People and Vulnerable Adults**

10.1 There are no implications arising from the proposals to Children and Young People and Vulnerable Adults.

**11. Equalities and Human Rights Implications**

11.1 There are no implications arising from this report to Equalities and Human Rights.

**12. Implications for Partners and Other Directorates**

12.1 There are no implications arising from this report for Partners and other Directorates.

**13. Risks and Mitigation**

13.1 Regular monitoring of treasury management activity throughout the financial year ensures that risks and uncertainties are addressed at an early stage and hence kept to a minimum.

**14. Accountable Officer**

Approvals Obtained from:-

Strategic Director of Finance and Customer Services:- Judith Badger

This report is published on the Council's website or can be found at:-

<http://moderngov.rotherham.gov.uk/ieDocHome.aspx?Categories=>

## APPENDIX A

## Summary Prudential Indicators: Rotherham MBC

		Actual £m	Revised Estimate £m	Original Estimate £m
<b>1</b>	<b>Capital Expenditure (excluding PFI &amp; Finance lease liabilities)</b>	<b>56.490</b>	<b>58.396</b>	<b>68.304</b>
<b>2</b>	<b>Capital Financing Requirement (CFR) including PFI &amp; similar liabilities:</b>			
	General Fund	488.413	492.654	463.098
	HRA	304.125	304.125	306.445
	<b>Total</b>	<b>792.538</b>	<b>797.150</b>	<b>803.088</b>
<b>3</b>	<b>Net Borrowing compared to CFR excluding PFI &amp; similar liabilities:</b>			
	Total Borrowing	499.306	483.132	490.805
	Total Investments	0.000	20.000	20.000
	Net Borrowing	499.306	463.132	470.805
	CFR	656.987	661.555	667.654
	<b>Under-borrowing</b>	<b>157.681</b>	<b>192.908</b>	<b>193.353</b>
<b>4</b>	<b>Net Borrowing compared to CFR including PFI &amp; similar liabilities:</b>			
	Borrowing (from above)	499.306	483.132	490.805
	Borrowing (PFI etc.)	135.551	135.555	135.434
	Total Borrowing	634.857	618.687	626.239
	Total Investments	0.000	20.000	20.000
	Net Borrowing	634.857	598.687	606.239
	CFR	792.538	797.150	803.088
	<b>Under-borrowing</b>	<b>157.681</b>	<b>198.463</b>	<b>196.849</b>
<b>5</b>	<b>Authorised Limit for external debt</b>			
	Assumed Borrowing	700.700	700.700	698.201
	PFI & similar liabilities	137.588	137.588	137.588
	Authorised Limit	838.288	838.288	835.789
	Total Borrowing	634.857	618.687	626.239
	<b>Borrowing Below Limit</b>	<b>203.431</b>	<b>219.601</b>	<b>209.550</b>
<b>6</b>	<b>Operational boundary for external debt</b>			
	Assumed Borrowing	482.761	482.761	490.805
	PFI & similar liabilities	137.588	137.588	137.588
	Operational Boundary	620.349	620.349	628.393
	Total Borrowing	634.857	618.687	626.239
	<b>Borrowing Below/(Above) Boundary</b>	<b>-14.508</b>	<b>1.662</b>	<b>2.154</b>
<b>7</b>	<b>Maximum Funds invested &gt; 364 days</b>	<b>0.000</b>	<b>10.000</b>	<b>10.000</b>

		<b>Actual</b>	<b>Revised Estimate</b>	<b>Original Estimate</b>
		<b>%</b>	<b>%</b>	<b>%</b>
<b>8</b>	<b>Ratio of financing costs to net revenue stream – Non HRA</b>	5.76	5.93	6.46
<b>9</b>	<b>Ratio of financing costs to net revenue stream – HRA</b>	15.68	15.98	16.43
		<b>£</b>	<b>£</b>	<b>£</b>
<b>10</b>	<b>Incremental impact of capital expenditure plans on the Band D Council Tax</b>	11.88	17.00	17.06
<b>11</b>	<b>Incremental impact of capital expenditure plans on housing rents levels</b>	0.00	0.00	0.00

<b>12</b>	<b>Maturity Structure of Fixed Rate Borrowing</b>	<b>Actual %</b>	<b>Revised Upper Limit %</b>	<b>Original Upper Limit %</b>
	Under 12 Months	4.26	35	35
	12 months to 2 years	5.33	35	35
	2 years to 5 years	11.29	40	40
	5 years to 10 years	7.35	40	40
	10 years to 20 years	6.43	45	45
	20 years to 30 years	6.03	50	50
	30 years to 40 years	12.00	50	50
	40 years to 50 years	26.00	55	55
	50 years and above	21.31	60	60

<b>13</b>	<b>Upper Limit on fixed interest rates based on fixed net debt</b>	<b>Actual %</b>	<b>Revised Upper Limit %</b>	<b>Original Upper Limit %</b>
		73.76	100	100

<b>14</b>	<b>Upper Limit on variable rates based on fixed net debt</b>	<b>Actual %</b>	<b>Revised Upper Limit %</b>	<b>Original Upper Limit %</b>
		26.24	30	30

## APPENDIX B

## Summary Prudential Indicators: Former South Yorkshire County Council

		Actual £m	Revised Estimate £m	Original Estimate £m
1	<b>Authorised Limit for external debt</b>			
	Authorised Limit	86.709	86.709	86.709
	Total Borrowing	76.709	86.709	86.709
	<b>Borrowing Below Limit</b>	<b>10.0</b>	<b>0</b>	<b>0</b>
2	<b>Operational boundary for external debt</b>			
	Operational Boundary	86.709	86.709	86.709
	Total Borrowing	76.709	86.709	86.709
	<b>Borrowing Below Boundary</b>	<b>10.0</b>	<b>0</b>	<b>0</b>

3	<b>Maturity Structure of Fixed Rate Borrowing</b>	Actual %	Revised Upper Limit %	Original Upper Limit %
	Under 12 Months	51.76	25	25
	12 months to 2 years	1.06	50	50
	2 years to 5 years	47.18	100	100

4	<b>Upper Limit on fixed interest rates based on fixed net debt</b>	Actual %	Revised Upper Limit %	Original Upper Limit %
		100.00	100	100

5	<b>Upper Limit on variable rates based on fixed net debt</b>	Actual %	Revised Upper Limit %	Original Upper Limit %
		0.00	30	30

### Summary Sheet

Cabinet and Commissioners' Decision Making Meeting – 10 July 2017

### Title

May Financial Monitoring Report 2017/18

### Is this a Key Decision and has it been included on the Forward Plan?

No, but it has been included on the Forward Plan

### Strategic Director Approving Submission of the Report

Judith Badger – Strategic Director of Finance and Customer Services

### Report Author(s)

Anne Ellis – Finance Manager

01709 822019 or [anne.ellis@rotherham.gov.uk](mailto:anne.ellis@rotherham.gov.uk)

### Ward(s) Affected

All

### Executive Summary

This report sets out the financial position for the Revenue Budget at the end of May 2017 and is based on actual costs and income for the first two months of 2017/18 and forecast for the remainder of the financial year. This is the first of a series of monitoring reports for the new financial year which will continue to be brought forward to Cabinet and Commissioners on a regular basis.

Delivery of the Council's Revenue Budget and Medium Term Financial Strategy within the parameters agreed at the start of the current financial year is essential, if the objectives of the Council's Policy Agenda are to be achieved. Financial performance is a key element within the assessment of the Council's overall performance framework.

As at May 2017 the Council has a forecast overspend on General Fund of £6.9m. The majority of the £24m budget savings approved within the 2017/18 are being achieved. £11.9m of those savings are Directorate budget savings. However, in addition to those budget savings, Directorates also have to achieve £5.4m of budget savings in 2017/18 which were agreed in previous budgets. Total Directorate savings for 2017/18 therefore are £17.3m. The current position is that around £5.3m of those total savings are at risk of not being achieved in this financial year (and are reflected in the current overspend projection). Work continues to identify alternative or additional savings in order to maintain a balanced budget position.

Management actions also continue to address areas of overspend. The overall budget position will continue to be monitored closely with regular updates on progress in maintaining a balanced budget position reported regularly through these Financial Monitoring reports.

The projected outturn position also assumes that the savings of £1.1m for 2017/18 set against staff terms and conditions of employment are met from Directorate staffing budgets. The process for identifying and capturing those savings against workforce budgets is currently being agreed.

The forecast overspend should be set against a backdrop of the Council having successfully addressed cost pressures of £138m over the last six financial years and having to save a further £24m in the current year and to deliver an additional £42m in efficiencies and savings in the following two financial years in order to balance the Council's General Fund Revenue Budget by 2019/20.

A significant in-year pressure of £4.880m on the Dedicated Schools Grant (DSG) High Needs Block continues. A recovery strategy set in place last year will however resolve £3m of the deficit and mitigate the in-year pressure through a series of measures including: a revised Special School funding model; a review of high cost out of authority education provision with a view to reducing cost and moving children back into Rotherham provision where possible; and a review of inclusion services provided by the Council. Whilst this pressure does not directly affect the Council's financial position at this time it is imperative that the recovery strategy is implemented in order to address this position and avoid any risk to the Council in the future.

Control over spending is critical to maintaining a robust Medium Term Financial Strategy and avoiding unplanned spending impact on the Council's reserves. All Services continue to develop mitigating actions and alternative savings to compensate for financial pressures and delays in delivering the full amount of savings. The financial monitoring report to Cabinet in September will provide updates on these actions.

## **Recommendations**

That Cabinet:

- Notes the current forecast overspend for 2017/18 of £6.9m.
- Notes that management actions continue to be developed to address areas of overspend and to identify alternative and additional savings to mitigate shortfalls in achieving planned savings in 2017/18.
- Notes that a detailed Dedicated Schools Grant (DSG) Recovery Strategy which will transfer £3m in 2017/108 to reduce the forecast High Needs Block deficit and mitigate the in-year pressure through a series of measures has been set in place. .
- Notes that the Capital Programme position and Treasury Management key indicators for the first quarter of 2017/18 will be reported as part of the July monitoring cycle.



**List of Appendices Included**

None

**Background Papers**

evenue Budget and Council Tax Setting Report for 2017/18 to Council 8<sup>th</sup> March 2017

**Consideration by any other Council Committee, Scrutiny or Advisory Panel**

Yes – Overview and Scrutiny Management Board

**Council Approval Required**

No

**Exempt from the Press and Public**

No

## **May Financial Monitoring Report 2017/18**

### **1. Recommendations**

#### **That Cabinet**

- 1.1 Notes the current forecast overspend for 2017/18 of £6.9m.
- 1.2 Notes that management actions continue to be developed to address areas of overspend and to identify alternative and additional savings to mitigate shortfalls in achieving planned savings in 2017/18.
- 1.3 Notes that a detailed Dedicated Schools Grant (DSG) Recovery Strategy which will transfer £3m in 2017/108 to reduce the forecast High Needs Block deficit and mitigate the in-year pressure through a series of measures has been set in place. .
- 1.4 Notes that the Capital Programme position and Treasury Management key indicators for the first quarter of 2017/18 will be reported as part of the July monitoring cycle.

### **2. Background**

- 2.1 As part of its performance and control framework the Council is required to produce regular and timely reports for the Strategic Leadership Team and Cabinet to keep them informed of financial performance on a timely basis so that, where necessary, actions can be agreed and implemented to bring expenditure in line with the approved budget for the financial year.
- 2.2 Delivery of the Council's Revenue Budget, Medium Term Financial Strategy, and Capital Programme within the parameters agreed by Council is essential if the objectives of the Council's Policy Agenda are to be achieved. Financial performance is a key element within the assessment of the Council's overall performance framework.
- 2.3 Control over spending is critical to a robust Medium Term Financial Strategy (MTFS) to avoid unplanned spending impact on the Council's reserves. The Council's current MTFS identified that, in response to reduced Government funding, the Council needs to reduce its net spending by around £42m for the two years 2018/19 and 2019/20. The MTFS is being reviewed and updated to report back to Cabinet in late Summer.
- 2.4 This report is the first financial monitoring report for 2017/18, which sets out an early view of the forecast revenue budget financial position based on actual cost and income for the first two months of the financial year and forecast year end position. Reporting on the Council's Capital monitoring will start with information from the June quarter and future reports will include details of capital spending and the projected capital outturn position
- 2.5 The current revenue position after 2 months shows a forecast revenue overspend of £6.9m.

### 3. Key Issues

- 3.1 Table 1 below shows the summary forecast revenue outturn position by Directorate. The table shows the forecast outturn position after management actions which have already been quantified and implemented.

**Table 1: May Cumulative - Forecast Revenue Outturn 2017/18**

Directorate / Service	Revised Annual Budget 2017/18	Forecast Outturn 2017/18	Forecast Variance (over (+) / under (-) spend) AFTER management actions
	£'000	£'000	£'000
Children & Young People's Services	62,332	63,988	+1,656
Adult Care & Housing	62,052	67,410	+5,358
Regeneration & Environment Services	43,940	43,940	0
Finance & Customer Services	13,264	13,219	-45
Assistant Chief Executive	6,259	6,246	-13
Capital Financing, Levies and Central Services	16,979	16,979	0
<b>SUB TOTAL</b>	<b>204,826</b>	<b>211,782</b>	<b>+6,956</b>
Public Health (Specific Grant)	16,734	16,734	0
Dedicated Schools Grant	106,312	111,192	+4,880
Housing Revenue Account (HRA)	84,564	84,459	-105

Directorate Services Savings of £11.9m were included in the 2017/18 Budget, in addition to £5.4m of savings agreed in previous budgets for delivery in 2017/18. The following amounts from that total savings of £17.3m have been identified as currently being at risk of not being achieved in 2017/18 and are reflected as such in the projected outturn position.

- CYPs Business Support £0.4m
- Adult Care and Housing – £4.1m
- Regeneration & Environment Services - £0.6m
- Finance & Customer Services - £0.2m

The following sections (paragraphs (3.2 to 3.32) provide key reasons for the forecast level of annual revenue under or overspend within Directorates and of progress in savings delivery.

#### **Children & Young People's Directorate (+£1,656k forecast overspend)**

- 3.2 The May revenue full year forecast for Children's and Young People's Services is £1.656m over budget. The service continues to face a range of pressures which are considered below. Further actions to mitigate the budget pressures are being developed by the service.

- 3.3 The Looked After Children (LAC) placement budget in 2017/18 will fund the cost of approximately 480 children in care. The continued increase in LAC above this threshold can be partially mitigated by the over achievement to date of recruitment to permanent posts with a consequent cost saving against the original staff assumptions in the budget with regard to the rate of transition from agency to permanent workers. This translates to additional funding for up to 20 children in care in 2017/18 giving a revised budget of 500 places.
- 3.4 The current number of Looked After Children (LAC) as at the end of May is 509. This is a sharp increase of 4.5% compared with the actual number as at the end of the 2016/17 financial year - 487 and has resulted in a cost pressure of £450k. Any further increase in numbers above the latest estimate for the year or a transfer of existing placements to more expensive provision will result in further cost pressure on the social care budgets.
- 3.5 Expenditure on the Leaving Care budget also continues to rise above budgeted forecasts (+£286k) with generally more placements at higher cost. The number of care leavers supported has increased steadily from 199 as at February 2015 to 218 at the end of May 2017. A new Leaving Care policy is being developed, which will aim to: standardise payments and to promote a more efficient and effective monitoring process, ensuring that provision is appropriate to client needs.
- 3.6 A Placements Review Group has been established to confirm the appropriateness of placements and to review existing high cost packages of care to ensure both their quality and efficacy. The scope of the review will include both LAC placements and Leaving Care arrangements and SEND complex needs. The group will provide assurance to the CYPS Business Savings and Delivery Operational Group regarding the approved investment and associated savings linked to the placement budget which was set out in the MTFs update to Council in December 2016. To date, the individual projects are on target to deliver their stated outcomes, however the overall savings against budget will be compromised by the continued growth in LAC numbers due to a number of factors outside of the service's control.
- 3.7 A joint "Fusion Centre" bid for Government funding to meet the support needs of Operation Stovewood, an active National Crime Agency (NCA) operation which is incomparable with any other recent or historic investigation, has been made and notification of the result is awaited by the end of the summer. Should the funding not be received, this may result in a further cost pressure in the current financial year – the reported outturn position as at May – an overspend of £365k reflects this but if the grant bid is successful this pressure will reduce.

- 3.8 As part of the 2017/18 Revenue Budget the Council approved a saving of £800k for delivery against the directorate's Business Support function. A Business and Savings Delivery Group has been established to provide assurance in respect of the delivery of savings and the management of the associated financial risks and issues. To date, the Group has identified annual savings of £445k across the directorate to offset the Business Support Review savings target – the balance of £355k remains a cost pressure within social care at this time.
- 3.9 Other Services within CYPS including the Special Educational Needs and Disabilities (SEND) within Education and Skills and School effectiveness are currently forecast to spend in line with budgets.

#### **Dedicated Schools Grant**

- 3.10 The Directorate is currently forecasting an overspend on its Dedicated Schools Grant (DSG) High Needs Block of £4.880m. The other elements of DSG are currently forecast to spend in line with budgets. At the end of 2016/17 the outturn position showed an overall deficit of £5.213k on the non-delegated DSG, comprised as follows:
- Early Years Block: +£0.217m Overspend
  - Schools Block: -£0.640m Underspend
  - High Needs Block: +£5.636m Overspend
- 3.11 The service has developed a Recovery Strategy that will transfer £3m of funding from the Schools Block DSG Allocation in 2017/18 to the High Needs Block to part fund the 2016/17 deficit. This transfer will be made in 2017/18 and will reduce the forecast deficit reported above to £2.636m in 2017/18. In addition the recovery plan aims to mitigate the in-year pressure of £4.880m and reduce it to £3.971m through a series of measures including: a revised Special School funding model; a review of high cost out of authority education provision with a view to reducing cost and moving children back into Rotherham provision where possible; and a review of inclusion services provided by the Council. The cumulative DSG deficit including in-year mitigating actions, is forecast to be £6.607m. The recovery strategy is for this to be reduced down to £1.796m by April 2019.

#### **Adult Services (+£5.366m forecast overspend) & Housing (-£8k forecast underspend)**

- 3.12 Adult Care Services are currently forecasting an overall overspend of £5.366m in 2017/18. This includes a current anticipated shortfall of £4.1m in delivering all of the 2017/18 budget savings in the current financial year. Currently within Adult Care there are pressures relating to the assessment capacity and this has been addressed in the interim by introducing a more flat structure into the teams whilst a realignment of the current pathways takes place. This is scheduled for late September/October 2017 and will include strengthening the front door to ensure that demand management is robust, to divert, signpost and provide a customer focussed service in place.

- 3.13 The £6.2m allocation for Adult Social Care from the Chancellor's Spring Statement needs to address pressures across the social care system with Health partners. This will relate to, amongst other issues, mitigating further challenges in the system, particularly around hospital admission and discharge.
- 3.14 In any change to an individual package of support, in law there needs to be a reassessment of need and therefore a systems change will take time if sustainable change is to take place and therefore a planned approach will be required.
- 3.15 The current outturn forecast takes into account the anticipated impact on adult social care costs of the £6.2m funding and of the £1.1m Improved Better Care Fund, announced as part of the Local Government Finance Settlement. Final arrangements for use of the funding and therefore how the funding impacts on adult social care, are being negotiated with the CCG. The outcome of these negotiations will be factored into future months financial monitoring reports.
- 3.16 In addition to the above forecast overspends, there are further delays on achieving budget savings in respect of Care Enabling within Extra Care Housing (£0.4m) and the review of Rothercare and Assistive Technology provision (£0.3m).
- 3.17 Neighbourhood services' (Housing) latest forecast is an underspend of £8k mainly due to current staff vacancies within Neighbourhood Partnerships pending final recruitment to the recently agreed new Neighbourhood Working Model.

### **Adult Care & Housing – Recovery Strategy Update**

- 3.18 The demand for residential placements is reducing however budget pressures remain due to the increasing cost of care packages. There are also underlying budget pressures from unachieved budget savings carried forward from previous years, for example, Continuing Health Care funding and a reduction in the level of client contributions to services after financial assessment.
- 3.19 One of the main budget savings measures identified is the continued review of out of area and high cost care packages across all services to identify opportunities to reduce costs and rigorously pursue all Continuing Health Care funding applications with the Clinical Commissioning Group. Budget meetings are held with senior managers to review in detail the budget forecasts, monitor demographic pressures, to identify further savings opportunities and to mitigate pressures. Progress continues on the delivery of the Adult Services Development Programme to improve the outcomes for service users and additional reports on a range of options for future service delivery, including further consultation with service users and carers will shortly be considered by Cabinet.

- 3.20 Other management actions include the continuation of bi-weekly meetings of a Practice Challenge Group (PCG) to review and challenge all care assessments prior to discussion with users and carers.
- 3.21 Further investment, as approved by Council in December, has been made in a brokerage team, additional social worker capacity and additional resources to review Direct Payments and Managed Accounts. These are expected to lead to further reductions in expenditure during the current financial year.

**Public Health (forecast balanced outturn)**

- 3.22 The forecast outturn is to spend to budget at this stage including a transfer from the Public Health Reserve to balance the budget. This forecast outturn takes into account the 2017/18 reduction in Government grant funding of £423k, which has largely been mitigated through the use of the balance on the Public Health grant reserve.

**Regeneration and Environment Services (balanced budget)**

- 3.23 The Regeneration and Environment Directorate Management Team have reviewed the forecast outturn position following the May monitoring cycle and a pressure of £0.410m has been identified for the Directorate. The Directorate has agreed savings totalling £4.89m in 2017/18 some of which are predicated on property savings arising from service reviews within other Council services. Other reviews have identified potential savings (e.g. the review of Corporate Transport, including Home to School Transport) but the current view is that these will take longer to deliver than previous assumptions. In order to achieve a balanced position, therefore, the Directorate Management Team will need to find additional savings from other areas in R&E to offset the savings that will take longer to deliver. As in 2016/17, this will be achieved through a robust budgetary monitoring challenge process and ongoing tight day to day budgetary control. Careful financial management will be achieved through the management of vacant posts and through operating strict controls on non-essential spend.
- 3.24 There are a number of overspends and underspends across the Directorate. The main forecast overspends within the Directorate are in summary: Street Scene Services (£227k), Facilities Management £142k), and Facilities Services (£138k). These forecast overspends are partly mitigated by forecast underspends in other areas – in particular in Safer Neighbourhoods (-£173k).
- 3.25 The current Directorate forecast position excludes any pressure which may be incurred on the Winter Maintenance budget. This is weather dependent and is flagged as a risk at this stage.

**Finance & Customer Services (-£45k forecast underspend)**

- 3.26 Overall, the Directorate is forecasting an underspend of £45k for the year as a whole. Staff cost pressures are forecast in Legal and Procurement Services and there are pressures relating to the delivery of contract savings Customer, Information and Digital Services (CIDS). These pressures are, however, more than offset by staff cost savings within Revenues and Benefits and the resulting reduction in the cost of collection of Business Rates and Council Tax.

**Assistant Chief Executive (-£13k forecast underspend)**

- 3.27 An underspend of £13k is forecast for the year by the Assistant Chief Executive's Directorate. Although the HR and Payroll Service has lost income from schools and academies and demand/income from disclosure and barring checks has reduced, these pressures are more than offset by staff cost savings across the wider Directorate due to vacancy control and the reduced cost of Members' allowances.

**Corporate & Central Services – balanced budget**

- 3.28 The Corporate and Central services Budget which covers capital financing costs, levies and central costs is currently forecast to achieve a balanced budget for 2017/18. This, however is on the assumption that the staffing savings of £1.1m for 2017/18 set against staff terms and conditions will be achieved from Directorate staffing budgets.
- 3.29 The Council's flexible use of capital receipts policy for 2017/18 anticipates that includes a requirement to fund the first £2m of any staff severance costs will be financed from in-year capital receipts. The actual level of capital receipts for 2016/17 was £2.3m and it is expected that at least £2m will be generated in 2017/18. The use of any capital receipts above the level of £2.0m will be determined within the Council's overall financial strategies.

**Capital Programme and Treasury Management**

- 3.30 The March 2017/18 Budget report included the Council's Capital Programme – capital budgets and spending plans are currently being updated to reflect under/over spends in 2016/17 for continuing projects. The Capital Programme position for the first quarter of 2017/18 will be reported as part of the July monitoring cycle.
- 3.31 Treasury Management Strategy, which is integral to the management of the Capital Programme and to the overall budget strategy, has associated Prudential Indicators (PIs), which, the Prudential Code (the statutory framework within which the treasury function has to operate) requires the Council to approve and monitor and it is intended that the position for the first quarter of 2017/18 will be reported with the first capital monitoring.



## **Housing Revenue Account (HRA) – (Forecast -£0.105m underspend)**

3.32 The Housing Revenue Account is a statutory ring-fenced account that the Council has to maintain in respect of the income and expenditure incurred in relation to its council dwellings and associated assets. The HRA forecast outturn for the current financial year is a transfer to reserves of £0.105m – compared to a break even budget. The surplus is mainly due to staff vacancies with the Supervision and Management section of the HRA.

### **4. Options considered and recommended proposal**

4.1 With regard to the current forecast revenue overspend of £6.9m:

- Management actions are being identified with the clear aim of bringing expenditure into line with budgets and the impact of these actions will be included in future financial monitoring reports to Cabinet.
- In addition, £5.3m of Directorate savings targets are currently identified as at risk of delivery in 2017/18 and for which Directorate Management Teams are tasked with finding alternative and additional savings from other areas in order to achieve a balanced position.

4.2 In setting the 2017/18 Revenue Budget the use of £5.3m reserves was approved providing time for further action to be taken to deliver the substantial further savings required over the two financial years 2018/19 to 2019/20. This approach was based on the Council currently having a balance of reserves which could mitigate overall budget risk in the short term and to support a sustainable financial plan in the medium term. It is inevitable that to any extent that planned savings are not delivered and a balanced budget cannot be maintained for 2017/18, there will be an impact on the Council's reserves.

4.3 Within the current financial climate, effective and carefully planned use of reserves is ever more critical to the Council's ability to maintain a robust balanced budget and it is level and is not called upon for other purposes save in exceptional circumstances with the agreement of the Leader of the Council, Chief Executive and the Strategic Director of Finance & Customer Services and approved by the appropriate body of the Council in accordance with the Constitution.

### **5. Consultation**

5.1 The Council consulted extensively on budget proposals for 2017/18. Details of consultation are set out within the Budget and Council Tax 2017/18 report approved by Council on 8<sup>th</sup> March 2017.

### **6. Timetable and Accountability for Implementing this Decision**

6.1 Strategic Directors, Managers and Budget Holders will ensure continued close management and scrutiny of spend for the remainder of the financial year.

- 6.2 Financial Monitoring reports are taken to Cabinet and Overview and Scrutiny meetings during the year. The next Financial Monitoring Report considered by Cabinet in September.

## **7. Financial and Procurement Implications**

- 7.1 There is currently a projected overspend of £6.9m as set out within section 3 of this report. This includes a current shortfall in delivery of £5.3m of the total amount of budget savings agreed for 2017/18.
- 7.2 It is inevitable that to any extent that planned savings are not delivered and expenditure exceeds budgets in year, there would be an impact on the Council's reserves as unplanned spending impacts on reserves levels. Control over spending is therefore critical to a robust Medium Term Financial Strategy. All areas at risk of shortfall in savings or subject to budget pressures are subject to review to identify alternative savings.
- 7.3 Failure to achieve planned savings and to contain spending within the agreed budget in the current financial year will also have implications for subsequent financial years 2018/19 and 2019/20 for which the current MTFS identifies a further £42m as being required to balance budgets.

## **8. Legal Implications**

- 8.1 No direct implications.

## **9. Human Resources Implications**

- 9.1 No direct implications.

## **10. Implications for Children and Young People and Vulnerable Adults**

- 10.1 This report includes reference to the cost pressures on both Children's and Adult' Social care.

## **11. Equalities and Human Rights Implications**

- 11.1 No direct implications.

## **12. Implications for Partners and Other Directorates**

- 12.1 No direct implications. As management actions are developed some of these may impact upon Partners. Timely and effective communication will therefore be essential in these circumstances.

## **13. Risks and Mitigation**

- 13.1 At a time of economic difficulty and tight financial constraints, managing spend in line with the Council's Budget is paramount. Careful scrutiny of expenditure and income across all services and close budget monitoring therefore remain a top priority if the Council is to deliver both its annual and medium term financial plans while sustaining its overall financial resilience.

- 13.2 Any potential further cost of CSE claims over and above that already provided for in the 2016/17 accounts is not included in this report.
- 13.3 Potential pressures on the winter maintenance budget arising from adverse weather are not reflected in this report.
- 13.4 There is a risk that the costs falling on the Council for sponsored academy conversions in- year may exceed the funding set aside for this purpose.
- 13.5 Although both Council Tax and Business Rates collection levels are on target there is a minimal risk that this could change during the remaining months of the year.

**14. Accountable Officer(s)**

Pete Hudson – Chief Finance Manager  
Graham Saxton – Assistant Director-Financial Services

Approvals Obtained from:-

Strategic Director of Finance and Customer Services:- Judith Badger

Assistant Director of Legal Services:- Dermot Pearson

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## Summary Sheet

### Council Report

Cabinet and Commissioners' Decision Making Meeting – 10 July 2017

### Title

Interim Review of Polling Places 2017

### Is this a Key Decision and has it been included on the Forward Plan?

Yes

### Strategic Director Approving Submission of the Report

Judith Badger, Strategic Director Finance & Customer Services

### Report Author(s)

Claire Wardle

### Ward(s) Affected

Anston and Woodsetts, Brinsworth and Catcliffe, Maltby, Rother Vale

## Summary

The purpose of this report is to seek a recommendation from Cabinet to Council for approval of the commencement of an interim review of polling places in 2017 and the grant of delegation to the Chief Executive to designate polling places where a decision to do so is required at short notice.

## Recommendations

1. That Cabinet recommend to Council that:
  - a. approval is granted to undertake an interim review of polling places in 2017 following the process described in this report.
  - b. the scope of the review and the proposals for changes be noted.
  - c. the outline timetable for the review, as set out in Appendix 1, be agreed.
  - d. power to designate polling places in accordance with section 18B of the Representation of the People Act 1983 be delegated to the Chief Executive, such power to be exercised only in circumstances where a decision is required at short notice and it is not possible to await a decision of Council.

2. That following the outcome of the consultation on the review, the Assistant Director of Legal Services reports to Cabinet with final interim review proposals for determination in order for Cabinet to make final recommendations to Council.

**List of Appendices Included**

Appendix 1 – Review Timetable  
Appendix 2 – Consultation Paper  
Appendix 3 – Notice of Interim Review  
Appendix 4 – Maps

**Background Papers**

[Electoral Commission guidance on the review of polling districts and polling places](#)

**Consideration by any other Council Committee, Scrutiny or Advisory Panel**

No

**Council Approval Required**

Yes

**Exempt from the Press and Public**

No

**Title**

Interim Review of Polling Places 2017

**1. Recommendations**

1.1 That Cabinet recommend to Council that:

- 1.1.1 approval is granted to undertake an interim review of polling places in 2017 following the process described in this report.
- 1.1.2 the scope of the review and the proposals for changes be noted.
- 1.1.3 the outline timetable for the review, as set out in Appendix 1, be agreed.
- 1.1.4 power to designate polling places in accordance with section 18B of the Representation of the People Act 1983 be delegated to the Chief Executive, such power to be exercised only in circumstances where a decision is required at short notice and it is not possible to await a decision of Council.

**2. Background**

- 2.1 Under the Representation of the People Act 1983, the council has a duty to divide its area into polling districts and to designate a polling place for each district.
- 2.2 The following definitions may be helpful when reading the report and Appendices.
  - “Polling districts” are geographical electoral areas into which wards and constituencies may be sub-divided.
  - “Polling places” are the buildings or areas designated by the council where electors in a polling district go to vote in person.
  - “Polling stations” are the number of issuing desks in the building that is the designated polling place.
- 2.3 The Electoral Administration Act 2006, as amended, introduced a duty on all local authorities in Great Britain to review their polling districts and polling places at least once every five years. The Council undertook the last full compulsory review between November 2013 and December 2014. The next full compulsory review is due to take place between November 2018 and December 2019. That full review will take into account the new borough ward boundaries and new parliamentary constituency boundaries which will be in place for the May 2020 local and general parliamentary elections.
- 2.4 The 1983 Act (Section 18C(3)) allows a local authority to conduct an interim review of polling places within its area, outside the timescales for a compulsory review. As the next planned elections (City Region Mayoral elections) are not scheduled until May 2018, it is considered appropriate

to carry out an interim review to address issues which have arisen with the current provision of polling places. Since the last review, issues have arisen with four of the council's designated polling places in Anston & Woodsetts, Brinsworth & Catcliffe, Maltby and Rother Vale wards.

- 2.5 Although the process for an interim review is not stated in legislation, the Electoral Commission guidance suggests that a failure to follow a full review process leaves an authority open to potential challenge. The interim review should therefore comply with the provisions of Schedule 1A to the Representation of the People Act 1983, and reflect the Electoral Commission guidance on the review of polling districts and polling places.

### **3. Key Issues**

#### **3.1 Anston and Woodsetts Ward**

The current polling place for AD polling district is Anston Hillcrest Primary School. The Council has been asked to consider designating a different polling place. Returning Officer staff have provisionally identified a potentially suitable alternative site for a polling place, at the Methodist Community Hall on Sheffield Road. Consultees will be invited to comment on this proposed change.

#### **3.2 Brinsworth and Catcliffe Ward / Rother Vale Ward**

The current polling place for CG / KG polling district is the AMRC Design Prototyping & Testing Centre, Wallis Way. The Council has been asked to look at alternative venues. Returning Officer staff have provisionally identified a potentially suitable alternative site, a meeting room at the AMP Technology Centre, Brunel Way. Consultees will be invited to comment on this proposed change.

#### **3.3 Maltby Ward**

The current polling place for ID polling district is the Maltby Service Centre, Braithwell Road. Due to the expansion of services provided here, the centre is no longer ideal as a polling place. Returning Officer staff have provisionally identified a potentially suitable alternative site for a polling place, at the Wesley Centre, Blyth Road. Consultees will be invited to comment on this proposed change.

#### **3.4 Rother Vale Ward**

A new polling place will need to be designated for KB polling district, with the withdrawal of the mobile library service. No suitable premises have been identified in the district, but the relatively nearby Aston Fence J&I School, which is already used as a polling place, can accommodate a further polling station. Consultees will be invited to comment on this proposed change.

- 3.5 Further details about the existing polling scheme and the proposals for changes are outlined in the Consultation Paper, a copy of which is attached at Appendix 2.
- 3.6 Following this initial assessment of the current issues and proposals of change, the process for designating new polling places should be robust and allow input from interested parties. There are five key stages in the review process.
  - 3.6.1 Notification of the review – the Council will give public notice of the review, using the Notice attached at Appendix 3, and will publicise the review via the council website and press release.
  - 3.6.2 Consultation – As well as making details of the consultation available on the website, the consultation paper will be sent to borough ward members, parish councillors, MPs, and local political parties. It will also be sent to any other interested persons or groups, including local disability groups
  - 3.6.3 Concluding the review – All representations will be considered, and a further report will be brought to Council with final proposals for determination.
  - 3.6.4 Publishing the conclusion of the review – the final decisions will be published, along with the reasons for those decisions, and along with all representations received during the consultation period.
  - 3.6.5 Appeals process – certain persons, on specific grounds, can appeal to the Electoral Commission about the alteration of polling places.
- 3.7 The Council's Scheme of Delegation at Appendix 9 of the Constitution does not provide for any delegation in relation to the designation of polling places. All such decisions therefore have to be made by Council. This creates a potential difficulty were a polling place to become unavailable shortly before the day of a poll in circumstances where it was not possible to await a decision of Council. This could be due to emergency circumstances such as flood, fire or vandalism or where, for example, the owner of premises withdraws the premises from use as a polling place at short notice, and a decision was required at short notice to relocate the polling place. The recommendations in this report therefore propose that Cabinet recommend to Council that the necessary delegation be granted to the Chief Executive.

#### **4. Options considered and recommended proposal**

- 4.1 Option 1 – Do not carry out a partial interim review, and do not change any polling places before the next full compulsory review. This option has been discounted. Although there are some premises which the Returning



Officer has a right to use, this is not the case for all polling places, and where places become unavailable we must designate alternative venues.

4.2 Option 2 – Carry out an interim review limited to areas where there are known issues, as there is sufficient time to consult and determine changes in time for the next scheduled elections in May 2018.

4.3 It is recommended that a partial interim review of polling places be undertaken, mirroring the consultation and decision-making provisions in a compulsory review. This is in accordance with guidance issued by the Electoral Commission.

## **5. Consultation**

5.1 As outlined in paragraph 3.6 (2), certain stakeholders will be consulted directly. The review will be widely publicised and any elector will be entitled to respond.

## **6. Timetable and Accountability for Implementing this Decision**

6.1 An outline timetable for the review is given at Appendix 1, commencing with the notice of review on 21 July 2017. The work involves seeking comments on the existing arrangements and initial proposals for change, preparing final proposals, Council determination of the final proposals, publishing the conclusions, and altering the electoral register if required.

6.2 Rotherham will undergo another full compulsory review in 2018/19, in time for the May 2020 local and Police and Crime Commissioner elections, and taking into account new ward boundaries.

6.3 The Local Authorities (Functions and Responsibilities) (England) Regulations 2000 provides for decisions on polling districts and places to be made by the Council.

6.4 The Assistant Director for Legal Services will be responsible for implementing the decisions.

## **7. Financial and Procurement Implications**

7.1 The financial and resource implications arising from this report will be met from within existing budgets.

## **8. Legal Implications**

8.1 The Council has a legal duty to review polling districts and polling places, as described in this report. The legislative framework for reviews of polling districts and places consists of: (i) sections 18A to 18E and Schedule A1 of the Representation of the People Act 1983, as inserted by section 16 of the Electoral Administration Act 2006; (ii) section 17 of the Electoral Registration and Administration Act 2013 introduced a change to the timing of compulsory reviews.

8.2 The proposed grant of delegated powers to the Chief Executive would enable the Chief Executive to take a decision at short notice to move a polling place without the risk of the decision being subject to a legal challenge on the basis that only the Council could have made the decision.

## **9. Human Resources Implications**

9.1 None arising directly from this report.

## **10. Implications for Children and Young People and Vulnerable Adults**

10.1 The voting age is 18 or over. The recommendations link to the council priority - every adult secure, responsible and empowered.

## **11 Equalities and Human Rights Implications**

11.1 The council must ensure that, so far as is reasonable and practical, every polling place for which it is responsible is accessible to people who are disabled. Provision of reasonably convenient polling arrangements is an essential element of the free and fair elections required under Protocol 1, Article 3 of the Human Rights Act.

## **12. Implications for Partners and Other Directorates**

12.1 None arising directly from this report.

## **13. Risks and Mitigation**

13.1 Polling places are essential for the conduct of elections. Inadequate provision of polling places and polling stations could have a detrimental effect on voter turnout and could be the source of an election challenge.

## **14. Accountable Officer(s)**

14.1 Assistant Director (Legal Services)

Approvals Obtained from:-

Strategic Director of Finance and Corporate Services: Judith Badger

Assistant Director of Legal Services: Dermot Pearson

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## Appendix 1 – Draft Timetable

<b>Interim Review of Polling Places 2017 – Draft timetable</b>	
Resolution from Council providing for commencement of the review	Wednesday 12 July 2017
Notice of Interim Review published in relevant areas and elected members of the area notified	Friday 21 July 2017
Commencement of Consultation on current provision and proposed changes	Friday 21 July 2017
End of Consultation	Friday 29 September 2017
Consider comments and if necessary revise proposals	Monday 9 October 2017
Overview and Scrutiny Management Board meeting	Wednesday 8 November 2017
Cabinet Meeting	Monday 13 November 2017
Publish Electoral Register	Friday 1 December 2017
Council meeting – approval of polling place scheme	Wednesday 13 December 2017
Publication of review result	Friday 15 December 2017
Elections on new polling place scheme	Thursday 3 May 2018 (City Region Mayoral Elections)

# Partial Review of Polling Districts and Polling Places

Anston and Woodsetts,  
Brinsworth and Catcliffe,  
Maltby and  
Rother Vale Wards of  
Rotherham Metropolitan Borough Council

## Consultation Paper

Consultation Period runs from 21 July to 29 September 2017

## **1. Background to the Review**

Under the Representation of the People Act 1983, the council has a duty to divide its area into polling districts and to designate a polling place for each district for UK Parliamentary elections. It also has to keep these arrangements under review. The arrangements made for parliamentary elections are also used at other elections.

The Electoral Administration Act 2006, as amended, introduced a duty on all local authorities in Great Britain to review their polling districts and polling places at least once every five years. Rotherham council undertook the last full compulsory review, including wide consultation, between November 2013 and December 2014.

Since then, issues have arisen about four of the council's designated polling places and it is therefore necessary to carry out a partial review in Anston and Woodsetts, Brinsworth and Catcliffe, Maltby and Rother Vale wards.

The existing Rotherham ward boundaries, and the parliamentary constituency boundaries, are not part of this review, although they are reviewed periodically by the relevant Boundary Committee or Commission.

## **2. Definitions**

"Polling districts" are geographical electoral areas into which wards and constituencies may be sub-divided.

"Polling places" are the buildings or areas designated by the council where electors in a polling district go to vote in person.

The polling place should in normal circumstances be situated within the polling district for which it is designated, but in some circumstances, for example where no suitable polling place can be found, then the polling place may be designated outside the polling district.

"Polling stations" are the number of issuing desks in the building that is the designated polling place, which generally range from one to three. The Returning Officer determines the number of polling stations depending on the electorate at a particular election. Wherever possible there should be no more than 2,500 electors allotted to a polling station.

## **3. The Review Process**

The Returning Officer's proposals have been included in this consultation paper.

The council invites comments on the proposals. Public notice about the consultation will be given. The consultation paper will be sent to councillors, Members of Parliament, local political parties, and any other interested groups or persons, including those who have particular expertise in relation to access to premises or facilities for persons who have different forms of disability.

#### 4. The Review Timetable

The timetable for the review is set out below:

Consultation to commence	Friday 21 July 2017
Closing date for representations	Friday 29 September 2017
Council's Cabinet meeting – recommendation of polling place changes	Monday 13 November 2017
Publication of revised Electoral Register	Friday 1 December 2017
Sheffield City Region Combined Authority Mayoral Elections	Thursday 3 May 2018

#### 5. The Proposals

This document sets out details of current polling district and polling places for the three wards in question, along with the issues and any proposed changes.

The principles behind these proposals are:

- a) To try and identify new polling places in areas where the existing provision is inadequate or inconvenient.
- b) To ensure, as far as practicable, that any new polling places are accessible to people with disabilities.
- c) To ensure that all electors have such reasonable facilities for voting as are practicable in the circumstances.
- d) To try and minimise disruption to schools<sup>1</sup>.

#### 6. Making comments

Any elector may make representations. Representations must be received by **Friday 29 September 2017**, and should be addressed to:

Electoral Services, Riverside House, Main Street, Rotherham, S60 1AE

or emailed to: [electoral.services@rotherham.gov.uk](mailto:electoral.services@rotherham.gov.uk)

The question sheet at the end of this document may be used for submitting your views. Or you can respond using our online form via [www.rotherham.gov.uk/consultations](http://www.rotherham.gov.uk/consultations)

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<sup>1</sup> It should be noted that for the purpose of taking the poll in England and Wales, the Returning Officer is entitled to use free of charge schools maintained or assisted by a local authority as well as those schools that receive grants made out of moneys provided by Parliament. This includes academies and free schools. (Rule 22, Sch 1, Representation of the People Act 1983)

**Polling station scheme and Returning Officer's Proposals**

Electorates as at 1 February 2017

**Anston and Woodsetts Ward, Rother Valley Constituency**

<b>Polling District</b>	<b>Parish</b>	<b>Electorate</b>	<b>Current Polling Place</b>	<b>Number of polling stations</b>
AA	Anston	1678	Anston Greenlands Primary School, Edinburgh Drive	1
AB	Anston	1609	Anston Park Junior School, Park Avenue	1
AC	Anston	2114	Anston Parish Hall, 15A Ryton Road	1
<b>AD</b>	<b>Anston</b>	<b>1989</b>	<b>Anston Hillcrest Primary School, Hawthorne Avenue</b>	<b>1</b>
AE	Woodsetts	1468	Woodsetts Village Hall, Gildingwells Road	2 (polling place is also used for district DF – Dinnington Ward)

The Headteacher at Anston Hillcrest Primary School has asked the Returning Officer to consider alternative venues to avoid closing the school.

Two alternative venues have been suggested, South Anston Methodist Community Hall on Sheffield Road and the Pre-School building at the rear of the school. The Pre-School is small with limited parking, so it is not considered to be suitable. The Methodist Community Hall is considered to be a suitable venue for polling, containing a large room with good facilities for voters, and having disabled access.

**Q1 Do you approve of the South Anston Methodist Community Hall on Sheffield Road being used as a polling station for AD polling district?**

**Q2 Are there any other alternatives that the Council should consider?**

**Brinsworth and Catcliffe Ward, Rotherham Consituency**

<b>Polling District</b>	<b>Parish</b>	<b>Electorate</b>	<b>Current Polling Place</b>	<b>Number of polling stations</b>
CA	-	802	Rotherham West Community Centre, Brinsford Road	1
CB	Brinsworth	2909	Brinsworth Community Hall, Brinsworth Lane	2
CC	Brinsworth	1240	Brinsworth Howarth Primary School, Whitehill Lane	1
CD	Brinsworth	1554	Brinsworth Whitehill Primary School, Howlett Drive	1
CE	Brinsworth	1220	St Andrews Church, Bonet Lane	1
CF	Catcliffe	1528	Catcliffe Memorial Hall, Old School Lane	1
<b>CG</b>	<b>Catcliffe</b>	<b>307</b>	<b>AMRC Design Prototyping &amp; Testing Centre, Wallis Way</b>	2 (polling place is also used for district KG – Rother Vale Ward)

The council has been asked to consider an alternative venue for polling district CG and KG, as the AMRC Design Prototyping and Testing Centre has become much busier in recent times, and is not ideal for polling.

The Returning Officer's staff have visited the area and consider that the nearby AMP Technology Centre, Brunel Way, is a more suitable venue. A large meeting room is available on the first floor, with lifts available. There is also on-site parking and good facilities.

**Q3 Do you approve of the AMP Technology Centre, Brunel Way being used as a polling station for the CG polling district?**

**Q4 Are there any other alternatives that the Council should consider?**



**Maltby Ward, Rother Valley Consituency**

<b>Polling District</b>	<b>Parish</b>	<b>Electorate</b>	<b>Current Polling Place</b>	<b>Number of polling stations</b>
IA	Maltby	1340	Maltby Linx Youth Centre, Lilly Hall Road	1
IB	Maltby	527	The Grange Warden Centre, St. Bartholomew`s Close	2 (polling place is also used for district IH)
IC	Maltby	1659	Maltby Manor Academy, Davy Drive	1
<b>ID</b>	Maltby	<b>1199</b>	<b>Maltby Service Centre, Braithwell Road</b>	<b>1</b>
IE	Maltby	1135	Edward Dunn Memorial Hall, Tickhill Road	1
IF	Maltby	1158	Maltby St Marys Catholic Primary School, Muglet Lane	1
IG	Maltby	918	Ascension Close Warden Centre, Ascension Close	1
IH	Hooton Levitt	101	The Grange Warden Centre, St. Bartholomew`s Close	2 (polling place is also used for district IB)
II	Maltby	650	Charles Foster Community Centre, Woodland Gardens	1

As part of the council's Library Strategy, Maltby Library is scheduled to move into the Maltby Joint Service Centre on Braithwell Road in spring/summer 2017. This means that we will no longer be able to use the meeting room on the ground floor of the Service Centre as a polling place. There are meeting rooms on the first floor, but these are not as accessible or convenient for voters, and there could be issues with congestion.

The Maltby Lynx Youth Centre, in Lilly Hall Road, which is currently used as a polling place for the IA polling district, could easily accommodate another polling station. However, this would not be the preferred option, due to problems with parking in the area.

The Returning Officer's staff have approached other venues, including the Wesley Centre in Blyth Road. The Wesley Centre is considered to be a suitable venue for polling, containing a large hall with good facilities for voters, and having disabled access.

**Q5 Do you approve of the Wesley Centre being used as a polling station for the ID polling district?**

**Q6 Are there any other alternatives that the Council should consider?**

**Rother Vale Ward, Rother Valley Constituency**

<b>Polling District</b>	<b>Parish</b>	<b>Electorate</b>	<b>Current Polling Place</b>	<b>Number of polling stations</b>
KA	Treeton	2435	Treeton Youth Centre, Church Lane	1
<b>KB</b>	<b>Orgreave</b>	<b>577</b>	<b>Mobile Library Unit, Rotherwood Avenue</b>	<b>1</b>
KC	Aston-cum-Aughton	1497	Swallownest Community Centre, Rotherham Road	2 (polling place is also used for district FD – Holderness Ward)
KD	Aston-cum-Aughton	617	Aston Fence J & I School, Sheffield Road	1
KE	Ulley	137	Ulley Village Hall, Main Street	1
KF	Thurcroft	4223	Gordon Bennett Memorial Hall, Green Arbour Road	2
KF	Thurcroft		Gordon Bennett Memorial Hall, Green Arbour Road	
<b>KG</b>	<b>Orgreave</b>	<b>771</b>	<b>AMRC Design Prototyping &amp; Testing Centre, Wallis Way</b>	2 (polling place is also used for district CG – Brinsworth and Catcliffe Ward)

The council's Mobile Library service has been withdrawn from April 2017, and is no longer available for use as a polling station.

There are no obvious options for a polling place in KB polling district, and it is not considered practical to site a portacabin on-street nor at the recreation ground.

However, Aston Fence Junior and Infant School, in Sheffield Road, which is currently used as a polling place for the KD polling district, could easily accommodate another polling station. This has good facilities for voters, and is around a 3 minute drive from Rotherwood Avenue.

**Q7 Do you approve of Aston Fence J & I School, being used as a polling station for the KB polling district, as well as the KD polling district?**

**Q8 Are there any other alternatives that the Council should consider?**

For the next two questions, please refer to the narrative on p.5 of this document.

**Q9 Do you approve of the AMP Technology Centre, Brunel Way being used as a polling station for the KG polling district?**

**Q10 Are there any other alternatives that the Council should consider?**

## Consultation Response Form – Partial Review of Polling Places 2017

Your Name	
Your Address	

	Yes / No	Other Comments
<b>Q1 Do you approve of the South Anston Methodist Community Hall on Sheffield Road being used as a polling station for AD polling district?</b>		
<b>Q2 Are there any other alternatives that the Council should consider?</b>		
<b>Q3 Do you approve of the AMP Technology Centre, Brunel Way being used as a polling station for the CG polling district?</b>		
<b>Q4 Are there any other alternatives that the Council should consider?</b>		
<b>Q5 Do you approve of the Wesley Centre being used as a polling station for the ID polling district?</b>		
<b>Q6 Are there any other alternatives that the Council should consider?</b>		
<b>Q7 Do you approve of Aston Fence J&amp;I School, being used as a polling station for the KB polling district, as well as the KD polling district?</b>		
<b>Q8 Are there any other alternatives that the Council should consider?</b>		
<b>Q9 Do you approve of the AMP Technology Centre, Brunel Way being used as a polling station for the KG polling district?</b>		
<b>Q10 Are there any other alternatives that the Council should consider?</b>		

Please return this form to: Electoral Services, Riverside House, Main Street, Rotherham, S60 1AE  
or email to: [electoral.services@rotherham.gov.uk](mailto:electoral.services@rotherham.gov.uk)  
by 29 September 2017



## ROTHERHAM METROPOLITAN BOROUGH COUNCIL

### Notice of Interim Review of Polling Districts, Polling Places and Polling Stations

Rotherham Metropolitan Borough Council is carrying out an interim review of polling places in certain wards of the borough – Anston and Woodsetts, Brinsworth and Catcliffe, Maltby and Rother Vale.

Details of the current arrangements and the Returning Officer's proposals for changes can be viewed:

- On the council's website at [www.rotherham.gov.uk/elections](http://www.rotherham.gov.uk/elections)
- At the Customer Service Centre, Riverside House, Main Street, Rotherham
- At Aston Library & Customer Service Centre, Worksop Road, Aston
- At Maltby Customer Service Centre, Braithwell Road, Maltby

Any registered elector may make representations on the current and proposed arrangements. We welcome comments and suggestions from anyone who has expertise in access for people with any type of disability.

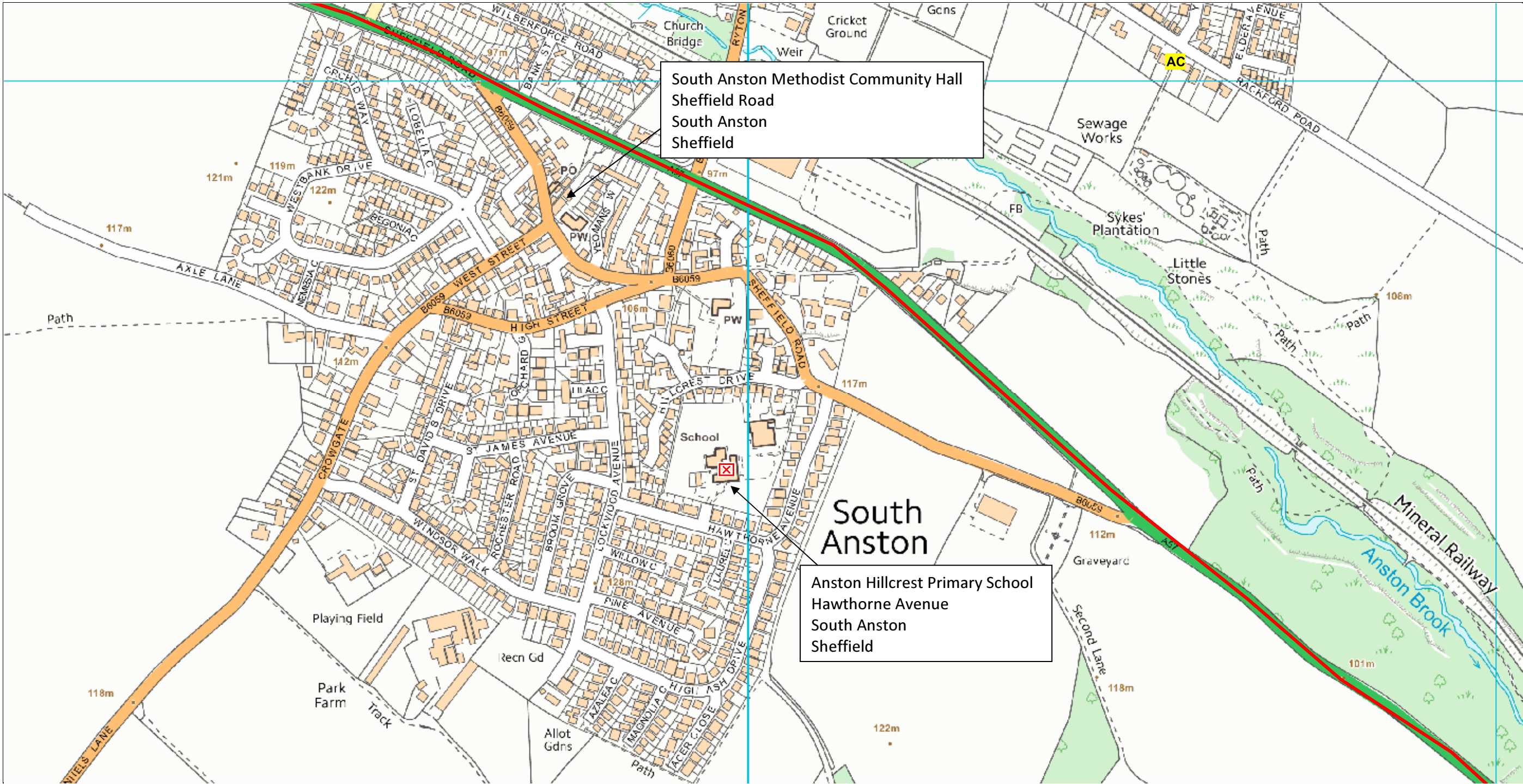
Where possible, people making representations should suggest alternative places that may be used as polling places.

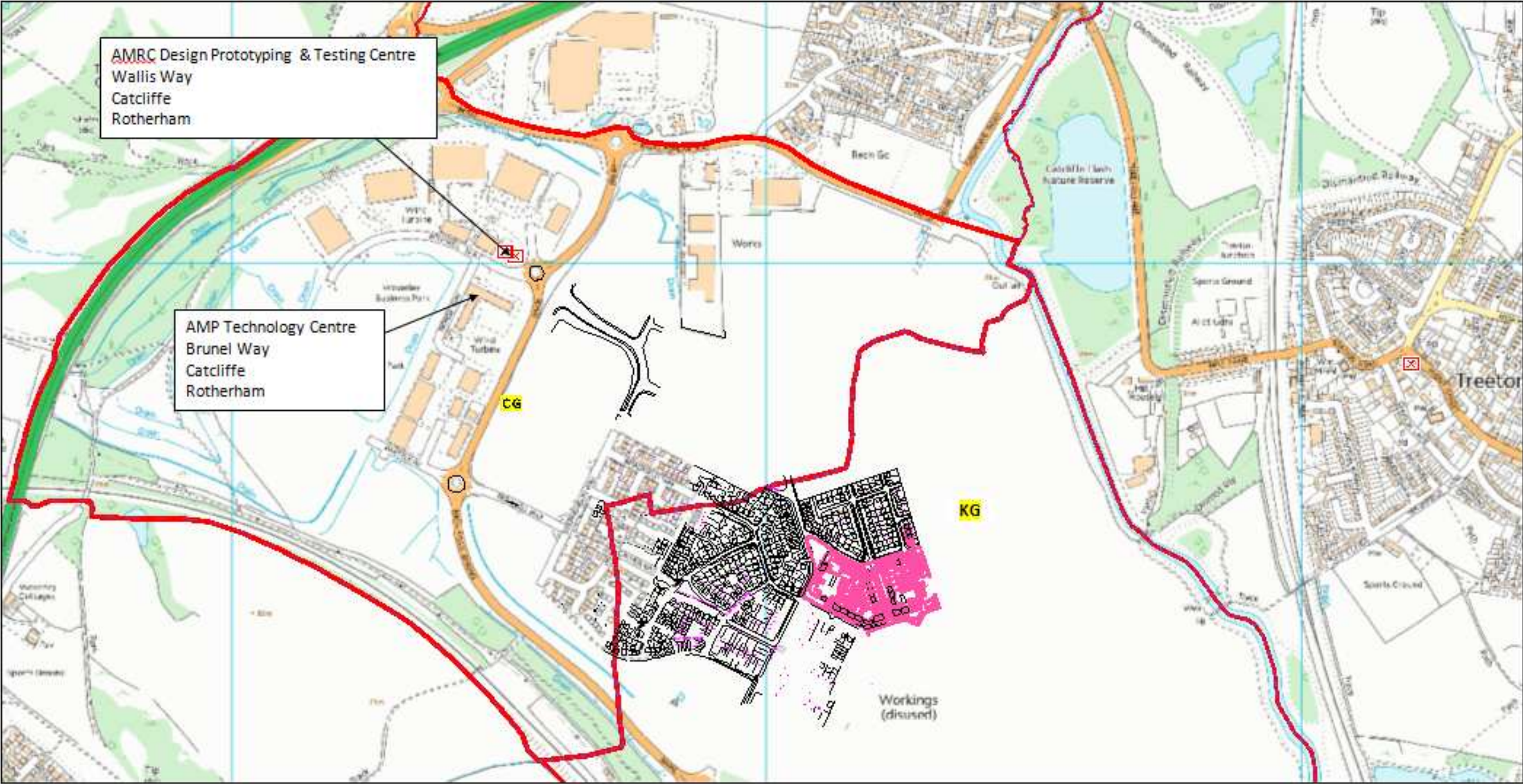
Representations should be made in writing by no later than **Friday 29 September 2017** to Electoral Services by using the online form on the council's website, or by post to Riverside House, Main Street, Rotherham S60 1AE, or by email to [electoral.services@rotherham.gov.uk](mailto:electoral.services@rotherham.gov.uk).

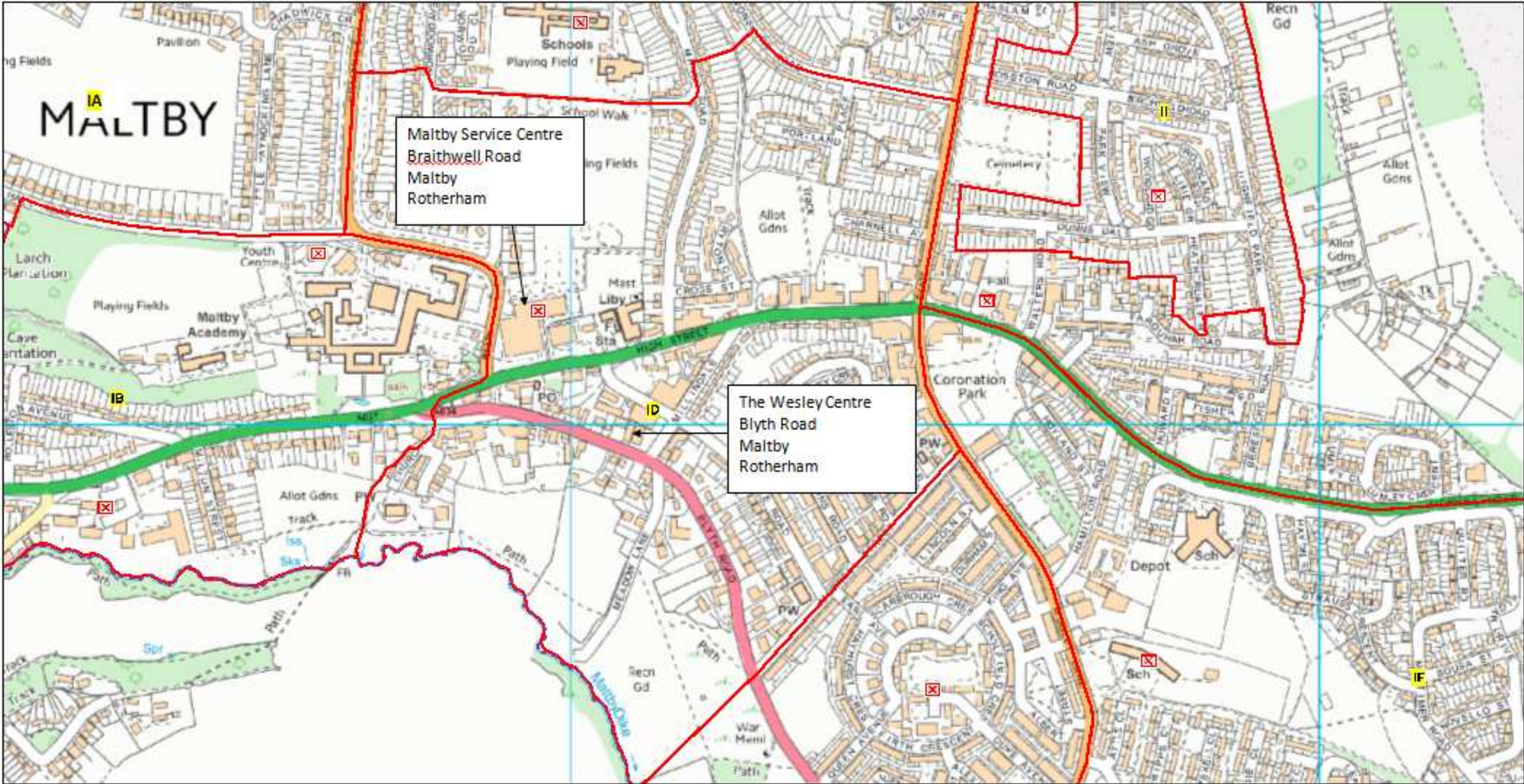
The results of the review will be published by the Council in December 2017 and will be available for inspection on the council's website and the above mentioned offices. Persons or groups making submissions need to be aware that, upon completion of the review, all correspondence/representations received must by law, also be published.

**Dated 21 July 2017**

**Sharon Kemp, Chief Executive**











## Summary Sheet

Cabinet and Commissioners' Decision Making Meeting – 10 July 2017

### Title

New Applications for Business Rates Discretionary Rate Relief

### Is this a Key Decision and has it been included on the Forward Plan?

No, but it has been included on the Forward Plan

### Strategic Director Approving Submission of the Report

Judith Badger, Strategic Director of Finance and Customer Services

### Report Author(s)

Diane Woolley – Team Leader, Local Taxation

Tel: 01709 255158 Email: [diane.woolley@rotherham.gov.uk](mailto:diane.woolley@rotherham.gov.uk)

Rachel Humphries – Operational Manager, Local Taxation

Tel: 01709 255119 Email: [rachel.humphries@rotherham.gov.uk](mailto:rachel.humphries@rotherham.gov.uk)

Anne Ellis – Finance Manager

Tel: 01709 822019 Email: [anne.ellis@rotherham.gov.uk](mailto:anne.ellis@rotherham.gov.uk)

### Ward(s) Affected

All

### Summary

To consider four new applications for the award of a discretionary business rate relief for the organisations listed in Section 2 of this report. This is in accordance with the Council's Discretionary Business Rates Relief Policy, which was approved on 12 December 2016.

### Recommendations

That the applications for Discretionary Rate Relief for the organisations listed in Sections 2.3 to 2.6 of this report be approved.

### List of Appendices Included

None

### Background Papers

Discretionary Rate Relief Policy - Approved on 12 December 2016

**Consideration by any other Council Committee, Scrutiny or Advisory Panel**

No

**Council Approval Required**

No

**Exempt from the Press and Public**

No

## New Applications for Discretionary Rate Relief

### 1. Recommendation

- 1.1 That the applications for Discretionary Rate Relief for the organisations listed in Sections 2.3 to 2.6 of this report be approved.

### 2. Background

2.1 Section 47 of the Local Government Finance Act (LGFA) 1988 conveys power on local authorities to allow discretionary relief that would be additional to the mandatory relief. This is given when the property is used wholly or mainly for charitable purposes by a charity or other non-profit body whose main objects are charitable or benevolent, or concerned with education, social welfare, science, literature or the arts.

2.2 The Council can grant discretionary rate relief to:-

- Registered Charitable Organisations, including Community Amateur Sports Clubs. The relief granted is up to 20% of the rate liability as these organisations are eligible for 80% mandatory rate relief.
- Other organisations or institutions that are not established or conducted for profit and whose aims are charitable or otherwise, philanthropic, religious, concerned with education, social welfare, science, literature or fine arts. Relief can be granted up to 100% of the business rates liability.
- Properties occupied by not for profit sports or social clubs, societies or other organisations for the purposes of recreation. Relief can be granted up to 100% of the business rates liability.
- Rate relief to ratepayers – Section 47 of the LGFA 1988b was amended by Section 69 of the Localism Act 2011. This amendment gives the Council the discretion to grant relief to any other body, organisation or ratepayer, having due regard to its Council Tax payers.

2.2.1 Rotherham has operated a system of awarding relief through the application of a policy that was approved by the former Cabinet on 24<sup>th</sup> April 2013 which has more recently been revised and subsequently approved by Cabinet on 12 December 2016.

2.2.2 The funding for Discretionary Rate Relief was, until the introduction of the Government's Business Rates Retention Scheme (April 2014), shared with Central Government through the National Non-Domestic Rate Pool. Local authorities were reimbursed with 25% of the cost of discretionary rate relief granted to charities and Community Amateur sports Clubs, and 75% of the cost of relief granted to other bodies. Now, with the localisation of business rates, Central Government and Councils share every £1 of rates due on a 50/50 basis as follows:

Central Government	50%
South Yorkshire Fire and Rescue Authority	1%
Rotherham MBC	49%

**2.3 Application 1: Chesterwood Trading Ltd  
Chesterton Road, Rotherham, S65 1ST**

2.3.1 Chesterwood Trading Ltd is a social enterprise with the aims of supporting Rotherham communities and individuals through healthy recreation and educational activities in order to enhance the quality of life and personal development.

There is specific emphasis on promoting and protecting the wellbeing and physical health of local people and assisting in the relief of ill health and obesity by providing year round facilities for exercise and recreation.

The property provides a facility for indoor football and cricket, an amateur boxing gym and exercise sessions for women combined with a classroom facility which is used for education on healthy nutrition.

2.3.2 Chesterwood Trading Ltd's application for the award of discretionary rate relief does meet the Council's qualifying criteria as set out in its Policy. The organisation is open to all sections of the community and provides facilities to non-members which enhance community spirit.

2.3.3 The organisation was awarded 100% relief in 2016/17 and are applying for discretionary relief with regard to their 2017/18 rates liability. The financial implication of awarding the rate relief is set out in section 7 of this report.

**2.4 Application 2: New 2 You  
39 High Street, Maltby, Rotherham, S66 8LG**

2.4.1 New 2 You is a not for profit organisation providing a community charity shop in Maltby. The organisation provides quality items at affordable prices for the local community via donated goods. Any revenue that is generated by the organisation is being used to support other local organisations and projects; in particular helping the elderly and disabled. The organisation is in the process of registering with the Charity Commission. Once the registration is complete they will be entitled to 80% mandatory relief.

New legislation means that they qualify for small business rates relief with effect from 1 April 2017 until such time as the charity registration is finalised.

2.4.2 New 2 You's application for the award of discretionary rate relief does meet the Council's qualifying criteria as set out in its policy. They are providing a facility to the local community which is open to all and which provides a service which enhances community spirit.

2.4.3 The organisation is applying for discretionary rate relief in respect of their 2016/17 and 2017/18 liability. Given the award of small business rate relief with effect from 1 April 2017, an award of 80% rate relief is being recommended for 2016/17 only, pending the registration with the Charity Commission. This will bring the organisation into line with other charity shops in the borough which are registered charities. The financial implication of awarding the rate relief is set out in section 7 of this report.

**2.5 Application 3: Shiloh Rotherham  
Station Road, Rotherham, S60 1HN**

2.5.1 Shiloh Rotherham is a registered charity which feeds clothes and supports some of Rotherham's most vulnerable residents, providing help and advice with alcohol, drug addiction and mental health issues. The support given helps the service users to move on with their lives.

The charity has recently moved premises but is continuing to offer multiple weekly sessions for their service users.

2.5.2 Shiloh Rotherham's application for the award of discretionary rate relief does meet the Council's qualifying criteria as set out in its policy. The service is open to all who need it and supports vulnerable adults.

The charity received discretionary rate relief on their previous property and has requested similar support in their new premises.

2.5.3 The ratepayer is applying for discretionary relief with regard to their 2017/18 rates liability. The financial implication of awarding the rate relief is set out in section 7 of this report.

**2.6 Application 4: Open Minds Theatre Company (South Yorkshire)  
Unit 2 Keppel Wharf, Market Street, Rotherham S60 1NU**

2.6.1 Open Minds Theatre Company is a registered charity which works in the community to assist in the developing and equipping of people to lead effective and fulfilled lives. The organisation offers performance workshops and performance space all of which are designed to develop confidence, self-esteem and communication skills.

The charity works with many schools and children and adults with learning and physical disabilities.

They hold art exhibitions and they utilise the premises as a carnival hub.

2.6.2 Open Minds Theatre Company's application for the award of discretionary rate relief does meet the Council's qualifying criteria as set out in its policy.

The organisation is open to all sections of the community and provides services which enhance and promote community spirit.

The charity is already benefiting from discretionary rate relief on their premises on Ship Hill in Rotherham.

2.6.3 The ratepayer is applying for discretionary relief with regard to their 2016/17 and 2017/18 rates liability. The financial implication of awarding the rate relief is set out in section 7 of this report.

### **3. Key Issues**

3.1 To consider the applications requesting the award of discretionary rate relief to the organisations listed in Section 2.

### **4. Options considered and recommended proposal**

4.1 Given the discretionary nature of the relief requested, the Council has the discretion to either award or not award a discretionary rate relief.

4.2 In helping Members make such a decision, the Council has put in place a specific Policy framework to consider individual applications. In accordance with that Policy, applications (including supporting documentation) for relief have been considered in line with the qualifying criteria and other considerations set out in that Policy.

4.3 It is therefore recommended that discretionary rate relief is awarded to all applicants with 100% being awarded to Chesterwood Trading Ltd, 80% to New 2 You and a 20% top up to both Shiloh Rotherham and Open Minds Theatre Company. Any award made is considered to be in the interests of Council Tax Payers.

### **5. Consultation**

5.1 The applications have been considered by the relevant Cabinet Member and that Member is supportive of the recommendation to award relief.

### **6. Timetable and Accountability for Implementing this Decision**

6.1 The applicants will be advised by letter on the outcome of their application for relief within 10 working days of the Cabinet decision.

### **7. Financial and Procurement Implications**

7.1 All applicants have provided financial information in support of their applications for discretionary rate relief which has been assessed by the Councils Finance department. Financial support in the form of discretionary rate relief is considered appropriate.

7.2 The total potential cost of granting the relief for the financial years 2016/17 and 2017/18 is set out below in paragraph 7.2 alongside the specific cost to the Council.

7.3	Year	Total Amount of Relief	Cost to RMBC
	Chesterwood Trading Ltd 17/18	£64,186.00	£31,451.14
	New 2 You 16/17	£3,066.84	£1,502.75
	Shiloh Rotherham 17/18	£1,320.60	£647.09
	Open Minds Theatre Company 16/17	£2,832.90	£1,388.12
	17/18	£2,602.13	£1,275.04

## 8. Legal Implications

8.1 The statutory framework for discretionary rate relief is set out in the body of the report.

## 9. Human Resources Implications

9.1 No direct implications from this report

## 10. Implications for Children and Young People and Vulnerable Adults

10.1 No direct implications from this report

## 11. Equalities and Human Rights Implications

11.1 No direct implications from this report

## 12. Implications for Partners and Other Directorates

12.1 No direct implications from this report

## 13. Risks and Mitigation

13.1 The Government has issued guidance notes to advise Authorities what criteria should be used in considering applications for Discretionary Rate Relief. Authorities have been strongly advised to treat each individual case on its own merits and to not adopt a policy or rule which allows them to not consider each case without proper consideration. In cognisance of these guidance notes, the Council has formally adopted a Policy framework for considering individual discretionary business rates relief applications with the decision to award reserved for Cabinet.

**14. Accountable Officer(s)**

Approvals Obtained from:-

Graham Saxton, Assistant Director, Finance and Customer Services.

Dermot Pearson, Assistant Director, Legal Services

Head of Procurement - Not Applicable

Diane Woolley, Team Leader, Local Taxation

Rachel Humphries, Operational Manager, Local Taxation

Anne Ellis, Finance Manager, Finance and Customer Services

This report is published on the Council's website or can be found at:-

<http://modern.gov.rotherham.gov.uk/ieDocHome.aspx?Categories=>



Public Report with Exempt Appendix  
Cabinet and Commissioners' Decision Making Meeting

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### Summary Sheet

#### Council Meeting:

Cabinet and Commissioners' Decision Making Meeting – 10 July 2017

#### Strategic acquisition of housing at Waverley HC5

#### Is this a Key Decision and has it been included on the Forward Plan?

Yes

#### Strategic Director Approving Submission of the Report

Anne Marie Lubanski, Strategic Director of Adult Care and Housing

#### Report Author(s)

Liz Hunt, Affordable Housing Officer  
elizabeth.hunt@rotherham.gov.uk or 01709 334956

#### Wards Affected

Rothervale Ward  
Brinsworth & Catcliffe Ward

### Executive Summary

This report seeks approval to purchase six two bedroom apartments and four three bedroom houses at Waverley (parcel HC5) from Avant Homes. These properties are Section 106 planning gain units and will be purchased by the Council at approximately 62% of the open market value (including additional specification items and fees). The forecasted completion dates are March 2018 for two of the houses and December 2018 for the remaining two houses and six apartments. There is evidenced demand for both two and three bedroom properties in this location and resources are available in the Strategic Acquisitions budget. This is part of an ongoing programme of acquisition of new Council homes to replace properties sold under "Right to Buy" and maintain stock levels. Cabinet approval for the Strategic Acquisitions programme was given in June 2012.

### Recommendation

That the purchase of ten homes at Waverley parcel HC5 from Avant Homes, using the Housing Revenue Account Strategic Acquisition budget be approved.

### List of Appendices Included

Appendix 1: Financial information (exempt)

**Background Papers**

Summary of housing demand Information

Floor plans and elevations for three bed houses

Floor plans and elevations for two bed apartments

Site plan identifying affordable housing units.

Strategic Acquisitions Protocol (approved 30/06/2012)

**Consideration by any other Council Committee, Scrutiny or Advisory Panel**

No

**Council Approval Required**

Yes

**Exempt from the Press and Public**

Although the main report is not exempt, Appendix 1 is exempt, under paragraph 3 of Part I of Schedule 12A of the Local Government Act 1972, as this section contains information relating to the financial or business affairs of any particular person (including the Council) with regards to detailed financial information to enable negotiated acquisitions.

**Title: Strategic acquisition of housing at Waverley HC5**

**1. Recommendations**

- 1.1 That the purchase of ten homes at Waverley HC5 from Avant Homes, using the Housing Revenue Account Strategic Acquisition budget be approved. (The purchase price of these acquisitions is contained in Appendix 1 - exempt).

**2. Background**

- 2.1. The Housing Revenue Account Strategic Acquisitions programme enables the Council to purchase new properties to replace Council houses lost via the Right to Buy, and maintain affordable housing stock levels in the borough. 93 properties have been purchased through this programme since 2012.
- 2.2. To date the focus of the Strategic Acquisitions programme has been to purchase brand new Section 106 planning gain housing units from developers. As part of the planning process on sites of 15 units or more, developers are required to provide up to 25% of the homes as affordable housing units (depending on viability constraints). As a condition of the planning permission the affordable housing units have to be sold to social housing providers at a discount on the open market value (OMV).
- 2.3 The first two three bedroom houses will be completed in March 2018 and the remaining eight units in December 2018. The reason for bringing this report to Cabinet at this stage is that developers typically aim to sell the affordable housing units before they commence on site or at the early stages of development, in order to give them certainty of an exit strategy and a guaranteed income level. If the Council does not provide a commitment to acquire the units, Avant will offer them to the next preferred bidder.
- 2.4 There is healthy level of demand for council housing in Waverley. Recently, three bedroom houses were advertised at Waverley and attracted 45 bids per property, compared to the average for Catcliffe of 21 bids per property. The average number of bids for two bedroom flats in Brinsworth and Catcliffe ward is 11 and in Rother Vale Ward 10. However, it is anticipated that these new build apartments will be very attractive and so the number of bids per property will be greater than for existing stock. The 2016 borough average for bids per property (all types) was 14. All homes will be let as general needs housing although initially the apartments may be restricted to those over 40 years of age to encourage existing Council tenants to downsize from larger Council homes.

**3. Key Issues**

- 3.1 The Council is committed to providing new social rented homes to replace those lost through the Right to Buy. This is highlighted in the Housing Strategy 2016-19: Theme 2 – Social Housing – “Ensuring affordable rented / social housing is available for those who can’t afford to or don’t want to buy a home”.
- 3.2 The advantages for the Council of acquiring these Section 106 planning gain units from developers are:
- Good value for money (due to discount)

- Brand new homes with lower maintenance costs and good high energy efficiency standards
- 10 year warranty to safeguard against any future defect liabilities
- Located on new housing estates often in high demand areas where the Council has lower levels of housing stock
- Helps to meet the sustainable communities agenda and provides suitable housing for both general needs and older tenants who may wish to downsize.

3.3 There are regeneration and economic benefits to delivering new housing in Rotherham as, for every home built 2.4 jobs are created (source LGA), and every £1m spent on new housing provides work for 19.9 workers for a year (source DCLG), in addition to the New Homes Bonus and council tax income generated.

#### **4. Options Considered and Recommended Proposal**

4.1 Option 1: Not to pursue the option of purchasing these units from Avant Homes. This would be a lost opportunity to the Council to purchase much needed homes at a discounted rate. Also the Council has an obligation to use a proportion of Right to Buy receipts for “one for one” replacements. If this money is not utilised to buy new homes it has to be returned to central government and the investment is lost from the borough. This is therefore not recommended.

4.2 Option 2: Allow the properties to be purchased by a Housing Association partner. If the properties were purchased by a Housing Association the Council would receive “nomination rights” to the properties under the partnership arrangement. There has been interest from several housing associations to purchase the properties. However these properties represent a good deal for the Council and its residents and therefore this option is not recommended.

4.3 Option 3: The Council purchases the properties. This is the recommended option for the reasons outlined in 3.2.

#### **5. Consultation**

5.1 Internal consultation has taken place and the Cabinet Member for Housing has been briefed.

#### **6. Timetable and Accountability for implementing this Decision**

6.1 Based on projected sales rates on the Waverley development, Avant Homes estimates that two three bedroom houses will be completed in March 2018 and the remaining units in December 2018. The Council’s Affordable Housing Officer will have responsibility for implementing the decision.

## **7. Financial and Procurement Implications**

7.1 HRA funds are available in the approved Strategic Acquisitions capital budget. One-for-One RTB receipt monies of up to 30% of the cost could be used to part fund the purchase if sufficient RTB sales are achieved in year which would, reduce the amount required from the Strategic Acquisitions budget. The budget is already approved to either build or acquire properties as appropriate and is already factored into the HRA Business Plan. Therefore the impact of purchasing these properties on the HRA has already been considered.

7.2 The average potential weekly rent for these properties based on the current open market values ranges between £88.59 and £112.56. For comparison, the average rent on existing housing stock is £73.29 per week. The rents on these new acquisitions would realise a potential annual income of £51k.

7.2 There are no procurement issues arising from this report.

## **8. Legal Implications**

8.1 The Council's Legal Services will undertake the purchase process. The Council will own the units and they will be added into Council stock.

## **9. Human Resources Implications**

9.1. There are no human resources implications arising from this report.

## **10. Implications for Children and Young People and Vulnerable Adults**

10.1 There are no implications for children and young people or vulnerable adults arising from this report.

## **11 Equalities and Human Rights Implications**

11.1 There are no equalities or human rights implications arising from this report.

## **12. Implications for Partners and Other Directorates**

12.1 Other housing associations had expressed interested in acquiring these properties however for the reasons outlined in section 3.2 it is recommended that the Council takes this opportunity to replace council stock lost through the Right to Buy.

## **13. Risks and Mitigation**

13.1 The main risk is that the Council may not achieve value for money .The Affordable Housing Officer has carried out a desktop benchmarking exercise. The open market values quoted by the developer correspond with other new properties that are for sale in the locality. The Council's Asset Management Service will undertake a valuation of all the units as part of the purchase process.

13.2 Under current legislation tenants will be permitted to purchase these homes under the Right to Buy process. However they cannot be sold for less than the “cost floor” which is all the Council’s financial outlay to purchase the units, irrespective of the amount of discount a tenant can claim. Therefore the Council’s total investment is protected.

**14. Accountable Officer(s)**

Tom Bell, Assistant Director of Housing & Neighbourhoods.

By virtue of paragraph(s) 3 of Part 1 of Schedule 12A  
of the Local Government Act 1972.

Document is Restricted

Public Report with Exempt Appendix  
Cabinet and Commissioners' Decision Making Meeting

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### Summary Sheet

#### Council Meeting:

Cabinet and Commissioners' Decision Making Meeting – 10 July 2017

#### Council Report:

Site Cluster II

#### Is this a Key Decision and has it been included on the Forward Plan?

Yes

#### Strategic Director Approving Submission of the Report

Anne Marie Lubanski, Strategic Director for Adult Care and Housing

#### Report Author(s)

Uzma Sattar, Programme Co-ordinator

#### Summary

On 12<sup>th</sup> September 2016, Cabinet agreed to accept the tender submitted by Wates Construction Ltd to deliver 185 new homes across seven 'clustered' sites, and that a further report should be submitted for approval of the implementation of the development programme, development agreement and financial agreements following the conclusion of negotiations with the preferred developer. The cluster approach will increase the amount of new housing in Rotherham and is an innovative development model to bring forward some of the Council's more challenging sites, which would otherwise remain undeveloped.

With further design variations, and in partnership with the Council, an enhanced scheme of 217 new homes has been presented to the Planning Board. The Planning Board considered the applications on 30<sup>th</sup> March 2017 and granted permission for 217 new homes. The tenure mix may be subject to change, but currently includes:

- 83 new homes for outright sale
- 24 shared ownership homes
- 12 rent to buy homes and
- 98 new council houses, of which five are specialist homes.

The purpose of this Cabinet report is to summarise the extensive works that have been completed as part of the pre-development phase, and seek approval for the development agreement, development programme, and the proposed financial arrangements. This will allow the Council to proceed with the construction stage, which will deliver new homes across the seven sites in Maltby, Canklow, East Herringthorpe and Dinnington.

Subject to approval of this report the start on site is planned for autumn 2017 with completion of the first phase in summer 2018.



## **Recommendations**

1. That the Assistant Director for Housing and Neighbourhoods, in consultation with the Council's Section 151 Officer, be authorised to approve the implementation of the development programme and phasing plan.
2. That the Assistant Director for Legal Services be authorised to enter into a development agreement and construction contracts.
3. That all development costs associated with the Construction Stage be funded from the Housing Revenue Account (HRA) as set out in section 7.
4. That the Assistant Director for Housing and Neighbourhoods in consultation with the Council's Section 151 Officer be authorised to determine the appropriate tenure for 21 of the units that have been identified as shared ownership or rent to buy homes under the government's Shared Ownership and Affordable Housing Programme (SOAHP).

## **List of Appendices Included**

Appendix 1: Phasing Plan

Appendix 2: Sales and Marketing Strategy

Appendix 3: Community consultation summary

Appendix 4: Overall development cost summary - Exempt

## **Background Papers**

Original Cabinet report dated 12th September 2016.

## **Consideration by any other Council Committee, Scrutiny or Advisory Panel**

No.

## **Council Approval Required**

No.

## **Exempt from the Press and Public**

While the main report is an open item, exemption for Appendix 4 is requested under paragraph 3 (Information relating to the financial or business affairs of any particular person (including the authority holding that information)) of Part I of Schedule 12A of the Local Government Act, as it contains sensitive commercial information with regards to the Council's contracts.

**Title: Site Cluster II**

**1. Recommendations**

- 1.1 That the Assistant Director for Housing and Neighbourhoods, in consultation with the Council's Section 151 Officer, be authorised to approve the implementation of the development programme and phasing plan.
- 1.2 That the Assistant Director for Legal Services be authorised to enter into a development agreement and construction contracts.
- 1.3 That all development costs associated with the Construction Stage be funded from the Housing Revenue Account (HRA) as set out in section 7.
- 1.4 That the Assistant Director for Housing and Neighbourhoods in consultation with the Council's Section 151 Officer be authorised to determine the appropriate tenure for 21 of the units that have been identified as shared ownership or rent to buy homes under the government's Shared Ownership and Affordable Housing Programme (SOAHP).

**2. Background**

- 2.1 Cabinet endorsed the awarding of the cluster sites contract to Wates in September 2016, making a commitment of £335K for enabling works to be carried out across the seven sites forming the Sites Cluster. This pre-development works budget was granted to enable detailed planning permissions to be secured ahead of re-presenting the final proposals to Cabinet for approval.
- 2.2 The bid submitted by Wates and selected by the Council was based on their Development Agency Model (DAM), this is where the Council acts as developer and Wates are our constructor and delivery agent. This is a new delivery route for the Council and creates the opportunity for the Council to maximise the value of its assets and deliver a greater number of high quality new homes, as opposed to simply selling the seven individual sites on the open market.
- 2.3 The Cluster approach supports the priorities set out in the Council's Corporate Plan to improve the quality and choice of housing and increase the number of new homes built in Rotherham. Through this pioneering approach, the receipts from the sales of the market sale properties will be used alongside the Housing Revenue Account resources to build the Council homes – this supports the Council's corporate priority to build more social rented homes and is in line with the Council's Housing Strategy. Specialist professional legal advice has been sought which has confirmed that the Council has the appropriate legal powers to build homes for sale within the HRA as part of this wider project.

**2.4 The key benefits to the Council are set out below:**

- Delivery of up to 217 new homes across the seven sites, which represents almost double the numbers that would otherwise be delivered without the cluster approach.
- New homes for specialist housing provision i.e. young vulnerable people and people with learning disabilities.
- The Council retains ownership of the land.
- 90% of overage generated from increased sales values / cost reductions retained by RMBC.
- The Council retains control and influence over:
  - Design and quality
  - Rate of delivery
  - Wider community benefits / investment
  - Tenure split
  - Local labour (subject to demonstrating best value)
- Enhanced land receipt for Braithwell Road.
- Open book approach providing the Council with transparency and control over the project.

**2.5 Works completed to date**

2.5.1 The appointment of the Employers Agent (EA) - the Council has appointed Rider Levett Bucknall (RLB) to protect the Council's position as landowner in working with the appointed development agent, Wates.

2.5.2 The enabling works have been finalised, resulting in:

- Full site investigations and topographical surveys being completed
- Planning consultation being completed with the local community
- Finalisation of preliminary designs
- Planning applications submitted on all seven sites
- Wates price estimates completed for construction works on planning application submissions

2.5.3 All of this information has resulted in changes and the impact on costs has been included in the final figures set out in the financial section of this report.

2.5.4 As identified in the first site cluster report in September 2016, the original tender proposal submitted by Wates offered to deliver 185 new homes across the seven sites, including three specialist housing units. Subsequently, a better use of land was identified that provided the opportunity to increase the number of units from 185 to 217, which was approved by the Planning Board.

2.5.5 The tenure mix may be subject to change, but currently includes:

- 83 new homes for outright sale
- 24 shared ownership homes
- 12 rent to buy (RtB), and
- 98 new council houses, of which five are designed for adults with support needs.

## 2.6 Specialist housing and diversification of tenure

2.6.1 The proposal includes the development of two independent living houses with connecting garden areas in East Herringthorpe, suitable for people with autism or 18-30 year olds with learning disabilities. Accommodation and support will be available for up to seven people.

2.6.2 The proposal also includes two properties for young people leaving care (one in Dinnington and the other in East Herringthorpe) and one property for a foster family (in Dinnington). The accommodation for the foster care family will be part of the affordable housing package, whereby the property will be acquired through the strategic acquisitions budget and the foster carer's family will rent the property directly as per normal council housing stock arrangements.

2.6.3 On the Braithwell Road development (MC1), the delivery of 15 apartments for shared ownership is proposed as part of the affordable housing provision. The apartments will comprise two bedrooms and two bathrooms and will be designed to flexibly meet the needs of people if they develop physical mobility problems (large enough to accommodate wheelchairs and motorised scooters and all floors and corridors of the building will be fully accessible). While the homes will be available to all, they will be advertised as being particularly suitable for older people, to enable them to continue to live independently in their own home as their needs develop / progress.

2.6.4 Since the Cabinet approval for the pre-development phase, the Council has successfully secured grant funding of £6.8m from the Homes and Communities Agency's (HCA's) 2016-21 Shared Ownership and Affordable Housing Programme (SOAHP) to deliver 227 new homes on sites across the borough. This allocation includes £630K of grant to part fund nine shared ownership and twelve rent to buy homes on this programme.

## 2.7 Development agreement

2.7.1 Detailed negotiations between the Council and Wates have resulted in the completion of the development agreement. This has detailed the developer and Council's obligations to complete the enabling works to secure satisfactory planning permissions. It also provides the basis and agreement to proceed with the construction stage.

2.7.2 Wates is obliged to carry out each development phase:

- a) in accordance with the relevant timescales,
- b) in compliance with the construction contract,
- c) and in compliance with the commitments made in the bid submission regarding delivery of the development.

Please see Appendix 1 for the indicative phasing plan.

2.7.3 The agreement specifies the requirement for a monitoring group to meet monthly to ensure project progress remains on track and is delivering against the contract. The monitoring group will be comprised of council managers from finance, housing growth, RLB and Wates.

2.7.4 The agreement specifies that the sales and marketing of the private dwellings is via Wates, and the remuneration for these services is agreed as per tender submission, i.e. the Council will pay the developer 3% of the disposal price (net of any incentives, inducements or other costs). As part of their sales and marketing strategy they will ensure updated sales and marketing appraisals are provided at agreed periods to allow the Council to retain control and influence over the pace of sales. Please refer to Appendix 2 which sets out the timeline for the sales launch and key routes to market Braithwell Road.

2.7.5 Wates will notify the Council of all offers it receives and provide information regarding the price and whether it is within the agreed tolerance, which is stated as being 5% less than the price in the sales appraisal for the relevant unit type. The agreement allows Wates to sell any private dwelling at a price that falls within the agreed tolerance. If there is an offer below the agreed tolerance then the Council, through the Assistant Director of Housing and Neighbourhoods delegated powers, has discretion as to whether to accept it or not.

## 2.8 Construction Contract

2.8.1 An individual NEC3 Construction Contract will be entered into for each site. The contract is a full cost reimbursable contract where the Council will pay 100% of the construction costs and fees incurred in carrying out the works, provided they can be substantiated and are approved by the Employer's Agent, and subject to the contractual process in terms of disallowable costs. A template construction contract is appended to the development agreement; each Construction Contract will be authorised by the Assistant Director for Legal Services.

2.8.2 Reasonable assumptions, relating to likely increases in costs as the scheme progresses have been factored into the finances for the programme. However, it is possible that unforeseen increases in costs will arise as the scheme progresses through, for example, varying levels of inflation. In order to protect the Council from exposure to a situation where the costs exceed the amount authorised by Cabinet, the development agreement provides the Council with the ability to reduce the number of units built on the final site to be developed (Rother View Road, Canklow). This means that if the overall cost is likely to exceed the

approved amount, the number of units on this site can be reduced from 58 to as few as 22 to ensure that there is no overspend. This site is a long linear site adjacent to an existing road which enables an appropriate stop to development to take place if required.

## 2.9 Summary of responsibilities between RMBC and Wates

	Wates	RMBC	
Land owner		✓	RMBC remain as land owner
Planning	✓	✓	Wates will secure planning, with RMBC underwriting all costs
Design and develop	✓		Wates design and develop the scheme – for RMBC to approve
Funding		✓	RMBC provide funding for both the affordable and private units – including Wates construction overhead, contractor margin and developer margin on private sales
Sales management	✓		Wates Living Space manages the sales & marketing on behalf of RMBC. The Sales and Marketing strategy will ensure a lead-in time before the launch to create an awareness of the development scheme, generate interest/enquiries (building up a database) leading to early sales with phased releases to increase and maximise revenues at every opportunity.
Construction	✓		The quality of construction and delivery to agreed deadlines is Wates' responsibility. The detailed build programme will become the delivery timetable for the project and reports against progress will be analysed at the monthly site meetings. The build programme will remain flexible to enable it to be responsive to market conditions and changes.
Sales risk	✓	✓	Sales risk shared through project surplus distribution. Mitigation measure: if sale rates were to fall by one property per month this would have little or no impact for RMBC. However, if the sales value were to fall by 10% this would reduce the overall land returns by £1m. To mitigate this, the phased development approach allows the developer agent to offer the properties at an attractive purchase price with the potential of a rise in values on release of each phase
Aftercare	✓		Wates will provide aftercare on all the sites
Timetable	✓		Wates will deliver to an agreed delivery programme.

### 3. Key Issues

- 3.1 The Rotherham Strategic Housing Market Assessment published in 2015 underpins the case for increasing housing numbers in the Borough. A total of 900 new homes are needed annually, of which 237 should be 'affordable'. The proposed site clustering approach is intended to be one of a number of solutions to accelerate the annual rate of new homes in Rotherham.
- 3.2 The Housing White Paper published on 7th February 2017 places emphasis on housing associations and local authorities to build more homes, embracing efficient and innovative methods. This innovative partnership approach to development may lead the way for future clustering of sites to ensure that the housing needs of local communities can be addressed.
- 3.3 Tenure diversification - the Site Cluster programme will provide new homes for:
- Open market sale
  - Affordable home ownership via shared ownership and rent to buy
  - Affordable rent via new council housing including much needed specialist housing provision

By adopting a greater diversification of the housing tenure, the Council is ensuring more choice for Rotherham's residents, and creating more sustainable communities.

- 3.4 Specialist housing: Increasing opportunities for people to live independently in their own home contributes to both the Corporate Plan priority 'every adult secure, responsible and empowered' and the Health and Wellbeing agenda, as if people are able to live in homes that meet their needs, with easier access to services and opportunities to connect with other people, their overall wellbeing will be improved. These new homes could help to prevent people from requiring residential or nursing care, thereby resulting in significant savings to Adult Care and Health budgets.
- 3.5 The Cluster approach is an important part of the Council's housing growth agenda, ensuring an increase in the number of new homes by making the best use of public land (viable and unviable sites) for residential development. The approach provides an opportunity to ensure new housing is built on sites that would otherwise be left undeveloped and in doing so, address local housing needs.
- 3.6 Economic benefits and job creation will be significant, as, for every home built 2.4 jobs are created (source LGA), and every £1m spent on new housing provides work for 19.9 workers for a year (source DCLG). As part of the market testing / selecting of sub-contractors, Wates and RLB will be mindful of RMBC's commitment to utilising local labour across the cluster site developments. RLB will monitor the levels of local labour being selected and report this to RMBC, along with costing updates throughout the delivery of the programme.
- 3.7 Social value is embedded in the contract with Wates. A forum will be established to ensure that the tender commitments are met and are aligned with the ward specific priorities and neighbourhood working.

- 3.8 This partnership forum will work cohesively throughout the development to ensure that the commitments made during the ITT are matched to the communities which need them most, and ward specific plans will then be produced.
- 3.9 Wates will also provide the aftercare to all the homes built on the sites for two years after practical completion, reducing expenditure from the Council's repairs and maintenance budget.

#### **4. Options Considered and Recommended Proposal**

- 4.1 The evaluation process of the original tender submission highlighted that whilst the Wates designs showed a good assessment of the sites with well laid out housing proposals that were compatible with neighbouring developments, there was scope to increase the housing offer with some design variations, and to reduce the Council's responsibility for the maintenance of green space.
- 4.2 On this basis a detailed design review was undertaken with the involvement of council officers from Adult Care, Children and Young Peoples Services, Planning, Housing, plus Wates and RLB. This led to a revised scheme with an increase in housing numbers from 185 to 217 new homes. This option presents the maximum number of homes on each of the sites and is the preferred option as it makes best use of the land, meeting more of the identified need than the original bid proposal. A saving of approximately £4,400 per annum is expected through the reduction in the Council's ongoing maintenance obligations with regard to grass cutting and further it eliminates future antisocial behaviour issues on these areas of green space. The new developments will ensure that any green space falls within the curtilage of each property and remains the responsibility of the householder.

#### **5. Consultation**

- 5.1 A pre-application planning meeting has taken place to allow the designs to be considered prior to the submission of the planning application.
- 5.2 Four community consultation events have been held in mid-December 2016 to share the draft designs with the local community (please see Appendix 3).
- 5.3 In certain localities with established forums, such as the Dinnington Where We Live Forum, the Maltby Housing Forum and the Canklow Community Meeting, information has been provided about the progress on the Site Cluster process.
- 5.4 The delivery model has also been peer reviewed by Ken Jones who is a recently retired Local Authority Housing Director with vast experience in establishing new public and private housing development delivery. He has reviewed the proposed approach and is very supportive of the overall approach recognising it represents good value and is an appropriate use of HRA resources.



## **6. Timetable and Accountability for Implementing this Decision**

- 6.1 Delivery will be overseen by the new Housing and Regeneration Programme Delivery Board, chaired by the Cabinet Member for Housing and vice Chair, Cabinet Member for Regeneration.
- 6.2 The Assistant Director of Housing and Neighbourhoods will have accountability for the successful implementation of this project.
- 6.3 Wates has produced a detailed programme of works for the detailed design stage and construction stage and the pre-construction works could commence immediately if approved.
- 6.4 Subject to approval of this report the start on site is planned for autumn 2017 with the completion of the first phase in summer 2018. Please refer to the Phasing Plan at Appendix 1 for key milestones.

## **7. Financial and Procurement Implications**

- 7.1 The table in Appendix 4 (an exempt item to the public and press) sets out the overall development costs summary, totalling c£29m and is based on the current assumptions on build costs, following site investigations and the latest market information on sales values.
- 7.2 The entire Council contribution to the programme will be funded from the HRA. Based on current assumptions, there are no implications for the General Fund. However, there is an assumption that £2m of unallocated HRA capital receipts will be available over the next three years, £6m in total, to support the funding of this project. Based on historic receipts received, principally from right to buy sales, this is achievable. However, in the event that there is a significant future reduction in receipts, the use of these monies to fund the Cluster project would need to be reviewed. In addition, it should be noted that the provision of specialist housing will contribute to savings to Adult Care, as it will enable people to remain independent in their own homes, rather than going into long term residential and nursing care. It will also lead to savings in Children and Young People's budgets, by enabling children in long term care to be brought back into the Borough.
- 7.3 Moreover, it is estimated that the 217 new homes will generate approximately £1.3m from New Homes Bonus (NHB) over a four year period. In addition, an estimated c£275k annually from council tax will be generated by the scheme. This income will contribute to the achievement of financial planning assumptions within the Council's Medium Term Financial Strategy
- 7.4 In order to explain the financial implications as clearly as possible, the programme can be divided into the following four elements, each of which is addressed in turn, with the overall implications for the HRA set out in section 7.9:
  - A) 83 homes built for sale on the open market
  - B) 98 homes built for council housing

- C) 21 homes built for shared ownership and rent to buy tenures, part funded by SOAHP grant
- D) 15 homes built as the Braithwell Road Section 106 contribution, for shared ownership.

#### 7.5 **A) 83 homes built for sale on the open market**

Based on current assumptions on build costs and sales values, the 83 private homes built for sale generate a total surplus of £1.997m for the HRA. This estimated surplus will be used to support the wider project. The timing of the cash flows, with contract payments being made before sales receipts are received, will be managed through the use of HRA reserves. The development costs shown in Appendix 4 are inclusive of Section 106 contributions for these open market sale units. These contributions are in respect of sustainable transport, education and the provision of green space. As planning permission has been granted on the properties, the Community Infrastructure Levy (CIL) does not apply. Section 106 contributions are not a requirement on any of the other cluster sites.

#### 7.6 **B) 98 homes built for council housing**

The total estimated cost of the 98 council properties is £12.678m. It is proposed that this element of the project will be funded through a mixture of the HRA Strategic Acquisitions budget, unallocated HRA capital receipts and HRA reserves. The homes will generate rental income to the HRA of approximately £481K per annum and will make a significant contribution to the Council's overall asset portfolio.

#### 7.7 **C) 21 homes built for shared ownership and rent to buy tenures, part funded by SOAHP grant**

7.7.1 Shared ownership and rent to buy are tenures that provide opportunities for low cost home ownership and it is one of the strategic objectives of the Clusters programme to diversify tenure, and both support young people into home ownership and provide opportunities for older people to downsize into suitable homes. The Council was successful in bidding for funding from the government's Shared Ownership and Affordable Homes Programme and the Homes and Communities Agency (HCA) is keen to support Rotherham to succeed. The 21 units identified will receive grant funding of at least £30K per unit.

7.7.2 Legal advice has confirmed that it is possible to fund the remaining costs of building these homes from the HRA, provided that there is no detrimental effect to the HRA and that any profits generated are re-invested into new council housing. The modelling completed to date has shown that in the long term, the Council's financial contribution to the shared ownership homes would be recovered, although the rent to buy product is more challenging. Rent to buy is an innovative new product that will help different groups to get onto the property ladder and the Council is aspirational in offering this as part of the Clusters programme. The Council will seek a higher level of grant funding from the HCA to mitigate against any adverse impact on the HRA. If concerns

remain over value for money, then the homes could alternatively be provided as additional shared ownership units or additional council rented homes.

7.7.3 This report recommends that authority be delegated to the Assistant Director of Housing and Neighbourhoods to determine the most appropriate tenure for these 21 homes – based on the aspiration to diversify tenure and to ensure the required value for money to the HRA.

#### 7.8 **D) 15 homes built as the Braithwell Road Section 106 contribution, for shared ownership**

The Section 106 affordable housing contribution on the Braithwell Road site is proposed to comprise 15 shared ownership apartments.

7.8.1 Modelling has been done on the impact of the proposed shared ownership and rent to buy properties identified in 7.7 and 7.8 above. On the basis that the management and repair and maintenance of the rent to buy properties will be managed by an external party, although these arrangements are still to be determined, this element of the project makes an estimated return to the HRA that is broadly comparable with the Council's current average cost of borrowing.

#### 7.9 **Overall implications for the HRA**

7.9.1 Appendix 4 shows that the proposed revised scheme increases the net cost of this project from the previous report to Cabinet and Commissioners' Decision Making meeting of the 12<sup>th</sup> September 2016 by £6.78m, to a total of £12.60m. This is broken down as follows:

- Increase in build costs of £2.58m, reflecting the increase of 32 units.
- Increase of £2.1m in the cost of remediating site specific issues, for example asbestos removal, following the site surveys.
- Reduction in sales revenues of £1.85m, following a reduction of ten private sales due to a required increase of affordable properties at Braithwell Road.
- Incorporation of a contingency sum on top of the build costs.
- Professional fees have been added and these include costs for RLB, Legal, Party wall and the Wates' Performance Bond.
- Use of the allocation of £630K of the Shared Ownership and Affordable Homes grant.
- Revenue from the shared ownership homes totalling £1.069m
- Surplus from private sale revenues helping to offset the cost of the affordable properties.

7.9.2 The impact of this scheme has been modelled through the current 30 year HRA Business Plan. If the scheme is approved a further review of the wider HRA Capital Strategy and the development of a sustainable HRA Business Plan over the medium term will be undertaken in order that they are updated for the scheme's impact. A further report will follow to Cabinet and Commissioners' Decision Making Meeting when this review is completed.

## 7.10 Ensuring value for money

7.10.1 RLB has reviewed the proposed cost models on behalf of the Council, concentrating on the build costs, the cost of remediating site condition issues, assumptions and exclusions. The costs have been scrutinised in line with historical cost data and current schemes RLB are working on, including housing developments in South Yorkshire and Wates' costs appear to be fair and reasonable in comparison. In addition, RLB has reviewed Wates' inflation assumptions against the Building Cost Information Service indices in relation to inflation for the timeframe of the development, and the costs appear to adequately account for this potential uplift.

7.10.2 Allowances for site remediation's, for example, the cost of asbestos removal, have been reviewed and at this stage Wates has included practical allowances on the basis of the site investigations that have recently been undertaken, and any identified site condition issues. As the design develops, RLB will continue to review and monitor the costs in line with the previously mentioned benchmarks.

7.10.3 Throughout the development of the design and the computation of the contract sum for each individual site, RLB will be reviewing cost information provided by Wates on an 'open book' basis, to ensure best value is achieved for the Council both through the design and the procurement process. Where anomalies arise, the Council will be immediately informed and consideration will be made as to the resolution, either through re-design, further procurement or expenditure of risk contingency.

7.10.4 In estimating private sales values for the Braithwell Road site, Wates has sought the views of three local estate agents on demand and pricing and has based the estimated sales values on the lower end of the values provided. Clearly, sales values are subject to variation in line with local and national housing market conditions, which in turn are impacted on by wider economic conditions which are outside of the control of both the Council and Wates.

## 8. Legal Implications

8.1 Legal advice provided by Legal Services and an external specialist legal firm has confirmed that the Council has the legal powers to undertake a project of this nature, in particular the private sales element of the project can be funded through the HRA, as it is part of the wider project.

8.2 There is a requirement for RMBC and Wates to finalise the development agreement and the Construction Contracts.

8.3 The externally appointed Legal Practice, Squire Patton Boggs will continue to provide support and advice during the construction stage, finalising the development agreement and construction contracts with Wates.

- 8.4 As the projected target cost is greater than £100,000, the contract is executed as a deed by the affixing of the Council's common seal rather than merely being signed by an Authorised Signatory. This will provide 12 years' protection in dealing with any latent defects, instead of 6 years if the contract was merely signed.

## **9. Human Resources Implications**

- 9.1 Wates is committed to improving local communities and will work with local organisations and champions to help local people to find employment.
- 9.2 Wates is committed to the employment and skills outputs for the Site Cluster programme – details have been developed with their Regional Community Investment Advisor and the Group Apprenticeship Manager to ensure the outputs are realistic, deliverable and based on previous similar projects.

## **10. Implications for Children and Young People and Vulnerable Adults**

- 10.1 Five specialist housing units are proposed on the sites. A visit was undertaken to a similar autism specialist scheme in Leeds which has helped to consider the costs that will be associated with the development. The flexibility offered through the partnership will allow the Council to propose and agree amendments to the units to ensure that the specialist housing needs are addressed. The Interim Director of Children and Young Peoples Services has been working with the Strategic Housing Investment Service to identify the requirements for two homes for 16-18 year olds leaving care and a foster care family home.

## **11 Equalities and Human Rights Implications**

- 11.1 None identified

## **12. Implications for Partners and Other Directorates**

- 12.1 The main implications for other directorates are in respect of the specialist housing provision which will assist Children and Young Peoples and Adult Care services in meeting their objectives.

## **13. Risks and Mitigation**

- 13.1 The project team has completed an initial risk workshop, and the details of all risks associated with the pre-construction stage have been documented. This will be monitored and updated at each of the progress meetings.
- 13.2 Wates has indicated that at this stage it is too early to identify any tangible impact of Brexit on their ability to deliver. They are working closely with their supply chain to mitigate any cost impacts that may arise from the weakening in the value of the pound. The impact on the housing market and sales value will continue to be monitored
- 13.3 A medium level risk has been identified of lower than anticipated sales values on the open market sale properties. As there are no directly comparable new build developments in Maltby, Wates produced a detailed sales strategy

following extensive consultation with three local estate agents – all agents confirmed there was a strong demand from both first time buyers and families. Wates have been conservative in their approach towards achievable sales values, whilst the estate agents are confident that enhanced values are more likely. In the event that sales values are not being achieved, either as a result of local or national market conditions, the Development Agreement allows the Council to slow the pace of the development on the Braithwell Road site until such a time as market conditions improve. However, Members need to be aware that the Council will still incur costs in relation to the site set up.

- 13.4 Wates cannot be selective in the development of the sites as they are required to develop all seven sites; therefore the development agreement includes a three phased plan. This divides the higher residual value site, Braithwell Road, Maltby, into three phases and combines each of these phases with other sites from the cluster.
- 13.5 The detailed site investigations have identified the presence of asbestos in the ground on three of the sites. Removal costs have been estimated, however certain ground conditions may only become apparent when a start on site is made and this may increase the costs. In order to manage this risk a contingency has been built into the budget.
- 13.6 This is a complex and challenging project that requires a high level of HRA expenditure and includes new funding streams in relation to rent to buy and shared ownership properties. Sufficient resources need to be identified within the Service and within Legal Services and Finance and Customer Services, to ensure that each element of the scheme is accounted for correctly and HCA's grant funding requirements are met.
- 13.7 Modelling shows that the Council's contribution to shared ownership and rent to buy costs will be recovered with no detrimental impact on the Business Plan. However, further detailed work is underway to ascertain management arrangements and charges; if it is found that the provision of shared ownership homes presents a risk to the HRA it is possible to convert these units to additional council rented homes. If it was proposed to do this, then the impact would need to be modelled in the HRA Business Plan to take account of housing management, repair and maintenance and lifecycle costs and the loss of a capital receipt from the sale of a share of the property. On the positive side, the Council would benefit from the full rental stream on 100% of the property.
- 13.8 A full review of the HRA Business Plan and its underlying assumptions will be undertaken to ensure that the Business Plan will remain sustainable over the medium to long term. A further report will follow to Cabinet and Commissioners' Decision Making Meeting when this review is completed.

#### **14. Accountable Officer(s)**

- 14.1 Tom Bell - Assistant Director, Housing and Neighbourhoods Service.

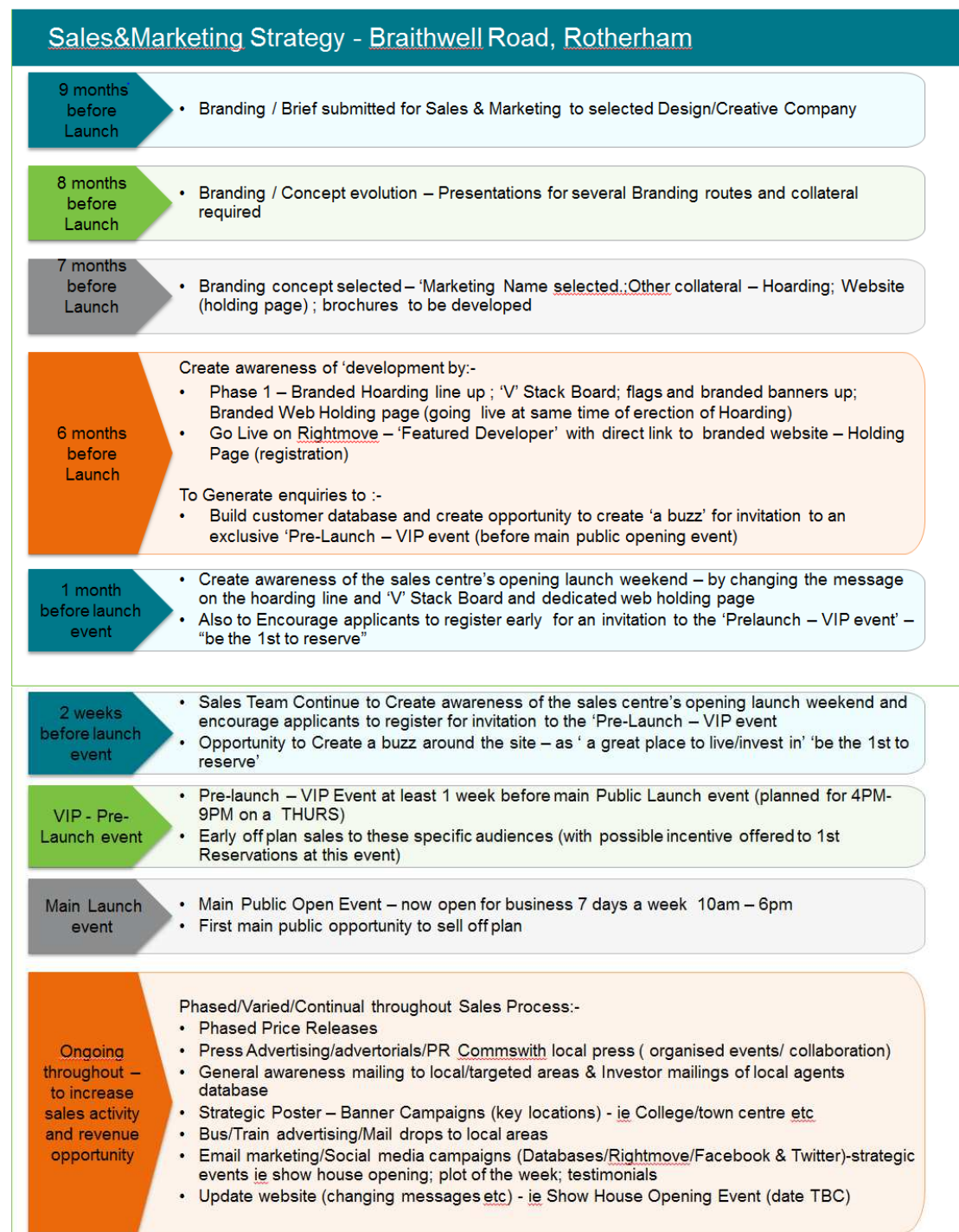
This report will be published on the Council's website or can be found at:-

<http://moderngov.rotherham.gov.uk/ieDocHome.aspx?Categories>

### Appendix 1 – Phasing Plan (Indicative)

Phase	Site Name	No's of properties	Start on site	Completion	Start of Sales Programme
<b>Phase 1</b>	(MC1) Braithwell Rd, Phase 1	33	Autumn 17	Winter 18/19	Summer 18 (Open market sale properties)
	(MC4) Conway Crescent	14	Autumn 17	Winter 18/19	Summer 18 (Shared ownership properties)
	(MC5) Farnworth Rd	16	Autumn 17	Winter 18	Spring 18 (Shared ownership properties)
	(MC6) Gaitskell Close	4	Winter 17	Autumn 18	N/A (Council rented properties)
<b>Total Phase 1</b>		<b>67</b>			
<b>Phase 2</b>	(MC1) Braithwell Rd Phase 2	30	Winter 18	Summer 19	Spring 19 (Open market sale properties and s/o apartments)
	(MC7) Shakespeare Drive	5	Autumn 18	Summer 19	N/A (Council rented properties)
<b>Total Phase 2</b>		<b>35</b>			
<b>Phase 3</b>	(MC1) Braithwell Rd Phase 3	35	Spring 18	Spring 20	Summer 19 (Open market sale properties)
	(MC2) Rother View Rd North	22	Autumn 18	Spring 20	N/A (Council rented properties)
	(MC3) Rother View Rd North	58	Spring 18	Spring 20	N/A (Council rented properties)
<b>Total Phase 3</b>		<b>115</b>			
<b>Overall Total number of properties:</b>		<b>217</b>			

## Appendix 2: Sales and Marketing Strategy





## Appendix 3: Community consultation summary

<u>Site</u>	<u>Date and venue</u>	<u>Circulation list</u>	<u>Recorded Attendees</u>	<u>Comments</u>
MC1 Braithwell Road, Maltby, Rotherham S66 8AD and	12.12.16: 3pm-7pm Community Centre, Bevan Crescent, Maltby, S66 8AN	335	70	Attendees were pleased to see the development proposals for the larger site A. Concerns were expressed about the development of the two storey houses on the smaller site B. Residents confirmed that they would prefer the development of bungalows as an alternative. In listening to these concerns it was decided to withdraw site B from the programme and reappraise this development site with a single storey development scheme, therefore a separate planning application will be brought forward at a later date for site B.
MC6 Gaitskell Close, Maltby, S66 7JR		81		No design alterations made.
MC2 and MC3 Rother View Road, Canklow, Rotherham S60 2UR	15.12.16: 3pm-7pm The Hub, Canklow Rd, Canklow, S60 2JF	197	8	Attendees pleased to see the development. A resident expressed concerns of increased demand on local school places and the stability of the site due to the steep hillside and the water run-off; larger homes requested. No design alterations made.
MC4 Conway Crescent, East Herringthorpe, S65 3LE	13.12.16: 3pm-7pm High Greave School, High Greave Road, Rotherham S65 3LZ	170	9	The adjacent property owner expressed concerns about the foundations to his extension being undermined, therefore as a mitigation measure the design team would ensure that the properties are positioned to permit the required room between the new building and the existing boundary to provide room for the installation of any retaining structures that may be required.
MC5 Farnsworth Road, East Herringthorpe S65 3RP		128		No design alterations to be made
MC7 Shakespeare Drive, Dinnington, S25 6RP	14.12.16: 3pm-7pm Community Centre, Byron Road, Dinnington, S25 2LP	156	20	Mixed responses received - some residents expressed concerns about loss of green space, parking and materials. The design team agreed to amend the palette of materials to include red brickwork and red tiled roofs to complement the existing housing in the area.

By virtue of paragraph(s) 3 of Part 1 of Schedule 12A  
of the Local Government Act 1972.

Document is Restricted

## Summary Sheet

### **Council Meeting:**

Cabinet and Commissioners' Decision Making Meeting of 10th July 2017

### **Council Report:**

Review of District Heating Charges

### **Is this a Key Decision and has it been included on the Forward Plan?**

Yes

### **Strategic Director Approving Submission of the Report**

Anne Marie Lubanski, Strategic Director for Adult Care and Housing

### **Report Author(s)**

Paul Elliott, Business and Commercial Programme Manager

Kath Andrews, Principal Finance Officer

## Executive Summary

A review of district heating has been undertaken following capital investment made to infrastructure that has improved the efficiency and concerns raised by tenants on the Swinton Fitzwilliam about high running costs.

The review has focused on reviewing anticipated costs for 2017-18 based on full year operating costs for 2016-17 now being available and the known cost reductions from significant investment in district heating infrastructure over the last 3 years now coming to fruition.

The report recommends the introduction of a standing charge so tenants at Swinton Fitzwilliam do not have a significant payment spike over the winter period and a reduction in the kwh charge across all district heating schemes. These cost reductions will mean that charges for district heating in Rotherham are comparable with other local authorities in the sub-region whilst still continuing to ensure full cost recovery.

## Recommendations

That the Cabinet notes the content of the report and recommends to Council:-

- a) To approve the revised district heating cost model.
- b) To reduce the unit Kwh charge across all district heating schemes to 5.65p per kwh (incl. VAT) and apply retrospectively from 1 April 2017.

- c) To introduce a standing charge of £2 per week (incl. VAT) on all schemes and apply retrospectively from 1 April 2017.
- d) To reduce weekly pre-payment charges on all pooled schemes as detailed at 3.10 of the report.

**Background Papers**

District Heating Scheme Charges 2017/18 (9 January 2017)

Self-Regulation Select Commission – Review of RMBC’s District Heating Schemes (November 2012).

**Consideration by any other Council Committee, Scrutiny or Advisory Panel**  
Overview and Scrutiny Management Board

**Council Approval Required**

Yes

**Exempt from the Press and Public**

No

## **1. Recommendations**

1.1. That the Cabinet notes the content of the report and recommends to Council:-

- a) To approve the revised district heating cost model.
- b) To reduce the unit Kwh charge across all district heating schemes to 5.65p per kwh (incl. vat) and apply retrospectively from 1 April 2017.
- c) To introduce a standing charge of £2 per week (incl. VAT) on all schemes and apply retrospectively from 1 April 2017.
- d) To reduce weekly pre-payment charges on all pooled schemes as detailed at 3.10 of the report.

## **2. Background**

### **District Heating Charges**

2.1 The Council operate two distinct district heating schemes:

- A pooled metered scheme and;
- A pre-paid card meter scheme at Swinton.

Over the last few years charges for each scheme have been brought into line with a phased increase in the kilowatt hour charge towards achieving full cost recovery.

2.2 District heating charges are based on a metered charge per kilowatt hour of heat used. A weekly charge is paid by tenants through their rent account for all schemes with the exception of Swinton Fitzwilliam which is via pre-payment meter. Weekly charges for most schemes exceed the actual metered costs and hence 19% of all income received from weekly charges was returned to customers via a refund in 2016/17. This refund is based on kwh usage and does not represent a reduction in kwh charge rate. The Cabinet in January 2013 recommended that the cost of district heating is fully recovered on a phased basis and therefore charges are set at the appropriate level. For 2016-17 there was no increase in charges at 8.72p per kwh. This was the second consecutive year that charges had been unchanged.

### **Investment in District Heating**

2.3 Over the past 3 years there has been considerable investment upgrading the district heating infrastructure. This has included replacement boilers, distribution pipework and heat meters. Total investment funded through the Housing Revenue Account over the period has been £3.2m.

2.4 Given this significant investment in new infrastructure it has resulted in some district heating schemes being more energy efficient so reducing the Council's running costs. This has been particularly evident at Swinton Fitzwilliam where new boiler installations have reduced operating costs and new heat meters have ensured heat use is now recorded and billed accurately.

### **Swinton Fitzwilliam Estate**

- 2.5 Tenants on the Swinton Fitzwilliam Estate, supported by Local Ward Members have raise concerns about the difficulties they were having in being able to afford the costs of heating their homes. In January 2017 a campaign started by a local resident, sought a reduction in the price paid for district heating. Many tenants were experiencing difficulty paying to heat their homes during the winter period based on the prevailing 8.72p per kwh charge rate. This rate had been agreed by Council in January 2016 for the 2016-17 financial year.
- 2.6 Given the upgrade to the district heating system was ongoing at the time of 2016-17 budget setting, so potential cost savings from installation of new infrastructure were not known and the previous decision by Cabinet in January 2012 to pursue full cost recovery across the district heating schemes the charge rate of 8.72p per kwh was retained for 2017-18 pending a review.
- 2.7 Within the budget setting report a commitment was made that after a full year of operation any over recovery of income would be refunded to tenants. This was also confirmed in writing to tenants living on the estate.
- 2.8 Given the campaign by tenants to seek a reduction in the kwh rate, an interim refund was issued to tenants prior to the year end based on known income and expenditure between April – December 2016. The refund was issued to all tenants, with the exception of those with historic district heating debt, in February 2017. The average refund was £126 including VAT.
- 2.9 A further refund was issued to tenants in April 2017 covering the date of heat meter install until 31 March 2016. This was for an average of £80 including VAT. A final refund was issued 22 May 2017 based on known income and expenditure for the entirety of 2016-17. The average total refund given to tenants on the estate for 2016-17 was £232 including VAT. This meant the kwh charge reduced from 8.72 pence per kwh to 5.52 pence per kwh for 2016-17.

### **3. Key Issues**

- 3.1 Following the review of the prevailing charge rate for district heating at Swinton Fitzwilliam a full review of the cost model and subsequent charging rates has been undertaken across all district heating schemes. This review will ensure a charging structure that is fair to all tenants on district heating throughout the borough is adopted.
- 3.2 Three options have been modelled based on full cost recovery of utilities only, full cost recovery including all utilities and administration and a subsidised scheme where the Council will incur a loss of 20%. These cost models are based on all properties on district heating schemes across the borough being pooled and treated as one scheme. As a result there will be a cross subsidy between individual district heating scheme locations i.e. one location may make a loss and another profit, but all tenants throughout the borough will pay the same kwh rate. However, all tenants will see a reduction from the current charge rate of 8.72p per kwh.

3.3 In calculating the revised kwh rate the following assumptions have been made:

- Forecast 2017-18 expenditure is based on known 2016-17 costs of operating the district heating schemes and not the budget that was originally set in January 2017. The original budget was based on known operating costs for 2015-16 as these were the only actual full year costs available at the time of budget setting.
- Forecast income is based on the actual number of kwh purchased by tenants in 2016-17.
- Throughout 2017-18 further investment will continue to improve the efficiency of district heating systems. No allowance has been made for further reductions in the Council's operating costs that may result.
- The kwh charge the Council pays for utilities will remain the same. The current average kwh charge for gas is 2.418p per kwh. Utility costs used in calculating the cost of district heating include electricity, gas and water.

3.4 In completing this work Sheffield City Council have undertaken a review of the principles behind the cost model and are satisfied that the costs have been calculated fairly. The basis is similar to those used for the modelling in Sheffield taking into account the economies of scale that Sheffield can rely on.

The details of each option are set out below:

**Option 1: Partially subsidised district heating charges (Utilities only i.e. gas, electric and water) – not recommended**

3.5 This would limit cost recovery to expenditure on utilities only. As a result, this will result in the Council operating the scheme at an annual deficit.

3.6 It is also proposed to introduce a daily standing charge as this will assist tenants at Swinton Fitzwilliam by alleviating a seasonal payment spike in the autumn and winter months as they are on pre-payment meters. The fixed daily standing charge would result in a lower kwh charge as a proportion of costs are being recovered throughout the year. The standing charge is used to generate income towards the overall cost of running the district heating schemes. The charge rate across all schemes will be:

District heating charges	2017/18 (current)	2017/18 (proposed)	Revised Annual cost based on 7,200 kwh
Unit Cost KWh (incl. VAT)	8.72p	5.19p	£374
Standing charge per week (incl VAT)	0p	£2.00	£104
<b>Total</b>			£478
<b>Pre-payment Charges per week</b>			
Bedsit	£11.81	£9.56	
1 Bed	£13.76	£11.13	
2 Bed	£15.78	£12.77	
3/4 Bed	£18.26	£14.78	

- 3.7 This option is not recommended as it would result in tenants on district heating effectively receiving subsidised heating.

**Option 2: Full Cost Recovery (Utilities i.e. gas, electric and water & administration costs) - recommended**

- 3.8 This would ensure all costs of operating district heating are recovered. Again it is proposed to include a daily standing charge to mitigate against seasonal payment spikes.
- 3.9 The administration costs include the cost of service charges for heat meters, staffing costs for management and administration of accounts, postage and printing for billing.
- 3.10 The charge rate across all schemes would be:

Pooled district heating charges	2017/18 (current)	2017/18 (proposed)	Revised Annual cost based on 7,200 kwh
Unit Cost KWh (incl. VAT)	8.72p	5.65p	£407
Standing charge per week (incl. VAT)	0	£2	£104
Pre-payment Charges per week			£511
Bedsit	£11.81	£9.56	
1 Bed	£13.76	£11.13	
2 Bed	£15.78	£12.77	
3/4 Bed	£18.26	£14.78	

- 3.10 This option is recommended as it provides a significant reduction for the tenant of approximately £117 per year.
- 3.11 It is the intention to apply the charges retrospectively from 1 April 2017. As a result any credit following changes to the charging model will be applied to the rent account for properties on pooled meter schemes and to the heat meter for properties at Swinton Fitzwilliam.

**Option 3: Subsidised District heating Charges – not recommended**

- 3.12 This would result in subsidising the cost of operating all district heating schemes at a rate of 20% to that recommended at Option 2. This would mean the district heating scheme operated at a potential deficit of £350k for 2017-18 against original budget.
- 3.13 In operating at a loss this would result in a charge rate across all schemes as detailed below:



District heating charges	2017/18 (current)	2017/18 (proposed)	Revised Annual cost based on 7,200 kwh
Unit Cost KWh (incl. VAT)	8.72	4.23p	£305
Standing charge per week (incl. VAT)	0	£2	£104
Pre-payment Charges per week			£409
Bedsit	£11.81	£9.56	
1 Bed	£13.76	£11.13	
2 Bed	£15.78	£12.77	
3/4 Bed	£18.26	£14.78	

- 3.14 This option is not recommended as it would result in tenants on district heating effectively receiving an even higher level of subsidised heating than Option 1. It would also be inequitable to tenants on mains gas who do not receive subsidised heating.

#### **Option 4 – Replace district heating with Individual Gas Boilers – Not recommended**

- 3.15 The Council could commission a review into closing all district heating schemes and providing tenants with individual gas boilers. This would mean there had been an abortive cost of £3.2m over the last 3 years upgrading the existing district heating schemes. It would also require significant new investment in gas mains infrastructure, installation of new boilers and heating distribution systems into all properties currently supplied by district heating. It is likely these costs would be well in excess of £5m assuming new gas infrastructure was required on estates. The option is not recommended.

#### **4. Options considered and recommended proposal**

- 4.1 The options detailed in the main body of the report outline the cost to tenants and forecast deficit to the HRA depending on the option chose. To ensure that all tenants on district heating pay at the same rate and other tenants not on district heating do not subsidise other tenants heating charges it is recommended that the Council move to district heating Scheme (Option 2). This ensures full cost recovery and will result in an average bill reducing by £117 per year assuming the average 7,200 kwh usage remain unchanged. For Swinton Fitzwilliam this would mean the average bill reduced from £612 per annum based on 8.72p per kwh to £500 per year based on average usage on that scheme.
- 4.2 District heating charges will continue to be reviewed annually and increase or decrease depending on total income and expenditure forecast for the forthcoming year. Any forecast over-recovery of income in the current financial year would lead to a price adjustment in the subsequent financial year.

- 4.3 By adopting the recommended option this would mean charges were comparable to other Local Authority district heating providers in the sub-region as illustrated in the table below:

<b>Charge Rate</b>	<b>Rotherham</b>	<b>Doncaster</b>	<b>Sheffield</b>
Pence per kwh	5.65	6.09	3.04
Standing charge	£2 per week (over 52 weeks) – equivalent of 28.57p per day standing charge	0	£4 per week (over 50 weeks) (£14.54 monthly amenity charge for leaseholders and RTB properties only)
Total based on 7,200 kwh per annum	£511	£438.48	£418.88

- 4.4 It should be noted the reason for Doncaster's annual cost being the lower is they have significantly invested in biomass boilers, which attract government grant subsidy so reducing the kwh charged. Sheffield currently offer a subsidised rate due to previously generating a surplus on district heating charges, if this was not offered the charge rate would be 3.72p per kwh or £467.84 per year based on 7,200 kwh.

## **5. Consultation**

- 5.1 This report will be subject to review by the Overview and Scrutiny Management Board.

## **6. Timetable and Accountability for Implementing this Decision**

- 6.1 Final approval is required by the Council on 13 September 2017, this will ensure revised charges are implemented in time for the period of peak demand during autumn/ winter.

## **7. Financial and Procurement Implications**

- 7.1 The financial implications of each option are outlined in sections 3 and 4 of the report. The new unit rates have been calculated using the 2016/17 actual financial and usage data for district heating.
- 7.2 In 2016/17 the actual average annual usage of all tenants was approximately 7,200 kwh. This has been used to model the average costs for all tenants. However, individual charges to tenants could be higher or lower than this value dependent upon their actual usage.
- 7.3 The average cost per tenant in 2016/17 was £628 per annum. Option 2 would see this average cost fall to £511 per annum. Appendix 1 shows the details for each option.

## **8. Legal Implications**

8.1 Section 24 of the Housing Act 1985 allows local authorities to make such reasonable charges as they may determine for a tenancy or occupation of their houses. Further, it requires the local authority from time to time to review rents and other charges (such as district heating charges) and make such changes, as circumstances may require. The changes proposed in the recommendations to this report would fall within the ambit of the Council's discretion as set out in section 24 of the Housing Act 1985.

## **9. Human Resources Implications**

9.1 There are no Human Resources implications arising from this report.

## **10. Implications for Children and Young People and Vulnerable Adults**

10.1 The reduction in district heating charges will assist families and vulnerable adults living in properties on district heating. This will mean they have more money for other living expenses such as their rent, thereby reducing the risk of being evicted due to rent arrears.

## **11 Equalities and Human Rights Implications**

11.1 There are no direct implications in approving the recommended option. However if the option to subsidise the heating charges of tenants on district heating was pursued this would create inequality with other tenants who are on mains gas and do not have the option to receive a subsidy from the Council towards the cost of their heat and hot water.

## **12. Implications for Partners and Other Directorates**

12.1 There are no direct implications for partners and other directorates.

## **13. Risks and Mitigation**

13.1 Through reducing the rate charged the Council may not be able to recover any additional costs it incurs so inadvertently operate at a deficit. This may occur if kwh charges for utility cost were higher than budgeted or Renewable Heat Incentive Income is lower than budgeted. These risks are minimal and the financial impact would be borne by HRA reserves if required.

13.2 There is also a reputational risk that the Council may be criticised for not investing further in district heating infrastructure, such as Biomass which can reduce costs to the tenant due to grant income received.

## **14. Accountable Officer(s)**

14.1 Tom Bell, Assistant Director of Housing and Neighbourhoods Services.

**Appendix 1**

		OPTION 1		OPTION 2 (PROPOSED)		OPTION 3	
Pooled district heating charges	2016/17 (current)	2016/17	Revised Annual cost based on 7,200 kwh	2016/17	Revised Annual cost based on 7,200 kwh	2016/17	Revised Annual cost based on 7,200 kwh
Unit Cost KWh (inc. VAT)	8.72p	5.19p	£374	5.65p	£407	4.23p	£305
Standing charge per week (inc. VAT)		£2.00	£104	£2.00	£104	£2.00	£104
<b>Total Annual Cost to Tenant (inc. VAT)</b>			<b>£478</b>		<b>£511</b>		<b>£409</b>
<b>Potential deficit vs 17/18 Budget</b>			<b>-£264k</b>		<b>-£222k</b>		<b>-£350k</b>
<b>Potential Deficit based on revised 17/18 calculations</b>			<b>-£42k</b>		<b>£0</b>		<b>-£128k</b>
Pre-payment Charges per week							
Bedsit	£11.81		£9.56		£9.56		£9.56
1 Bed	£13.76		£11.13		£11.13		£11.13
2 Bed	£15.78		£12.77		£12.77		£12.77
3/4 Bed	£18.26		£14.78		£14.78		£14.78

	Number of properties	DH Units used	Average Units Used	2016/17 Unit Rate Inc Vat	Average Cost per DH User
All DH properties	1315	9,482,570	7211	£0.0872	£628.80

## Summary Sheet

### Council Meeting:

Cabinet and Commissioners' Decision Meeting – 10 July 2017

**Title:** Outcome of the Consultation and Recommendations on the Learning Disability Offer and the future of In-house Services for Adults with a Learning Disability and/or Autism

### Is this a Key Decision and has it been included on the Forward Plan?

Yes

### Strategic Director Approving Submission of the Report

Anne Marie Lubanski, Strategic Director of Adult Care and Housing

### Report Author(s)

Janine Moorcroft, Head of Service, Adult Care Services

### Ward(s) Affected

All

## Summary

The review of the Learning Disability Offer and future of In-House Services for Adults with a Learning Disability and/or Autism is integral to the Council's overall vision for transforming adult social care. This entails developing a service that enables people with a learning disability to:

- Have the opportunity to get a job and contribute to their community
- Have the opportunity to choose where they live and
- Have access to a good quality health service
- Be kept safe and protected from all forms of exploitation
- Access services of the highest quality which make a difference in assisting people to be as independent as possible
- Offer services that are affordable, are personalised and are what people would want to choose

Reforming the service will also contribute to the Council's strategic vision as set out in the Corporate Plan 2016/2017:

*"Rotherham is our home, where we come together as a community, where we seek to draw on our proud history to build a future we can all share.*

*We value decency and dignity and seek to build a town where opportunity is extended to everyone, where people can grow, flourish and prosper, and where no one is left behind.*

*To achieve this as a council we must work in a modern, efficient way, to deliver sustainable services in partnership with our local neighbourhoods, looking outwards, yet focused relentlessly on the needs of our residents."*

In order to deliver this vision for the borough the Council has adopted the following priorities:

- Every child making the best start in life
- Every adult secure, responsible and empowered
- A strong community in a clean, safe environment
- Extending opportunity, prosperity and planning for the future
- A modern, efficient council – customer focused, responsive, accountable, outward looking and providing value for money

Through the Together for Change programme of work the need for change was demonstrated through the following quotes:

*“People need choice and control of their lives”*

*“It’s not about the buildings but activities and routine”*

*“A real choice for everyone”*

*“Hope for better services”*

The national context in relation to Adult Social Care and the future of service provision for adults with a learning disability is reflected in:

- Care Act 2014
- Transforming Care for People with Learning Disabilities 2015

The legislation affirms the commitment to personalisation and shaping responses to individual circumstances, enabling people to exercise choice and maintain control over their own lives, whilst promoting efficiency and value for money in the use of shrinking resources. The challenge at both national and local levels is to develop robust, sustainable opportunities and support that promotes prevention and early intervention.

Further to the approval of the report “Consultation on the Modernisation of the Learning Disability Offer and the future of In-House Services for Adults with a Learning Disability and/or Autism” on 14 November 2016, this report further builds on the outlined direction of travel and sets out the subsequent next steps and recommendations for consideration.

The previous reports have acknowledged that this approach will be a 3 year improvement journey to ensure the success of the future model and to build on the offer for Rotherham, based on what people have told us through the consultation period. The Council therefore envisage changes to continue until 2020.

The steps that have been taken over the last 2 years have built on the principles of the Care Act 2014 and the need to enhance our offer to move away from an offer of traditional based support to a model which promotes independence for young people and adults. However, it is recognised that some customers with significant and complex needs will require support in a safe and secure environment but optimising their independence wherever possible. In order to achieve this, the Council will work more closely with users, family carers, and key partners from the Rotherham Clinical Commissioning Group (RCCG), Rotherham, Doncaster and South Humberside Trust (RDaSH) and Health Stakeholders.

There will be a focus on timely advice and information, technology and the delivery of improved outcomes for people in more cost effective ways, with an emphasis on what people can do rather than what they are unable to do. This is described as a strength based approach.

In real terms, this will mean that people will have access to enablement services to ensure people's independence will be optimised as much as possible and this will be to ensure their best outcomes. This will include employment opportunities, leisure opportunities and a real choice as to where and how they live.

The current building based offer of day care, respite and residential care can restrict the independence, choice and control of current customers and is not cost effective, although it is still considered that such care remains appropriate in the short to medium term for a small cohort of people with complex needs. In addition, it is recognised that the service spends £21.5 million (2016/17) on Learning Disability Services for approximately 725 people.

The proposed new service 'offer' has to be supported by proactive and innovative commissioning. The approach was outlined in the Cabinet Report of 26 May 2016, which will shape future services, ensuring there is a choice for people to access their support in a different way, such as being based in supported living or using shared lives rather than defaulting to residential care. The agreed commissioning approach ensures that the market responds to the needs of individuals now and in the future. This will continue to be co-produced with people with a learning disability to facilitate the shaping of the market and in so doing inform the quality of support and the management of risk. In order to support this process the Council has commissioned Community Catalysts to develop small local and community based options that will offer individuals a range of activities to meet their support needs.

This will also increase the preventative offer so those people who need short term assistance can build confidence or make contacts with relevant support groups. There will also be a focus upon providing an enablement service which is not currently provided when the Council review the enablement offer, and there is evidence and good practice which shows the positive impact on people's outcomes when enablement is used effectively.

### **Recommendations:**

#### 1. Cabinet is asked to:

- a) Approve the key principles for the adult social care pathway as outlined in section 5 which clearly defines the aspirations and the overall offer to the residents of Rotherham and underpins the Adult Social Care Vision and Strategy (March 2016).
- b) Approve that a Prevention and Technology Strategy is developed in line with the Care Act 2014 by August 2017 for all user groups.
- c) Approve a 12 week period of consultation with customers, staff and stakeholders on the options for Oaks Day Centre (Wath), and following the completion and analysis of the consultation agree to receive a further report outlining future recommendations.
- d) Approve a 12 week period of consultation with customers, staff and stakeholders on the options for Addison (Maltby) and following the completion of the consultation and analysis agree to receive a further report outlining future recommendations.

- e) Approve a 12 week period of consultation with customers, staff and stakeholders on the options regarding the re-provision of respite care to enable a closure of Treefields and Quarryhill respite and following the completion and analysis of the consultation agree receive a further report outlining future recommendations.
- f) Approve the retention of the REACH Day service with the option of reviewing the current accommodation.
- g) Note that all current customers will be individually re-assessed to ensure they receive the appropriate package of care.
- h) Approval to receive final proposals following analysis of the consultation responses.

**List of Appendices Included:**

**Appendix A** – Timeline of process and further consultation, including specific service consultation.

**Appendix B** – Learning Disabilities Equalities Analysis

**Appendix C** – Summary presentation from online consultation

**Background Papers:**

- Vision and Strategy for Adult Social Care – March 2016
- Implementing a Strategic approach to the commissioning and delivery of learning disability services- 26 May 2016
- Consultation on the modernisation of the Learning Disability Offer and the future of In-House Services for Adults with a Learning Disability and/or Autism” on 14 November 2016
- Transforming Care for people with Learning Disabilities, 2015
- Care Act 2014/15
- Mental Capacity Act 2005
- Making it Real 2012
- Think Local, Act Personal 2010
  
- Rotherham Housing Strategy 2016 – 2019
  
- Together for Change Document (Learning Disabilities)
  
- Full consultation document from online consultation
  
- Summary data from engagement opportunities

**Consideration by any other Council Committee, Scrutiny or Advisory Panel:**

Overview and Scrutiny Management Board

**Council Approval Required:**

No.

**Exempt from the Press and Public:**

No.



**Title: Outcome of the Consultation and Recommendations on the Learning Disability Offer and the future of In-house Services for Adults with a Learning Disability and/or Autism**

**1. Recommendations:**

- 1.1 Approve the key principles for the adult social care pathway as outlined in section 5 which clearly defines the aspirations and the overall offer to the residents of Rotherham and underpins the Adult Social Care Vision and Strategy (March 2016).
- 1.2 Approve that a Prevention and Technology Strategy is developed in line with the Care Act 2014 by August 2017 for all user groups.
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- 1.6 Approve the retention of the REACH Day service with the option of reviewing the current accommodation.
- 1.7 Note that all current customers will be individually re-assessed to ensure they receive the appropriate package of care.
- 1.8 Approval to receive final proposals following analysis of the consultation responses.

**2. Background**

- 2.1 A key driver of the localised strategic approach to the provision of support for adults with a learning disability is the national context which has a focus on transforming care and support based on personalised support, early intervention and enabling people to access a range of services and support at the point in which they need to do so. The key principles of this national context are reflected in the Care Act 2014 and Transforming Care (National document led by NHS England). In addition to the driver for transformational change, there is the financial context of reducing resources and increasing demand, which is both a national and local challenge.
- 2.2 The Care Act 2014 requires people to be assessed as individuals and for their needs to be determined in terms of their personal 'wellbeing'. The Act focuses on looking at people's strengths, what they can do and what outcomes they want to achieve, which is described as strength based approach. It anticipates that most individuals can lead full lives focussing on prevention and timely advice and information. This will require a significant practice and cultural shift locally to which the Council has to respond.

- 2.3 In Rotherham, there is a higher rate of people with a learning disability per 100,000 population at 371.77 compared to a regional rate of 346.06 and our neighbouring Authorities of Barnsley with 313.76 and Doncaster at 348.53. Rotherham also has significant cohorts, for example, 204 people aged 18-30 years and 164 people aged 51-64 years. It should also be noted that there are 347 carers aged between 55 and 69 who support a service user with a learning disability.

Historically adult social care in Rotherham has been based upon a traditional “assess for service” model which has resulted in a higher proportion of adults with a learning disability in receipt of services when compared to regional neighbours. Care and support has been provided by services rather than prevention and promotion of an individual’s strengths. Services also tend to be traditional due to lack of alternatives available.

Many Local Authorities have moved away from providing any in-house, building based offers and now offer a tailored, individualised and personalised service. Others have targeted a reduced resource to people with significant complex needs including behaviour that challenges. A personalised approach will look at the individual’s outcomes as described in the Care Act 2014 and therefore individuals will use their personal budget with support to identify the best way to meet their own needs. This may be by accessing universal services at no or low cost, purchasing community services or commissioning a provider to provide domiciliary care or other types of support. This means that a range of different options will be developed and offered and this will incrementally increase through the transformation of adult care.

It can be suggested that the 18-30 cohort has largely been impacted upon by transitions from Children’s Services, due to alternative provision not being available. The 51-64 cohort (regardless of primary support reason/disability type) is reflective of Rotherham’s service demographics. The numbers of people accessing a traditional service within this group are further evidence of a model of “service provision”.

Higher numbers of learning disability service users are reflected in the proportion of 2016/17 budget spend with 30% of all Adult Social Care budget being spent on learning disability services/service users.

Consideration is therefore required on how to transform our services to meet the aspirations of individuals and their families, but also acknowledge the need for time to build confidence, trust and the wider market of services within local communities over the next 3 year period for wide ranging need and expectation.

- 2.4 The journey to look at alternative options for traditional based services began in April 2015, and more significant work was undertaken following the report to Cabinet in May 2016, which included alternatives to traditional care and developing community assets. The work to date has achieved the following:

- Transformation of Copeland Day Care Centre from a traditional building based service to one focussed on a personalised approach.
- Development of Community Link Workers to assist with market shaping. This has included developing new opportunities in the community where people can access or use their personal budget to purchase either individually or in “friendship groups”.

- Care Act compliant assessments which has started to embed a strength based model, ensuring that an individual's outcomes are at the centre of the assessment.
- A variety of commissioned resources to support the development of community assets, such as community connectors and Disabled Go.
- The Council has contracted with Community Catalysts to provide a specific focus on Learning Disabilities and to build on the number of social enterprises available in Rotherham.

2.5 At Cabinet meeting held on 26 May 2016, the paper on “Implementing the Strategic Approach to the Commissioning and Delivery of Learning Disability Services” was agreed to start the discussion about how and why the service offer for people with a learning disability and/or autism will change in the future.

In addition to this there has been a series of engagement events with customers, carers and families on the modernisation of the Learning Disability Offer called Together for Change.

In November 2016, Cabinet approved that the Council should begin a consultation with customers, stakeholders, carers and the general public about what they thought could meet the needs of those people who may need services in the future. The progress to shape the offer has continued through the consultation process on the wider Learning Disability and Autism Offer for Rotherham and there have been many opportunities for customers, carers and staff to engage in these conversations. It is clear through the consultation that there has started to be a shift in the thinking of how the offer could look in the next 3–5 years and that people aspire for the wider offer of choice and personalised services.

The review of the Learning Disability Offer and future of In-House Services for Adults with a Learning Disability and/or Autism is integral to the Council's overall vision for transforming adult social care.

2.6 The approach will enable people to transform their lives from one where they either live in and use specialist services or live in the community in a range of accommodation provision but are not part of it, into living as part of the community, mainly using services open to everyone with access to specialist services when needed. The individual needs of people will be met in the least restrictive settings as possible, formulated on robust positive risk assessments based on the recognition that people live in their communities safely and often have better outcomes for their health and wellbeing. This will be underpinned by the principles of the Mental Capacity Act 2005 where best interests need to be considered.

## 2.7 **Learning Disability In-house Day Services**

There are currently 3 building based in-house day services – Oaks Day Centre at Wath, Addison Day Centre at Maltby and Reach Day Centre at the Elliott Centre, Badsley Moor Lane. In addition, there are 2 outreach services for Addison and REACH within Maltby and Kiveton Park.

In addition to this there are also 10 customers in commissioned day services.

- 2.8 Oaks Day Centre is a learning disability day service based within Wath which operates Monday to Friday between the hours of 8.30 am – 4.30 pm. On average there are approximately 80 customers in attendance per day from a total of 120. The majority of these customers access adult services in-house transport as they do not live locally. 50% of customers also reside in a residential or supported living setting where the Council pays for 24/7 support. The service provides primarily building based activities with some outreach work into the community. Most customers have been accessing this service for in excess of 20 years and there is little evidence of any customers moving on to independent opportunities.
- 2.9 Addison is a learning disability day service based within Maltby which operates Monday to Friday between the hours of 8.30 am – 4.30 pm. On average there are approximately 90 customers attending per day from a total of 130. There is little evidence to show that customers from this service move on to alternative provision. The service provides building based activities and planned activities within the community.

The site also includes ADPRO which is the Learning Disability supported employment base. There are some good outcomes that have been demonstrated within the employment service, however, there is a question around the current base and if this would be more effective operating from the town centre. Most customers who attend Addison use in-house transport to access their day provision, however, all customers who access ADPRO self-travel.

The service has connections with 26 local employers that offer 32 of the trainees at ADPRO placements. During 2016/17 16 people have been in paid work between 1 – 15 hours per week. (5.6%)

Through undertaking a focussed piece of work around ADPRO and our employment offer the Council would foresee this figure increasing to the national average of 5.8 % which would result in positive outcomes for customers and reduce personal budgets.

- 2.10 Reach Day Centre based within the leased-in Elliott Centre is situated in Herringthorpe on Badsley Moor Lane and provides support for 30 customers per day. Maple Avenue is in Maltby and this is the outreach service which supports a further 25 customers. There are currently 55 people receiving a service across the week. Reach Day Centre is open Monday to Friday 8.00 am – 4.00 pm. 90% of the customers live with their parents and 80% use social care transport and 20% are transported by family members. The customers attending Reach Day Centre have complex needs and in the majority of cases need a higher level of support than customers at Oaks and/or Addison.

## 2.11 **Transport Arrangements**

Approximately £0.81 million per year is spent on travel arrangements for people with Learning Disabilities to day care, with an additional £320,000 per year spent on the provision of private hire taxis. Any changes will need to ensure that people will have travel training, where appropriate, in order to be independent. This will be risk assessed and based on good practice.

It should be acknowledged that many customers have not had a holistic assessment to determine any transport needs or changes to current transport arrangements. This has created an unnecessary dependency on Adult Care transport and an increased cost.

It should also be noted that the corporate transport review will look at solutions to integrate transport and provide a more streamlined and cost effective model. This new delivery model can then be embedded into individual assessments where appropriate.

## 2.12 Learning Disability Respite

The Council has 2 in-house traditional respite services - Treefields in Wingfield and Quarry Hill in the Wath area. Both services offer respite care to people with a learning disability.

Treefields has a 95% occupancy rate and Quarry Hill has a 91% occupancy rate - these figures include provision made for emergency respite. There are 6 bedrooms in each establishment. It should be noted that neither service can accommodate people who use a wheelchair as the buildings are not accessible. This support is provided for 101 customers. Treefields and Quarry Hill provide emergency respite on a rota system with Ladycroft an independent residential/respite unit.

All individuals accessing the services would need a strength based reassessment to look at any ongoing needs, including the need for respite for carers / family members.

## 2.13 Learning Disability Residential

Parkhill Lodge in Maltby is a 22 bed learning disability residential unit. The rationale to include this building in the review is because it will support the programme to deliver personalised outcomes for customers. A detailed analysis would need to be undertaken once all the strength based assessments have taken place to look at the overall financial impact of individual assessments. This would also be predicated on market availability at reasonable cost. This area is interdependent with the commissioning strategy for people with a learning disability.

In addition to this there are 172 customers living in 24 hour accommodation, 29 of which are out of area placements. This is due to the need for specialist provision that has not been readily available in Rotherham.

## 3. Key Issues

3.1 In order to continue to deliver the vision agreed in March 2016 for the Learning Disability Service and to progress on the key themes that have developed through conversations from the Consultation, the following issues need to be considered:

- The reliance on traditional models of care, with a large number of people living in care homes and sometimes having to live away from Rotherham to receive services. There are currently 29 people in receipt of 24 hour care living out of the Borough. All customers need to have an assessment to determine if their current placement is in their best interests and meeting their needs within an independence model. There will also be a requirement to ensure that the costs applied are reasonable to meet the individual's needs. Support plans should be clear on the expected outcomes for individuals and an approach that enables independence and reduced levels of support (step down approach) to alternative accommodation, where appropriate, put in place.
- The high use of traditional day centres and poor or limited access to mainstream social activities with few work opportunities. It should be noted that it is unusual

for a Local Authority to provide 5 days a week day care for people with high complex needs and in addition for people who reside in residential and/or supported living to access day care as an addition. This will be addressed through individual assessments with customers who reside in these settings and in addition through engagement with providers. However no changes would take place before assessments have been undertaken and stakeholders have been engaged.

- An initiative which was called Community Opportunities Programme, consisted of a Team Manager and 2 Social Workers, was launched in September 2016 and had a focus with 10 volunteered customers and their families to work closely with them to take a detailed look at the customer journey for assessment and support planning which aimed to look at alternatives. Feedback from carers and customers linked to traditional services has in some cases demonstrated a change in their thinking to move away from the current model.
- Currently there is only one type of respite offer which is a building based traditional 6 bedroom property, which is not accessible for customers with more complex needs and does not offer choice. It should be noted that the Council also commissions 10 private respite beds for Rotherham residents.
- The current in-house transport offer which comprises of a fleet of leased vehicles restricts the ability for customers to self-travel. In addition there is also an overuse of private hire taxis for customers. Wherever possible, the Council will support those customers to enable them to enhance their skills and travel safely within their community. This piece of work has progressed and has seen several reductions in the use of transport and changes to the provision of transport, which has resulted in better outcomes for customers and some financial savings.
- The Shared Lives Scheme currently offers placements for 48 people, of which 40 are learning disability customers, and has shown good outcomes. A piece of work was commissioned to analyse quality and customer outcomes. There is an expansion plan which will allow the scheme to offer day support and short breaks on a larger scale to a wider group of people based on the carers' needs. Shared Lives offers a good alternative to residential care which is personalised and more cost effective. This is a key work stream within the Learning Disability Programme and a recruitment process for a new Shared Lives Manager will be the catalyst required to move this project on in terms of pace, scale and innovation.
- The connection between services for children and adults with learning disabilities needs to be strengthened to ensure continuity in meeting needs. A transitions team has now been established and joint work is taking place with Children and Young Peoples Services (CYPS) / Education and Health to implement a new approach including a better understanding of the cohorts and their future needs.
- Ensuring a joint approach to commissioning services across health and social care has been introduced to reduce duplication, confusion and cross-agency issues for both adults and children.

### 3.2 Property Maintenance

The Adult Care & Housing Directorate has been liaising with colleagues from Asset Management to determine the predicted repairs and maintenance costs for the current in-house Learning Disability establishments. There is a summary of the predicted repairs and maintenance costs over the next 25 years.

It is clear, however, that there are some repairs that are recommended to be undertaken within the next 12 months if the buildings are to be retained in the longer term. These are outlined below:-

Property	Total Cost	Repairs / Maintenance	
Parkhill Lodge	£20,000	Timber Cladding	£5,000
		Boiler Pumps	£5,000
		Asbestos AIB Corridors	£10,000
Quarry Hill	-	No major condition costs	
Treefields	£2,000	Damp in wet room	
Oaks Day Centre	£900,000+	Refurbishment	£900,000+
Maple Avenue	-	No major condition costs	
Addison Day Centre	£45,000	Roof	£30,000
		Windows	£15,000

#### 4. Options Considered and Recommended Proposals

- 4.1 The formal 60 day consultation on the Learning Disability and Autism Offer for Rotherham commenced 05 December 2016 and ran until 02 February 2017; this comprised of a series of engagement events across the Borough and online questionnaires. The main purpose was to outline the Council's vision and to receive feedback from a wide range of stakeholders about what they want the future offer to look like. This then informs the recommendations for in house services covered in this paper.

There were 627 people from across Rotherham who engaged in the completion of questionnaires or attended one of the 23 engagement opportunities (one to ones, focus / discussion groups). This consisted of customers, carers, staff, members of the public, stakeholders and young people who may access services in the future.

The data analysis for the online questionnaires has been completed by an external body, with the data from the engagement events being compiled by the Quality and Performance team.

Following the 60 day consultation, it is clear there were some key themes coming out that have informed the recommendations going forward. Within the consultation through engagement within Focus Groups, Drop-in sessions and one to ones the following themes were discussed:

- Choice and control
- Living in your own community
- Having your own front door
- What the services for Learning Disabilities and Autism should look like in 5 years?
- Anything else you would like to tell us?

The two background papers for the consultation sets out the summary of the information on the data analysed from the questionnaire and the full detail of the consultation questionnaires. The data from the engagement opportunities (one to ones, focus / discussion groups) is also included in the background papers.

## 4.2 Summary of Consultation

This section outlines the information from the online questionnaires and the information analysed from the twenty three engagement opportunities. (Please refer to background paper)

- **Summary of Online Questionnaires**

A total of 487 questionnaires were completed either online or via requesting a hard copy. The breakdown of the 487 was as follows:

Customers	227
Carers	92
Staff	141
General Public	27

70% of the customers who completed the questionnaire had a Learning Disability and 5% had autism. The majority were young with 70% being under the age of 45.

- **Services Used**

In respect to current services used 62% of customers accessed day care provision, with 23% accessing respite services, 22% in supporting living and 18% in residential.

42% include access to other services such as the in-house employment provision, school, college and Speakup.

- **Skills and Activities**

There was a specific question within the questionnaire which determined what people are good at. Within this data 48% of people listed hobbies and interests in which they enjoyed. The most popular being baking/cooking, computers and gardening.

- **Support Needed**

There were 207 customers' responses to this question with variable answers that all identified some level of support. Some identified a low level of support whilst some demonstrated a higher need.

The carers and families returned 90 responses with 58% reporting a high level of need, some carers clarified by saying *"cannot speak, stand, walk, brush hair or teeth"* or support needed *"everything involved in daily living, and all aspects of life"*.

Other levels of support were also mentioned around night support *"sleeping issues, keeping safe inside and outside the house"*.

- **Support to improve Choice and Control**

This question was specifically what the Council can do to help people have more control over own choices? Of the 155 respondents who answered this question, 15% said that they already have support and identified who they would go to if they needed support. A further 15% wanted more support and for those who came up with suggestions some wanted more choice and said that this may come from having a job and gaining more independence.



There was one example in particular that suggested his carer stopped a customer from doing things and others suggested the person is too severely disabled.

- **Opportunity to Work**

51% of customers said that they would want to work or volunteer (if not already). Additional comments to this question were made suggesting working in a bar, bakers shop, café and library and 11% wanted to work outside. Some customers were more creative with their ideas with answers such as *“work at New York Stadium”*, *“volunteer at Disneyland Paris”*.

- **Travel**

This response was overwhelming, with 67% of people suggesting support for travel training and bus buddies, with an escort and community transport for those who are more vulnerable.

- **Safety**

26% of carers suggested that they didn't feel safe in the community and 12% of customers said that they did not; with 54% of customers responding saying they felt safe.

People said that feeling unsafe is linked to the person's level of severity of disability. It was reported *“I worry in unfamiliar surroundings and then might suffer from sensory overload and have a meltdown publicly”*.

- **Future Planning**

From the 92 carer respondents who were asked if the person they cared for had a plan in place for the future, 85% said no. There were worries about the future and a time when carers are no longer around. There were also anxieties around services closing.

- **Availability and Access to Services**

There is a concern from people that there are insufficient services for people with a learning disability in Rotherham. There is also a perception of a lack of services/groups available and lack of local groups to access.

Carers outlined their own perspective on the quality of what a service should be like in the future, *“he needs stimulating learning and socialising mixing with young people like himself with trained staff”*.

Carers described the outcomes of a quality service which is based on their experience, *“He has grown in confidence learning new skills. He goes to college 3 days and does 2 hours at Barnados Charity Shop through Ad-Pro”*, *“He has just started travel training and will learn some travel safety from this”*.

Following the consultation it is clear that there a number of future recommendations in respect to the Learning Disability and Autism Offer for Rotherham, that are being considered separately. This includes personal budgets, opportunities to self-travel and future planning for individuals. This activity is underway through routine activity with Adult Social Care.

#### 4.3 **Summary of Engagement Opportunities**

Twenty three opportunities were available for people to engage (see Figure 1.1 in background paper for consultation). In total, 140 people participated in this part of the consultation. The majority of participants were family carers and people with

learning disabilities and/or autism. Some providers including Healthwatch, the Rotherham Parent Partnership and YAWR (You Ask We Respond) were represented at the hard to reach group engagement session.

From the twenty three engagement opportunities the top six themes focussed on:

- Health and Wellbeing
- Day Centres
- Accessibility and Community Involvement
- Choice and Control
- Communication, information and advice
- Assessment and Reviews

The analysis below provides a summary about what exactly was discussed within each of these main themes.

- **Health and Wellbeing**

Out of the twenty three engagement opportunities, health and wellbeing was raised at twenty six times. Within the health and wellbeing theme, friendships were of key importance. Participants placed significance on the importance of maintaining friendship groups, making new friends and socialising outside of day centres:

*“I would like to see my friends more outside of the day centre”* -session 12.

During session 15 participants stated:

*“Friendships are more important than where he is based”*.

- **Day centres**

Across the twenty three engagement opportunities Day Centres were mentioned at twenty two events.

During a discussion between 19 family members / carers of people with a learning disability and/or autism, it was mentioned that some service users have been attending day care for many years and this is the only support they receive:

*“[He] Loves the centre – it’s his life”* -session 13.

During another engagement opportunity the following was stated:

*“People currently think that Day Centres are the only option as this is what they are used to”* -session 1.

Some family members/carers commented that their son/daughter attends a day centre but they do not have the choice they once did.

*“Day centres can’t provide the choice of activities they once did due to staff and budget cuts” – session 1.*

*“If centres are unable to provide the activities they shouldn’t be put onto clients’ timetables”– session 1.*

In contrast other participants had more negative opinions of the day care offer. Some argued that:

- Day centres do not meet need
- No 1:1 in place at day centre so [my son/daughter] is bored
- People are pigeon holed and aren't given opportunity to try things at day centres
- Day centres should not be the only option available
- Day centres are unable to provide activities

Day centres were also discussed in relation to choice and control with some commenting that service users are able to make choices at day centres and others disagreeing, stating that day centres cannot provide choice.

*“Day Centres can't provide the choice of activities they did due to staff and budget cuts” – session 1.*

- **Choice and Control**

Across the twenty three engagement opportunities choice and control was mentioned at fourteen events. When discussing choice and control participants tended to discuss this in two categories:

1. How individuals experienced limited choice and control
2. How individuals were able to make their own choices

It was evident amongst people with a learning disability and/or autism that there are mixed feelings regarding choice and control. Some individuals feel they have choice and control but with limitations stating:

*“I have a lot of choice and control but sometimes people try to put their opinions on me” – session 12.*

*“Yes [I am able to do activities and hobbies that I'd like to do] but money is sometimes an issue” – session 12.*

Carers felt strongly about the impact of having a learning disability and/or autism and individuals being able to make choices at short notice stating:

*“Can't just go to the pictures, life is day by day, can't look in to the future. It's a life sentence” – session 13.*

Others reported that choice and control is difficult due to dependency on others or to having to follow someone else's schedule:

*“Control is hard because I can't go to the cinema on my own, I have to rely on someone who will go out with me” – session 12.*

With some people with learning disabilities commenting they had to rely on others to get out and about and that money impacted on their ability to take part in activities they would like.

Participants also discussed the fact that carers and supporters tried to put their opinions on to them, and that their parent/carer tells them what to do, with some

carers seemingly agreeing stating:

*"[My son/daughter] is not able to make choices and control", "[he/she] is better being told what to do rather than being given a choice"* – session 5.

Others commenting that lack of other services impacted on their ability to have choice and control:

*"Goes to Oaks as there is nothing else"* – session 13, *"Day Centres can't provide choice"* and *"Day services unable to provide activities"* – session 2.

Options for individuals with complex needs were also highlighted as an issue which affects choice and control:

*"No care available for complex needs in Rotherham - need to access out of borough services"* – session 21.

- **Communication, Information Communication, Information and Advice**

Out of the twenty three engagement opportunities, communication, information and advice was mentioned at fourteen events.

Participants stressed the importance of transparent communication:

*"Be open and honest – don't waffle, tell us how it is"* – session 1.

This was extended to information and advice:

*"You need to be open with information and advice sharing"* – session 1.

Attention was brought to the methods of communicating and that there are different ways to communicate other than written. Some service users have specific communication needs, such as Makaton. It was felt that information and advice should be available to the general public in a timely manner. This should include communication about what is available/what the options are. Participants feel that the communication of information and advice is an issue. Reference was made to the current experience of accessing information and advice stating that the process of who to speak to and how is unclear. Specific mention was given to the Single Point of Access, citing unacceptable waiting times and also ineffective signposting by Switchboard.

*"It should be a stepping stone to finding out what's available and how we can action it"* – session 21.

Following the consultation it is clear that there are a number of future recommendations in respect to Learning Disability and Autism Offer for Rotherham.

Due to the number of themes and extent of the information gathered it is recommended that specific consultation takes place on the separate areas as outlined below.

- **Assessments and Reviews**

Out of twenty three engagement events, the theme 'assessments and reviews'

was mentioned at fourteen events.

Carer's assessments were raised as an issue with participants concerned about the lack of information and awareness. Others voiced that more robust carer's assessments were needed, whilst others complained that they had not been offered a carer's assessment.

Contingency planning was discussed and participants raised concerns about there being a lack of contingency or 'emergency' planning in place.

There was concern about the timeliness of assessments and reviews being overdue and/or not being followed through. Some spoke about not being able to 'get a social worker' (session 21). Individuals that had received an assessment or review raised the following issues:

- Inconsistencies with assessments
- Negotiating over support and services – 'bartering' to keep one, lose another
- Independent living was not considered
- Going round in circles and no outcome
- Quality of assessments is a worry
- No financial assessment for years

#### 4.4 Accessibility and Community Involvement

A theme emerged around accessibility and community involvement. This was discussed at sixteen of twenty three engagement opportunities.

Participants raised the need for community resources for all.

*"We need to move away from a one size fits all thought to look at individuals to get the right placement for them, with people of same interests, age groups etc" and that there should be "community resources for all, not just people with learning disabilities" – session 2.*

Some individuals indicated that they feel involved in the community and are able to access community based services and events i.e. via 'Thurcroft Big Local', 'Get Sorted Music Academy', 'Burlington Bash' and 'Elephants in Step'.

Others shared that they need support to be involved and without this would be isolated from community activities. Participants also felt that having skilled and experienced staff was crucial to supporting community activities and it was referenced that some service users can only access the community with support from carers.

*"It's easy to go out because you have carers" – session 12.*

Some raised concerns about the accessibility of services;

*"I am worried about loneliness and the accessibility of services and available services" – session 2.*

*"There is a lack of opportunities in the south which means we have to travel" – session 2.*

Access to buildings was discussed as an issue as it can prevent people participating in activities and receiving community based support. Some mentioned having to travel across the borough to access day care.

There were a number of concerns raised about accessing the community;

*"I can't read the signs" – session 12.*

*"Not all buildings are accessible to everyone because of wheelchair access" – session 12.*

In addition to this public transport can impede people from accessing the community;

Participants felt small community bases or 'hubs' with 'chill-out' rooms would be a good idea for people to access. It was stressed that these would need to be;

- Local, to reduce the need for transport
- Safe places

*“Bringing in more local services to areas so that travelling would be minimised to shorter journeys that would be easier and more manageable for people. This would also provide easier access for more people” – session 1.*

*“We would have no objection to smaller focussed groups that support friendship and difference and it being person centred; but there would still need to be some smaller buildings for people to meet and for winter days or wet spring and summer days and for resources” – session 14.*

#### **4.5 Hard to Reach Groups - Feedback from Engagement Events**

Hard to Reach communities are under-represented across Rotherham Learning Disability Services with only 4.05% known to services.

The 18-64 LD population currently has 667 customers with an open service (27) of which 4.05% are from a Hard to Reach Community

Speakup worked with a representative from the Unity Centre to organise a specific focus/discussion group which targeted hard to reach communities to ensure their voice was heard. 22 people attended the session which involved family members, people with learning disabilities and/or autism, supporters, advocates and representatives from the Parent Partnership and Rotherham Healthwatch.

### **5 Key principles of the new social care offer**

Approve to the key principles for the adult social care pathway which clearly defines the aspirations and the overall offer to the residents of Rotherham and underpins the Adult Social Care Vision and Strategy (March 2016).

This entails developing a service that enables people with a learning disability to:

- Have the opportunity to get a job and contribute to their community
- Have the opportunity to choose where they live and,
- Have access to a good quality health service
- Be kept safe and protected from all forms of exploitation
- Access services of the highest quality which make a difference in assisting people to be as independent as possible
- Offer services that are affordable, are personalised and are what people would want to choose

#### **5.1 Prevention and Technology**

The Care Act requires Local Authorities to ensure the provision or arrangement of services, facilities or resources to help prevent, delay or reduce the development of needs for care and support. The prevention duty extends to all people in a Local Authority's area, including carers, regardless of whether they have needs for care and support, or whether someone has had a needs or carers' assessment.

In Rotherham our current offer of assistive technology and how the Council prevents customers from coming through our front door is a challenge.

There is a cultural change shift in Rotherham and a move away from the over-reliance on traditional models of care and support to a strength based approach. A significant amount of work has been undertaken to start this process including “Me Learning” Care Act for all staff, 2 days face to face training on strength based practice and implementation of a practice challenge group meeting that is held twice per week to review the quality of assessments across Adult Social Care.

In addition to this the position of a temporary Change Leader has been recruited into for an 18 month period with a specific focus on Prevention and Early Intervention. The work that will be undertaken through the Change Leader will give a strong focus to start to change the strong perception of the need for services and 24 hour support. Within the consultation, 39% of carers felt that with 24 hour support a person could live independently. Built on to this needs to be an emphasis around the offer of assistive technology and how this can support living independently to mitigate or minimise the need to 24 hour care.

During the consultation there was a question around the awareness of what is happening in the community with 40% of customers saying that they did not know or have an awareness of what is happening in the community, whilst 60% reported that they did have some awareness. 79% of staff reported that they did not have any awareness.

In addition 28% of customers told us that they feel part of their community through services like ADPRO, and by getting involved in local events. One customer quoted *“I would like people to be more tolerant of my learning disability and autism”*.

It is recommended that this work continues and that Adult Social Care builds on the improvement of the information and advice offer which demonstrate a model that “prevents, reduces and delays”

This includes the approval and introduction of a Prevention and Technology Strategy developed in line with the Care Act 2014 by August 2017, and the continuation of the work that has commenced with Community Link Workers, Information and Advice Officers and the project for Community Catalysts.

## 5.2 Day Opportunities

In order to give people more choice and control, the Council need to maximise opportunities for all people within their own communities.

During the consultation 18% of customers advised that their lack of confidence or competence stopped them from undertaking activities and 20% suggested that there was a lack of support to do the things they wanted to do.

Customers suggested that they would like more places to go that are more accessible with wheelchair access.

When carers were asked about constraints within the consultation, they responded that whilst the learning disability of the person they cared for was high for a majority of carers, it was recognised that having support for carers could help maintain a consistent quality of service for a person.

It was clear that there are some worries about the lack of services available and the fact that carers need to work. Carers reported that *“I worry about the extra stress of arranging his care eg: direct payments, employing carers etc”*.

This was also reiterated within the engagement opportunities events where individuals raised concerns about managing a budget and the need for information and advice.

In addition to this, hard to reach communities raised concerns about the lack of Personal Assistants who understand cultural needs.

It is clear that through our contact with customers and carers that the Council need to undertake a further piece of work to promote the use of personalised budgets and how this can provide positives outcomes for customers.

When people were asked about their travel arrangements the response was overwhelming, with 67% of customers suggesting support for travel training and bus buddies, with an escort and community transport for those who are more vulnerable. It is recommended that in order to allow customers to gain skills and independence in self-travel, which will give people the opportunity to access places that they do not currently, that the Council look at support through additional travel training.

### 5.3 **Housing and Accommodation**

Through the consultation discussions took place around future housing and accommodation requirements and wishes. It was clear that 52% of customers did not know if they had a support plan for the future and 84% of carers confirmed that they did not.

It was also stated that staff felt that customers and carers were not receiving the necessary support to plan for the future. For most carers and families this subject remains a matter of serious concern.

Through the people who responded within the questionnaires it was determined that 56% of customers lived within the family home. Whilst 17% reside in residential and 16% in supported living, with only 2% in shared lives placements and 9% independently.

When asked specifically about the thought of living independently or if customers thought they should or could, 32% answered "yes" and 68% answered "no". Carers' results on this particular question were 41% "yes" and 59% believing their son/daughter "was not able to" or "would not want to".

The main theme throughout this subject was that services needed to have an individualistic approach for complexity and severity of disability.

Neither customers nor their families have any faith that the Learning Disability population can live on their own without any support. The public believe that living independently can be done provided they are supported appropriately.

This subject is inter-related with the fact that future planning has not been at the heart of discussions held with customers and their families. It is clear that a wider piece of work needs to be undertaken to start to build on the strength based assessments. There is also a need to promote the positives of independent living through visits to schemes such as supported living.



Rotherham has seen some positive outcomes of customers who have resided within a residential setting and have moved on to supported living where they have thrived and gained independent living skills.

This piece of work will be undertaken in partnership with Housing building on the priorities within the Housing Strategy. This work will need to be undertaken to establish the demand and gaps in any specialist provision. There is also some work to be undertaken with providers to be clear on the offer and an approach that promotes and enables independence.

#### 5.4 **Employment Opportunities**

The consultation gave a real insight into the aspirations and expectations of customer's opportunities to gain paid employment or access voluntary work. When asked the question staff responded positively with 80% of staff stating that yes, providing a job is right and there is adequate support. Only 3 people felt this was inappropriate and replied negatively.

The values communicated from staff members were based on the values of equality of opportunity *"people should be given the opportunity to access employment, quite rightly so as they do have a valuable contribution to make to society"*.

Customers responded positively to this question and 92% of customers said that they should have the opportunity to work, whilst 54% of carers and families said that they should not have the opportunity.

Interestingly out of the customers who responded positively to this question only 25% of the cohort said they had the aspiration to work. This is potentially due to the fact that the customers who responded are accessing traditional service models that do not offer the opportunity to access work or gain skills and confidence to access voluntary work or paid employment.

It is clear that the Council need to raise customer's aspirations for employment and voluntary work. It is recommended that a focussed piece of work is undertaken with the relevant partners to enhance our pathway to employment for customers with Learning Disabilities and explore the existing model in-house (ADPRO) to build on any existing opportunities and areas for development. This would tie into the wider consideration for Addison and the offer as outlined in this report.

#### 5.5 **Future of Learning Disability (LD) In-house Services.**

##### **Learning Disability Residential (Parkhill Lodge) and Respite (Quarryhill and Treefields)**

It has been determined from engagement with some of the customers within the in-house learning disability residential home that they could be suitable to be supported within an independent living environment. The 22 bedded unit also hosts 2 separate internal flats on the ground and first floors which could be appropriate for development to meet the new requirements of the service. There are also surplus bedrooms across from the internal flats which are currently not used.

During the consultation, hard to reach communities discussed issues around accessing direct payments and personal budgets, and finding personal assistants who understood cultural needs. In addition people stated that *"residential and respite - don't meet people's needs culturally"*.

To enable a better offer for respite, it is recommended that the use of Parkhill Lodge and other Council assets is investigated to include the provision of respite. It was clear from the consultation that carers rely on the use of respite services to enable them to continue in their caring role however the current offer within Treefields and Quarryhill do not accommodate for complex needs. This is an issue that would be overcome through re-providing the service within Parkhill Lodge.

By undertaking this change, it would allow the decommissioning of one or both in-house respite units (Treefields and Quarryhill) over a 12 - 18 month period, both of which offer 6 bedrooms.

The reduction in the use of permanent beds would therefore be utilised for customers currently accessing the in-house respite services.

Treefields and Quarryhill are both semi-detached properties that offer respite to families for either planned or emergency purposes. Whilst the services receive positive feedback from customers and carers, they do not lend themselves to customers who have more complex needs and disabilities.

It is therefore recommended that the below options are considered for consultation to allow for an alternative offer. Quarryhill and Treefields respite buildings could be converted back into a residential property or may be favourable for development.

To provide an in-house learning disability residential unit is rare, however, it is clear that customers who reside here are safe, happy and well with a good Care Quality Commission rating. One option is to retain Parkhill Lodge for the medium term until 2019/20 and possibly re-provide respite within Parkhill Lodge. The customers who are able to be supported in a different environment i.e. Supported Living should be assessed with a plan to move on from a residential setting.

It is recommended that a specific consultation takes place with customers, carers and stakeholders for a period of 12 weeks (see Appendix A). During this time The Council will talk to individuals and their families about the impact and to hear views and concerns about the proposals.

There is a need to consult for the 12 week period due to the complexities of the customer group and to give everyone the opportunity to be involved.

<b>Option 1: Retain Parkhill as a LD Residential Home and retain 2 current Respite Homes (Treefields and Quarryhill)</b>	
<b>Strengths</b>	<ul style="list-style-type: none"> <li>▪ Retains future provision</li> </ul>
<b>Weakness</b>	<ul style="list-style-type: none"> <li>▪ Does not tackle the need to change and transform service in line with vision and aspirations outlined within the report.</li> <li>▪ Would not offer any choice and control to customers to move on to live independently or to promote independence.</li> <li>▪ Would not support customers with complex needs.</li> <li>▪ Would not release any financial savings.</li> <li>▪ Would not give flexibility to create a different offer that is sustainable.</li> </ul>

<b>Option 2a: Re-configure Parkhill Lodge to combine the usage of 1 respite unit (Treefields or Quarryhill) over a period of 12 months</b>	
<b>Strengths</b>	<ul style="list-style-type: none"> <li>▪ Provides sustainable offer for Parkhill Lodge residents for the medium term</li> <li>▪ Creates a different offer for Parkhill and a more sustainable respite offer which would accommodate for customers with complex needs.</li> <li>▪ Releases some financial savings through the closure of 1 respite unit and generates opportunities for the usage of the residential building</li> </ul>
<b>Weakness</b>	<ul style="list-style-type: none"> <li>▪ Changes to current environment for customers.</li> </ul>
<b>Key Assumptions</b>	<ul style="list-style-type: none"> <li>▪ Customers within Parkhill Lodge would require an assessment of need to determine the potential of moving on to independent living.</li> <li>▪ Capital money should be available to support the reconfiguration work needed within Parkhill Lodge.</li> </ul>

<b>Option 2b: Utilise Cherry Tree House, Masbrough as an Adult with Learning Disabilities Respite Centre to combine the usage of 2 respite units (Treefields and Quarryhill)</b>	
<b>Strengths</b>	<ul style="list-style-type: none"> <li>▪ The property is a vacated children's respite facility which is fully accessible.</li> <li>▪ The premises are adjacent to Liberty House which provides Learning Disability Respite Services up to the age of 18, thereby providing continuity to users as they leave children's provision and move to adults.</li> <li>▪ The building is in good condition having had a substantial amount of investment over the last few years.</li> <li>▪ The building is accessible and would meet the needs of people more complex needs.</li> <li>▪ The premises are vacant and require minimal works to re-commission.</li> </ul>
<b>Weakness</b>	<ul style="list-style-type: none"> <li>▪ Changes to current environment for customers.</li> </ul>
<b>Key Assumptions</b>	<ul style="list-style-type: none"> <li>▪ Capital money should be available to support the reconfiguration work needed within Parkhill Lodge.</li> </ul>

<b>Option 3: Re-configure Parkhill Lodge to combine the usage of 2 respite units (Treefields and Quarryhill) over a period of 18 months</b>	
<b>Strengths</b>	<ul style="list-style-type: none"> <li>▪ Provides sustainable offer for Parkhill Lodge residents for the medium term</li> <li>▪ Creates a different offer for Parkhill and a more sustainable respite offer which would accommodate for customers with complex needs.</li> <li>▪ Releases some financial savings through the closure of 2 respite units and generates opportunities for the usage of both buildings in a residential area.</li> <li>▪ Manages the transformation of the services simultaneously.</li> </ul>
<b>Weakness</b>	<ul style="list-style-type: none"> <li>▪ Changes to current environment for customers.</li> </ul>
<b>Key Assumptions</b>	<ul style="list-style-type: none"> <li>▪ Customers within Parkhill Lodge and both respite units will require an assessment to need to determine the potential of moving on to independent living.</li> <li>▪ Capital money should be available to support the reconfiguration work needed within Parkhill Lodge.</li> </ul>

Out of the above options it should be noted that **option 3** is the preferred recommendation based on the strengths outlined above. This would also allow for a wider transformation of services simultaneously and would maximise the use of Parkhill Lodge over the medium term until 2019/20 whilst the market develops.

## 5.6 Learning Disability Day Centres

### Oaks Day Centre – Wath

The outcome of the consultation whilst some people said they felt they had choice and control, it was clear that customers gave an overwhelming response of their wish to gain employment or voluntary work. This was demonstrated through people expressing their wish to engage in different work settings. 83% of the customers who responded are currently accessing our in-house services (day services and respite).

Some individuals with a learning disability and/or autism not only aspired to live independently but also expressed an interest in seeking employment. Work, education and volunteering were mentioned seven times across the twenty three engagement opportunities.

People with learning disabilities and/or autism stated:

*“I would like a job” – session 12.*

Others mentioned experiencing learning, work or volunteering opportunities already  
*“I feel safe to go to college two times a week” – session 12.*

When customers were asked about what they were good at, they responded with a variety of activities with the most popular being cooking/baking, computers and gardening. Whilst some of these activities are offered within a day centre environment it can be demonstrated that this is not personalised to the individual and that skills are not utilised to maximise peoples opportunity to work or volunteer.

It was clear that some customers and carers are happy with their current offer and day centre placement as they feel that this meets all their needs in a positive way. There was a strong sense of willingness from carers to support the change and in some cases carers recognised that the choice of a traditional day centre perhaps was not the best option for their loved one.

It is evident is that people's friendship circles are really important due to the relationships that have been built over a number of years and that a safe building base of some kind would be favourable. Although there is an understanding and acceptance that this does not have to be the same building for all activities or a large purpose built environment, it is also clear that specialist support services are crucial for customers and carers, and they would like to see more choice for complex and specialist support.

Oaks Day Centre currently offers support to approximately forty people with complex needs. Individual assessments would be required to take place with customers to determine their support needs and to seek potential alternative provision.

There is a piece of work being undertaken from May 2017 through Community Catalysts who will be working with customers and their families to start "taster sessions". This will enable customers with their friendship groups to try other community activities and events in their local area.

Many participants who engaged in the consultation felt that the Council should utilise their existing buildings better, while others acknowledged that some existing buildings were run down and required investment. However, participants felt that should services change they would like the option of having a smaller building base, particularly for the winter months.

'Buildings' became a theme, being discussed six times out of the twenty three engagement sessions.

As outlined above there are some repairs and maintenance costs that will need to be undertake on the building within the next 12 months. These are approximated to cost in the region of £900,000. The cost of this work is not one that is sustainable in the current climate and this needs to be considered as part of the overall recommendation.

It is recommended that a further period of consultation be held on Oaks Day Centre (Wath) including the option of closure. The consultation should run for 12 weeks to enable all users and families to be engaged within the process. The consultation would need to consider the impact on specific customer groups, the need to source suitable alternative provision and engagement with wider groups and organisations to explore alternatives for individuals. This would also include communications with Community Catalysts and commissioning to enable discussions around the needs and demand for provision in Rotherham.

A specific timescale will be required around any future changes to the provision including closure. The timescale would need to take account for all customers to have a reassessment of need and to allow for any transition processes for customers who will move to alternative provision. Within this timescale the market will to continue to be developed to meet the needs of all customers groups.

Whilst recommendations within the report highlight the retaining of REACH customers would still be required to be assessed. These assessments may result in other alternative community based options for customers, which would free up provision for people with a learning disability and autism and or complex needs.

It should be noted that the customers who attend Oaks in many cases have been in attending Oaks for decades from when the former day centre was a school.

Therefore there is highly likely to be sensitivities that will need to be carefully managed with customers, carers and families through consultation and any reassessment.

Around 50% (of the 111 customers) who attend Oaks day centre up to five days a week reside in Supported Living or Residential accommodation. A discussion will need to be held with the relevant providers to discuss their commitment to support customers with day activities within their current living establishment. This would be with a view that this would cease any attendance to in house day centre provision.

<b>Option 1: Retain Oaks Day Centre</b>	
<b>Strengths</b>	<ul style="list-style-type: none"> <li>▪ Retains future provision</li> </ul>
<b>Weakness</b>	<ul style="list-style-type: none"> <li>▪ Does not tackle the need to change and transform service in line with vision and aspirations outlined within the report.</li> <li>▪ Would not offer any choice and control to customers to move on to live independently or to promote independence.</li> <li>▪ Does not promote intergenerational approach</li> <li>▪ Would not support customers to access other community options or employment options</li> <li>▪ Would not release any financial savings.</li> <li>▪ Would not give flexibility to create a different offer that is sustainable.</li> <li>▪ Would create additional financial pressures to modernise building in excess of £900K</li> </ul>

<b>Option 2: Reduce the offer of Oaks Day Centre to customers who reside within residential and supported living.</b>	
<b>Strengths</b>	<ul style="list-style-type: none"> <li>▪ Reduce the current offer by 50% of the current customer base and allows further time to source other alternatives for customers in particular with complex needs.</li> <li>▪ Reduces any duplicate funding arrangements in respect to dual funding for residential and day care provision.</li> </ul>
<b>Weakness</b>	<ul style="list-style-type: none"> <li>▪ Changes to current environment for customers.</li> <li>▪ Challenge from current providers of residential and supported living.</li> <li>▪ Would create additional financial pressures to modernise building in excess of £900K</li> </ul>
<b>Key Assumptions</b>	<ul style="list-style-type: none"> <li>▪ Customers within Oaks would require an assessment of need before any changes to the provision of service is made.</li> <li>▪ Re-assurances would be given to customers regarding re-provision before any changes are made. These commitments would also need to be regularly monitored to ensure compliance.</li> </ul>

<b>Option 3: Consult on Planned closure of Oaks Day Centre and re-provide by personal budgets and or commissioned day care by an external provider</b>	
<b>Strengths</b>	<ul style="list-style-type: none"> <li>▪ Enables the process to create a fit for purpose offer for Rotherham and the opportunity to work with customers and families to achieve their aspirations.</li> <li>▪ Meets our vision and aspirations to offer more choice and control though exploring alternative solutions for customers and allowing the growth of innovative community options.</li> <li>▪ Manages the transformation of the services simultaneously.</li> <li>▪ Releases some financial savings through the closure of the centre and generates opportunities for the usage of the land within a residential area.</li> </ul>
<b>Weakness</b>	<ul style="list-style-type: none"> <li>▪ Changes to current environment for customers.</li> <li>▪ Potential Transition issues for customers with differing timescales.</li> <li>▪ Challenge from existing users and families</li> <li>▪ Potential redeployment issues for staff</li> </ul>
<b>Key Assumptions</b>	<ul style="list-style-type: none"> <li>▪ All customers will all require an individual assessment of need.</li> </ul>

From the options outlined above it should be noted that **option 3** is the preferred recommendation. This is due to the reasons outlined within the strengths. This is predicated by the facts outlined within the report around the need to transform services and create an offer that has more choice for people within Rotherham, and enables independence. It should be recognised however that all 111 customers within Oaks should be individually re-assessed. A recent exercise on the current customer cohort identifies that around 33 customers at Oaks are supported within the complex needs section of the building. It is recognised that this is an area that is underdeveloped within Rotherham and a suitable alternatives would therefore need to be identified for all customer groups. There are options within another in house service (REACH) where it may be suitable for some customers to transition due to the specialist provision that the service delivers.

### **Addison (Maltby)**

Addison is a day centre for people with a learning disability and over the years the manager and staff have created opportunities for the community to be integrated. This has worked well in some aspects including the kitchen and café arrangements that are open for all to attend.

The centre also houses the in-house learning disability employment service (ADPRO). ADPRO currently have 20 customers that are accessing the service at the present time and have shown some aspects of success in providing an opportunity for customers to gain the necessary skills and confidences to secure paid employment and also have a number of successful voluntary placements. It is, however, recognised that the service could thrive in a different environment outside Addison and maximise employment options through a town centre base. Maximising opportunities for employment is a priority area. This option could be a catalyst to enhance and drive skills and employment for people of Rotherham.

Recent discussions have taken place to look at the potential of the site at Addison being used differently. This could for a different offer to allow for young adults leaving school to access locally provided services where employment skills would

be undertaken with a view to customers moving on to paid employment and to promote the confidence and skills to enable customers to live independently.

The land that Addison occupies is of a significant size and at present hosts 2 large separate buildings with numerous activities and craft rooms and a complex needs section. In the outdoor space it presents a large log cabin which has full electrics, several outdoor poly tunnels and a large grassed area which is utilised by the local schools for football training.

The main building itself has had essential repairs and maintenance, however over the coming years it would require significant investment to retain the standards that would be required if the building was to remain of full use.

Around 109 customers attend Addison and their outreach centre at Kiveton with the majority of customers attending 3 or 4 days per week. Out of the cohort of customers that attend Addison around 13 are supported within complex needs, whilst around 33 can display behaviours which challenge and the remaining customers have health and or mobility issues. It is envisaged through a holistic assessment that some customers could be supported to access community activities whilst other individuals would take more time to transition to new alternatives due to the complexities of their needs.

<b>Option 1: Retain Addison</b>	
<b>Strengths</b>	<ul style="list-style-type: none"> <li>▪ Retains future provision</li> </ul>
<b>Weakness</b>	<ul style="list-style-type: none"> <li>▪ Does not tackle the need to change and transform service in line with vision and aspirations outlined within the report.</li> <li>▪ Would not offer any choice and control to customers to move on to live independently or to promote independence.</li> <li>▪ Does not promote intergenerational approach</li> <li>▪ Would not support customers to access other community options or employment options</li> <li>▪ Would not release any financial savings.</li> <li>▪ Would not give flexibility to create a different offer that is sustainable.</li> <li>▪ Would create additional financial pressures to modernise building.</li> </ul>

Options 2 and 3 would need to be undertaken concurrently as they involve further exploratory activity and additional options appraisals to be carried out:



<b>Option 2: Explore potential interest from not for profit providers and consider viable business cases for additional use of the current building for a range of community activities</b>	
<b>Strengths</b>	<ul style="list-style-type: none"> <li>▪ Retains Addison Day Centre “as is” whilst reducing RMBC provider portfolio.</li> <li>▪ Aligns children’s and adults’ provision for further refinement and development in the long term.</li> <li>▪ Provides community options for the community of Maltby</li> </ul>
<b>Weakness</b>	<ul style="list-style-type: none"> <li>▪ Does not easily facilitate short term change.</li> </ul>
<b>Key Assumptions</b>	<ul style="list-style-type: none"> <li>▪ RMBC continue to fund Addison provision.</li> <li>▪ All customers will need to have an individual assessment of need.</li> <li>▪ This will necessitate further options appraisals to be conducted on any submitted business cases and this is anticipated to take up to three months to conclude.</li> </ul>

<b>Option 3: To explore the financial viability of sourcing alternative day care accommodation providing support to people with high and complex needs only.</b>	
<b>Strengths</b>	<ul style="list-style-type: none"> <li>▪ Provides accommodation that supports the service and meets the needs of customers.</li> <li>▪ Would create sustainable solutions for customers with complex needs and future needs for growing demand.</li> <li>▪ Creates new alternatives that are fit for purpose</li> <li>▪ Opportunities to build on innovation and creativity of a new build maximising expertise from partners.</li> <li>▪ Provides suitable alternative for specific customer cohort and reassures families and carers.</li> </ul>
<b>Weakness</b>	<ul style="list-style-type: none"> <li>▪ Does not easily facilitate short term change and the timescales are fluid at present time.</li> </ul>
<b>Key Assumptions</b>	<ul style="list-style-type: none"> <li>▪ All customers will need to have an individual assessment of need.</li> <li>▪ Engagement from commissioning and housing colleagues to support the initiative.</li> </ul>

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<b>Option 4: Consult on planned closure of Addison and re-provide by personal budgets and or commissioned day care by an external provider</b>	
<b>Strengths</b>	<ul style="list-style-type: none"> <li>▪ Enables the process to create a fit for purpose offer for Rotherham and the opportunity to work with customers and families to achieve their aspirations.</li> <li>▪ Meets our vision and aspirations to offer more choice and control though exploring alternative solutions for customers and allowing the growth of innovative community options.</li> <li>▪ Manages the transformation of the services simultaneously.</li> <li>▪ Releases some financial savings through the closure of the centre and generates opportunities for the usage of the land within a residential area.</li> </ul>
<b>Weakness</b>	<ul style="list-style-type: none"> <li>▪ Changes to current environment for customers.</li> <li>▪ Potential Transition issues for customers with differing timescales.</li> <li>▪ Challenge from existing users and families</li> <li>▪ Potential redeployment issues for staff</li> <li>▪ Potential breakdown of community engagement that has been built up over the years through Addison.</li> </ul>
<b>Key Assumptions</b>	<ul style="list-style-type: none"> <li>▪ All customers will need to have an individual assessment of need.</li> </ul>

There is not a definitive recommendation for Addison at this juncture due to the need to consider further options in more detail once business cases have been received. The recommended option for Addison will therefore be covered in a subsequent Cabinet report.

### **REACH Day Centre and Outreach Service (Maple Avenue and Elliott Centre)**

The REACH service is provided from two sites – the Elliott Centre at Badsley Moor Lane, which is the larger of the two sites, with a smaller site at Maple Avenue, Maltby.

The outreach centre Maple Avenue venue has demonstrated some really positive outcomes for customers with autism and learning disabilities, including engagement with the wider community and developing skills and confidence to access local transport.

The service at Maple Avenue can demonstrate good value for money and has a cohort of extremely committed staff who know and understand the complexities of the customer group of 55 customers who attend up to 5 days per week with autism and or a learning disability and behaviours that can challenge. The Council know similar services within Rotherham which are commissioned and are delivered at a higher cost which strengthens the need to retain this service.

It should be noted that around 10 customers at REACH at Maple Avenue are supported with an assessed one to one worker due to the complexities of their health needs and or behaviours that can challenge at times. Whilst REACH supports customers with more complex needs it is known that some customers may

benefit and thrive from a different setting that may better meet their needs. These customers would require a re-assessment to determine this.

It is clear from consultation that there is a need for specialist services that demonstrate positive, proactive and safe outcomes for customers who have more complex needs. There is the potential for the service to grow and there would be a need to review the accommodation that is occupied by the REACH service at both sites. It is recommended that this is explored. This would then enable the service to take on new referrals and consider working in a more flexible, individual and sessional way.

Through the consultation there was a clear emphasis on the need for routine and structure particularly around autism.

Social isolation was highlighted as a concern impacting on health and wellbeing with anxiety regarding communication and frustration being experienced by people not understanding individuals with learning disabilities and/or autism.

Change was referenced several times in the context of health and wellbeing with participants concerned that individuals may not like change and it may have a negative impact on their health and wellbeing.

*“B likes routine and any change to this can cause a behaviour problem” – session 4*

*“Changes affect families, jobs and mental health” – session 11*

Some carers commented that day centres are the “best option” (session 3); stating that current services meet needs which was highlighted as particularly important for service users with specialist and complex needs. Carers also voiced that day centres like Reach, which is a specialist service for individuals with autism, provides routine and structure that is important for individuals who have autism.

<b>Recommendation :</b> <b>Retain REACH Day Centre provision and continue to support current customer group - with a view to exploring more suitable premises.</b>	
<b>Strengths</b>	<ul style="list-style-type: none"> <li>▪ Retains future provision and provides continued stability for customers with autism and or learning disability and behaviours which can challenge.</li> </ul>
<b>Weakness</b>	<ul style="list-style-type: none"> <li>▪ Does not tackle the need to change and transform service in line with vision and aspirations outlined within the report.</li> <li>▪ Would not offer any choice and control to customers to move on to live independently or to promote independence.</li> <li>▪ Does not promote intergenerational approach</li> <li>▪ Would not support customers to access other community options or employment options</li> <li>▪ Would not release any financial savings.</li> <li>▪ Would not give flexibility to create a different offer that is sustainable.</li> <li>▪ Would create additional financial pressures to modernise building.</li> </ul>

It is recommended that REACH Day Service is retained with a view to considering the use of premises..

## **Other Recommendations**

- 5.7 Within Adult Social Care there are some customers who reside within a residential or supported living setting and in addition access other services such as Day Care and transport services. Around 50% of customers who live in residential and or supported living access the in-house day services.

In some cases this provision results in a duplicate cost to the authority and results in the customer attending day care provision up to 5 days per week. The existing providers of the residential and supported living accommodation would therefore need to provide activities within the current offer.

To change the existing practice there will need to be a period of consultation with existing providers, customers and families to introduce a mandate to change this provision.

- 5.8 To deliver on the above recommendations for in-house services, the majority of the customer base affected by such changes would need a review. In order for this to happen, there will need to be commitment for a team of social workers who could undertake holistic Care Act assessments with customers and their families.

The extent of this work would also require a dedicated project team to drive the delivery of this forward. Agreement has been sought to advertise for a Band L post which will allow for the current Learning Disability Operational Manager to support the Head of Service with the developments. In addition to this there will need to be some additional capacity to support the full delivery of the consultation and any agreed implementation.

## **6 Consultation**

- 6.1 The Council has been engaging with customers, carers, staff, voluntary sector and local communities for more than 18 months. The conversations on the change agenda have continued and as part of this there were specific events such as "Together for Change" which engaged customers and carers from the learning disability day centres. This process was used to discuss people's aspirations and how the Council can shape services for the future together.

The consultation process for the LD and Autism Offer took place from 05 December 2016 to 02 February 2017 for a period of 60 days. Within this time a range of senior officers supported the process to meet as many people as possible. This was undertaken through the process of focus groups, drop-in sessions, one to ones and completion of questionnaires.

Speakup self-advocacy were involved within the consultation and have supported customers and carers where needed.

As a matter of public law, any proposal to close a facility or significantly change a service will require a reasonable period of engagement and consultation with those affected by such a proposal. The amount of time required for a consultation exercise should be decided on a case by case basis. The latest Government guidance on consultation principles confirms that the length of a consultation exercise should be judged on the basis of legal advice and taking into account the nature and impact of the proposal. In addition, the capacity of the groups to be consulted needs to be considered to achieve real engagement, rather than merely following a bureaucratic process. The guidance indicates that the period of

consultation will usually last for between 2 and 12 weeks. Based on a discussion with the Assistant Director of Legal Services it is recommended that the consultation outlined within this report lasts for the maximum period of 12 weeks. This is based on the need for a reasonable period of time to consult with customers and families who would be affected by such proposals. In addition, this will build in time for the complexities of the customer groups. Given those complexities, it is not anticipated that this could be completed in less than 12 weeks.

The purpose of the consultation is to gather the views and preferences of those consulted on the proposal and its implementation, and to understand whether there are any possible unintended consequences of the proposal. The product of the consultation will then help to inform final proposals.

Appendix A outlines the consultation timeline and the specific consultation for each recommendation.

## **7 Timetable and Accountability for Implementing this Decision**

- 7.1 It is proposed that a further period of consultation take place based on the recommendations. The consultation will be with a specific focus on the future of in-house services. Following approval of this report the consultation would commence in September 2017 (Appendix A). In addition to this there is an indicative timeline for the preferred option for Oaks Day Centre and the re-configuration of Parkhill Lodge.
- 7.2 Because of the need for a further period of consultation and the above timescales, there will be a delay in achieving the savings for Learning Disability and the savings for 2017/18 of £457,000 would not be realised. If the decision is taken to close Oaks Day Centre, this will result in all customers being re-assessed. Sourcing alternatives would need to be worked through on an individual basis. The timescales to assess and find suitable alternatives is difficult to gauge but could be deliverable to release the savings within 2018/19. The current work that is underway with the Community Catalysts contract will give an opportunity to see some creative alternatives developed for customers within these timescales.
- 7.3 The consultation process for Treefields and Quarryhill would run alongside this and would be delivered within the same timescales as above and therefore would impact on delivering the additional £245,000 savings in 2017/18.

## **8. Financial and Procurement Implications**

- 8.1 These proposals in respect of the re-provision of residential, day care and respite care are included in the Adult Services Development Programme. The proposals also form part of the Medium Term Financial Strategy which includes total savings of £4.2 million over 3 years based on the reconfiguration of learning disability services, moving away from traditional building based in-house provision to more personalised and independent services. In order to work towards meeting these approved budget savings approval is required to enable extensive consultation to commence as soon as possible.
- 8.2 As part of the Development Programme there has been implementation of a financial tracker which shows the savings for each particular area with the year it should be achieved. The full savings for learning disabilities can be seen in the table below:

<b>Work Stream</b>	<b>2016/17</b>	<b>2017/18</b>	<b>2018/19</b>	<b>Total</b>
	£	£	£	£
Modernisation of LD Offer	254,000	457,000	682,000	1,393,000
In-House Respite		245,000		245,000
High Cost Placements	540,000	880,000	160,000	1,580,000
Supported Living/CHC		1,000,000		1,000,000
<b>Total Savings</b>	<b>794,000</b>	<b>2,582,000</b>	<b>842,000</b>	<b>4,218,000</b>

It should be noted that the £245,000 saving for in-house respite (Quarryhill and Treefields) was approved as a budget saving for 2016/17 and therefore is currently resulting in a budget pressure. The consultation process was required to enable this to take place with due consideration and suitable alternatives identified. However the savings within this report may not deliver the full amount of budget savings after taking account of alternative service provision. This position will be kept under review as the service changes are progressed and the Directorate will identify mitigating savings to cover any shortfall.

In addition to the proposals being considered in the report there is a further £2.5 million identified for learning disabilities earmarked against savings on high cost placements within residential and nursing care and supported living. This is to be delivered through re-tendering of external contractors and via re-negotiation with existing providers and reviewing care packages including ensuring contributions from health.

### 8.3 Financial Implications against the current Assets

Engagement with Asset Management who undertake a corporate landlord responsibility have provided a list of the planned maintenance costs that are required on the properties outlined within this report over the next 5 years.

In particular there are significant costs against Oaks Day Centre for repairs and maintenance which are over £900, 000. This is an estimated figure based on industry standards (for example for a heating system) and actual repairs and refurbishment costs would be subject to tendering and procurement.

The net expenditure budgets for 2017/18 for the services under review (excluding property costs) are as follows:-

<b>Establishment</b>	<b>2017/18 Net Budget</b>
	£000
Oaks Day Centre	917
Addison Day Centre	1,006
Treefield Respite	294
Quarryhill Respite	278
Elliott Centre	666
<b>Total</b>	<b>3,161</b>

These figures include premises running costs and budget savings approved as part of the budget setting process for 2016/17 and 2017/18.

## 9. Legal Implications

9.1 Under the Care Act 2014, local authorities have statutory duties towards individuals who are ordinarily resident in their area to ensure they:

- receive services that prevent their care needs from becoming more serious, or delay the impact of their needs;
- can get the information and advice they need to make good decisions about care and support; and
- have a range of provision of high quality, appropriate services to choose from.

The purpose of the Care Act is to improve people's independence and wellbeing. The legislation sets out specific duties of local authorities to provide or arrange services that help prevent people developing needs for care and support or delay people deteriorating such that they would need ongoing care and support.

Local authorities are required to consider the following:

- what services, facilities and resources are already available in the area (for example local voluntary and community groups), and how these might help local people
- identifying people in the local area who might have care and support needs that are not being met
- identifying carers in the area who might have support needs that are not being met

In discharging this duty, local authorities are required to work with their communities and provide or arrange services that help to keep people well and independent. This should include identifying the local support and resources already available and helping people to access them.

9.2 The Council currently discharges its duties to adults with learning difficulties through a combination of in-house services and externally provided services. This report contains recommendations on the potential options for significantly remodelling how services are delivered to those individuals in the future. Given those potential changes and the fact that many individuals have been service users over a long period of time, it is likely that they would have a legitimate expectation to be consulted on any potential significant changes to the current services. In the circumstances, the Council should also consult service users to comply with its common law duty to act fairly. The proposed consultation exercise is set out in paragraph 6 above.

9.3 In addition to the legal requirements for robust consultation, the Council has to ensure it complies with its duties under the Equality Act 2010. Under Section 1 of that Act the Council must, when making decisions of a strategic nature about how to exercise its functions, have due regard to the desirability of exercising them in a way that is designed to reduce the inequalities of outcome which result from socio-economic disadvantage. In addition under Section 149 of the Equality Act, the Council must comply with the public sector equality duty which requires it to have due regard to the need to:

- Eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by or under the Act.
- Advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it.
- Foster good relations between persons who share a relevant protected characteristic and persons who do not share it.

In dealing with this duty, the Council must have due regard in particular, to the need to:

- Remove or minimise disadvantages suffered by persons who share a relevant characteristic that are connected to that characteristic.
- Take steps to meet the needs of people who share a relevant protected characteristic that are different to the needs of persons who do not share it.
- Encourage persons who share a relevant characteristic to participate in public life or any other activities where their participation is disproportionately low.

Protected characteristics include disability, age, race, sex, religion or belief, gender reassignment, marriage and civil partnership, pregnancy/maternity and sexual orientation.

- 9.4 It is proposed that full assessments of customer and carers will be undertaken to ensure all care and support packages are appropriate.

## **10. Human Resources Implications**

- 10.1 Each proposal will need more detailed work to assess the impact on staff and appropriate consultation with staff and trade unions will need to be undertaken. A corporate notification has been made to the government indicating potential job losses across the council from 1 June 2017 to 31 March 2018 and therefore this proposal will fall within this.

In terms of each establishment the following shows the number of workers who may potentially be affected by the proposals:

Oaks Day Centre– 37 workers  
Quarryhill – 19 workers  
Treefields – 17 workers  
Addison – 43 workers  
Elliott Centre – 18 workers  
Maple Avenue – 7 workers

Should the proposals go ahead the Council will ensure that its policies and procedures are used to support staff, wherever possible, to find suitable alternative employment. However, for the range of proposals indicated above, if all were to proceed, then there is likelihood for some compulsory redundancies, as it is unlikely that redeployment opportunities would be available to accommodate all of the staff. The potential costs of redundancy and pension need to be considered.

Due to the number of staff potentially affected there would be a need for a statutory 90 day consultation.



## **11. Implications for Children and Young People and Vulnerable Adults**

- 11.1 The development of a range of high quality sustainable opportunities for future customers who may transition from children's services will help these young people to maintain their skills and have choice and control over where they live and how they spend their time. Work is underway which will offer more choice that will meet a variety of needs which can be bought by the customer directly. Young people will choose to have a personal budget in the form of a direct payment and be able to decide how to spend this flexibly. Services will be local to where people live and customers will become fully integrated within their local communities. Through the transition board progress has been made to gain an understanding of whom the younger people are and identify any needs at an earlier stage and the impact on Adult Services. This will form a key work-stream to be taken forward.
- 11.2 As part of the consultation process the Council have engaged with young people and attended events such as the "parent's partnership group". There has also been communication with the Strategic Commissioner in CYPS to promote the completion of questionnaires. There has been development with the special educational needs schools in Rotherham and the Chief Executive to build better working relationships and solutions for younger people.

## **12 Equalities and Human Rights Implications**

- 12.1 The attached is the Learning Disability Equality Analysis (Appendix B) for the Adult Social Care Development Programme as a whole, however, following the decision and within the consultation period there will be a need to work on individual analyses that relate directly to each area. There will be work with customers to co-produce an equality analysis for each decision made.

It is recognised within the equality analysis that the recommendations regarding re-provision of services may result in a disproportionate representation of learning disability services being provided in the Maltby area. This would be rectified within the medium term whilst alternative provision is being grown throughout the whole borough.

## **13. Implications for Partners and Other Directorates**

- 13.1 Key partners and stakeholders will be engaged with as part of the consultation process and will continue to form part of our wider discussions through the Development Programme.
- 13.2 There is a need for a clear engagement and communication/media plan. There will need to be a working group that would drive this project and include dedicated officers from a variety of teams including the communications team.

## **14. Risks and Mitigation**

- 14.1 Risk of not agreeing to the recommendations will mean that the aspirations and outcomes for customers will not be achieved and the budget savings will not be met, and alternative options will need to be identified in order to achieve a balanced budget.
- 14.2 Due to the timescales outlined within the report (Appendix A) there is a risk that the savings identified for 2017/18 will be delayed and that this will leave a pressure within existing budgets.

- 14.3 Young people coming through transition will have limited choice if alternative service models are not developed in a timely way.
- 14.4 Despite the amount of on-going engagement with parents and carers, it is acknowledged that the decisions to be taken will not be favourable. Some customers could be affected by one or more of the recommendations.
- 14.5 There is a strong possibility of legal challenge and negative media attention. Therefore consultation and following due processes in a transparent manner and engaging with customers will be fundamental and underpin all activity. All individuals will have an individual reassessment of need in a strength based way as outlined in the Care Act 2014.
- 14.6 There is an increased risk of formal complaints.
- 14.7 Market development as part of Shaping the Future Strategy, and more specifically highlighted in the Market Position Statement will be required to deliver the alternative solutions with the proposed decommissioning as outlined within the report.

**15. Accountable Officer(s)**

Anne Marie Lubanski, Strategic Director of Adult Care and Housing

Janine Moorcroft, Head of Service, Adult Care Services (Provider)

**Approvals Obtained from:**

Strategic Director of Finance and Corporate Services:- Judith Badger

Director of Legal Services:- Dermot Pearson

Head of Procurement (if appropriate):-

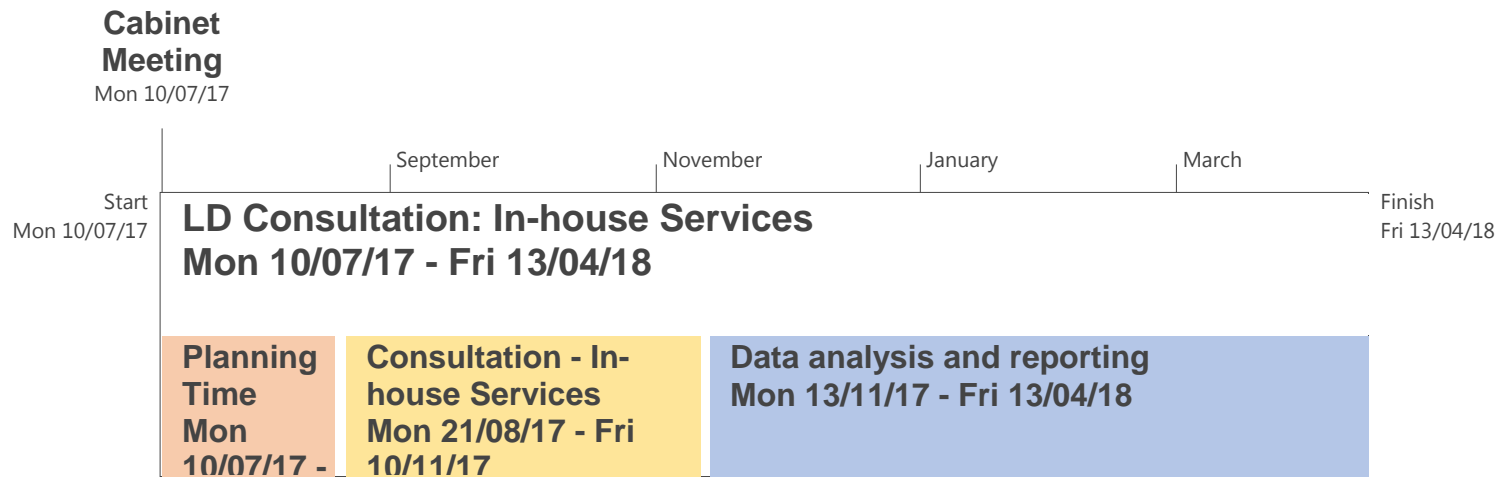
This report is published on the Council's website or can be found at:-

<http://modern.gov.rotherham.gov.uk/ieDocHome.aspx?Categories>

**LD Consultation Timeline**

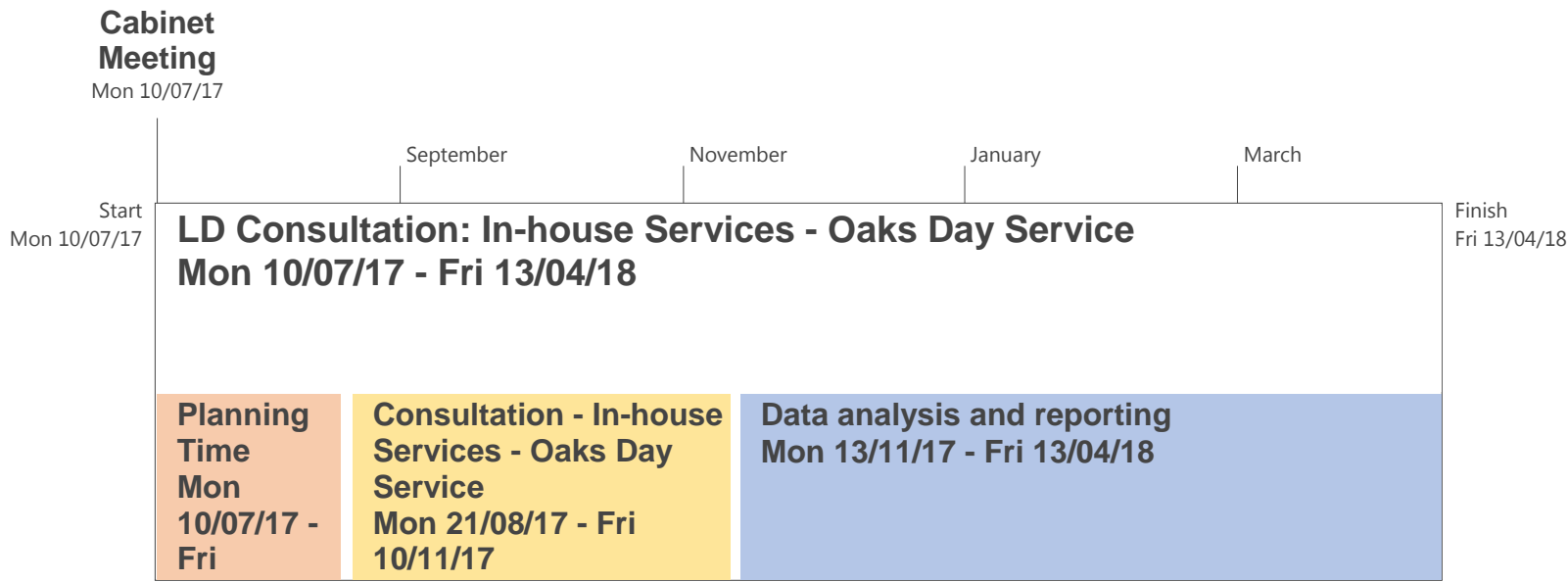


# LD Consultation Timeline



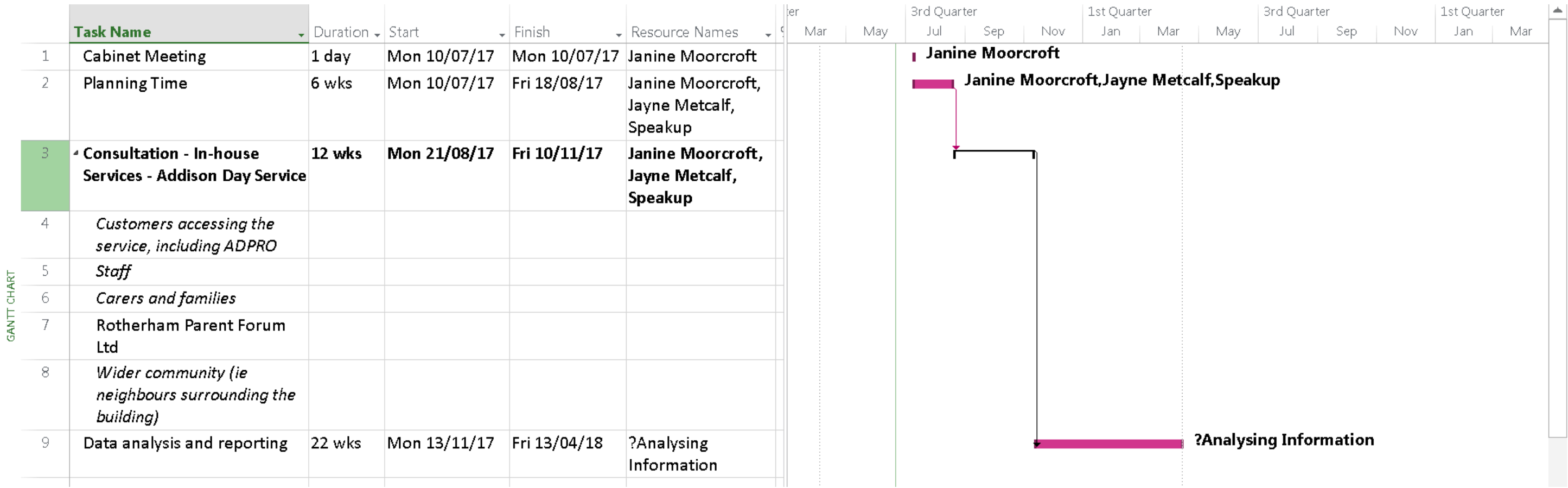
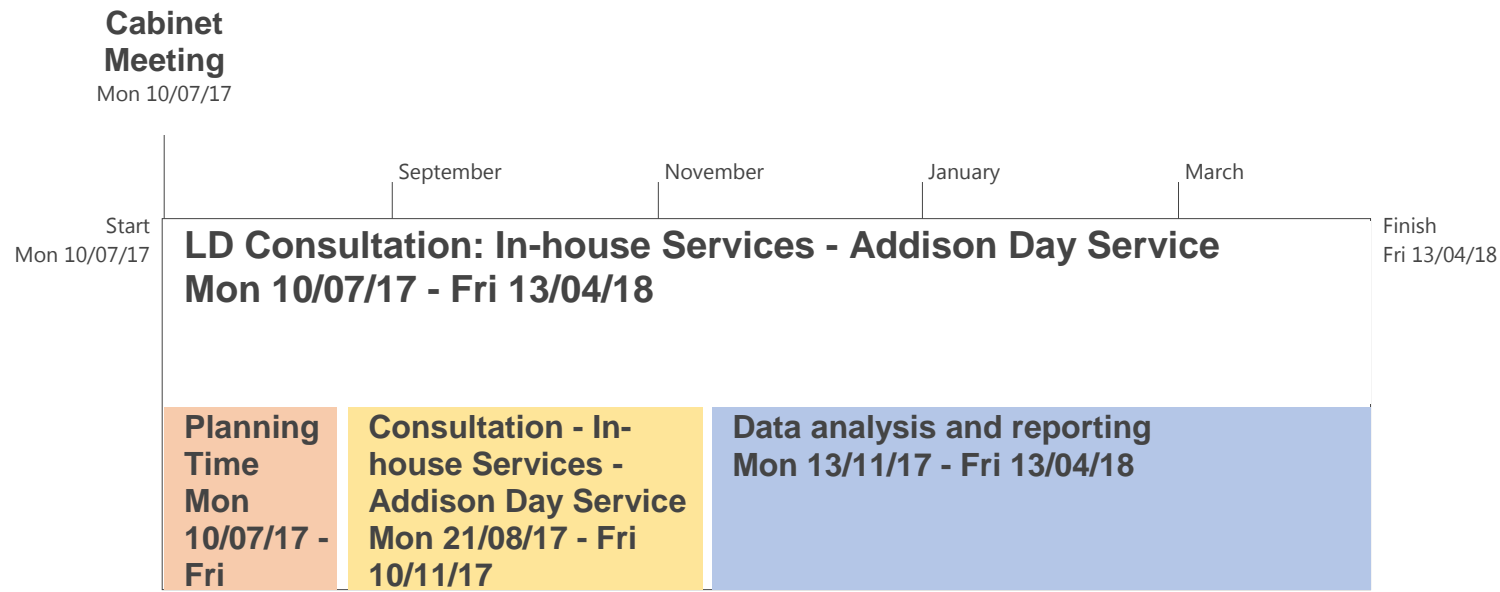
Task Name	Duration	Start	Finish	Resource Names	3rd Quarter			1st Quarter			3rd Quarter			1st Quarter			3rd Quar		
					Jul	Sep	Nov	Jan	Mar	May	Jul	Sep	Nov	Jan	Mar	May	Jul		
1 Cabinet Meeting	1 day	Mon 10/07/17	Mon 10/07/17	Janine Moorcroft	<div style="border: 1px solid black; padding: 5px;"> <p><b>Janine Moorcroft</b></p> <p>Janine Moorcroft, Jayne Metcalf, Speakup</p> <p>Janine Moorcroft, Jayne Metcalf, Speakup</p> <p>?Analysing Information</p> </div>														
2 Planning Time	6 wks	Mon 10/07/17	Fri 18/08/17	Janine Moorcroft, Jayne Metcalf, Speakup															
3 Consultation - In-house Services	12 wks	Mon 21/08/17	Fri 10/11/17	Janine Moorcroft, Jayne Metcalf, Speakup															
4 Customers accessing the service																			
5 Staff																			
6 Carers and families																			
7 Wider community (ie neighbours surrounding the building)																			
8 Data analysis and reporting	22 wks	Mon 13/11/17	Fri 13/04/18	?Analysing Information															

# LD Consultation Timeline

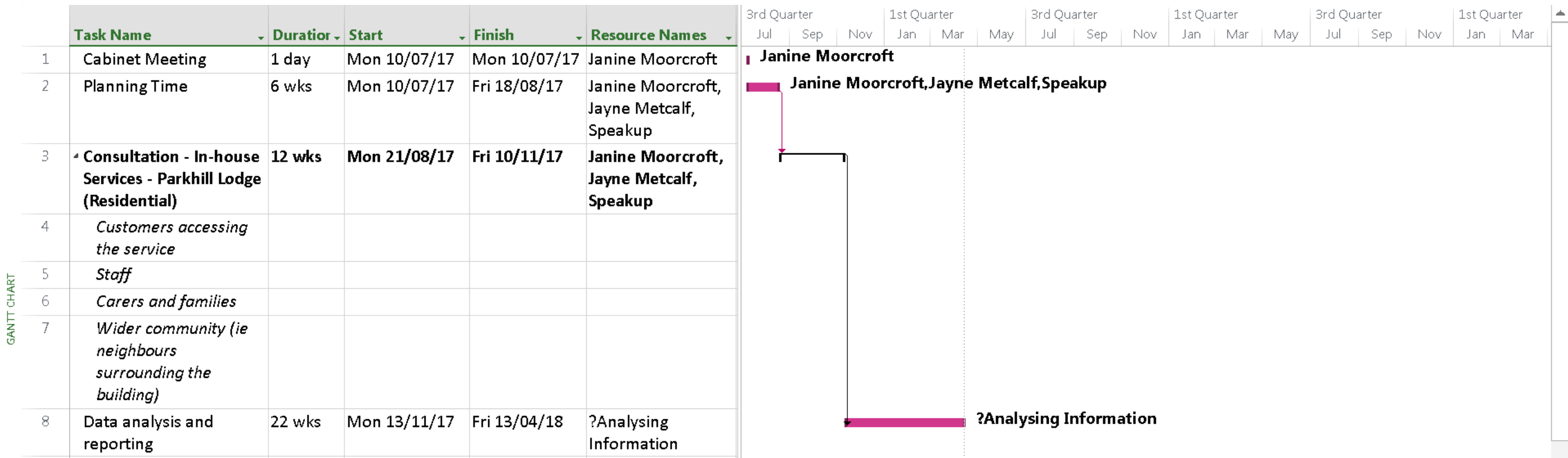
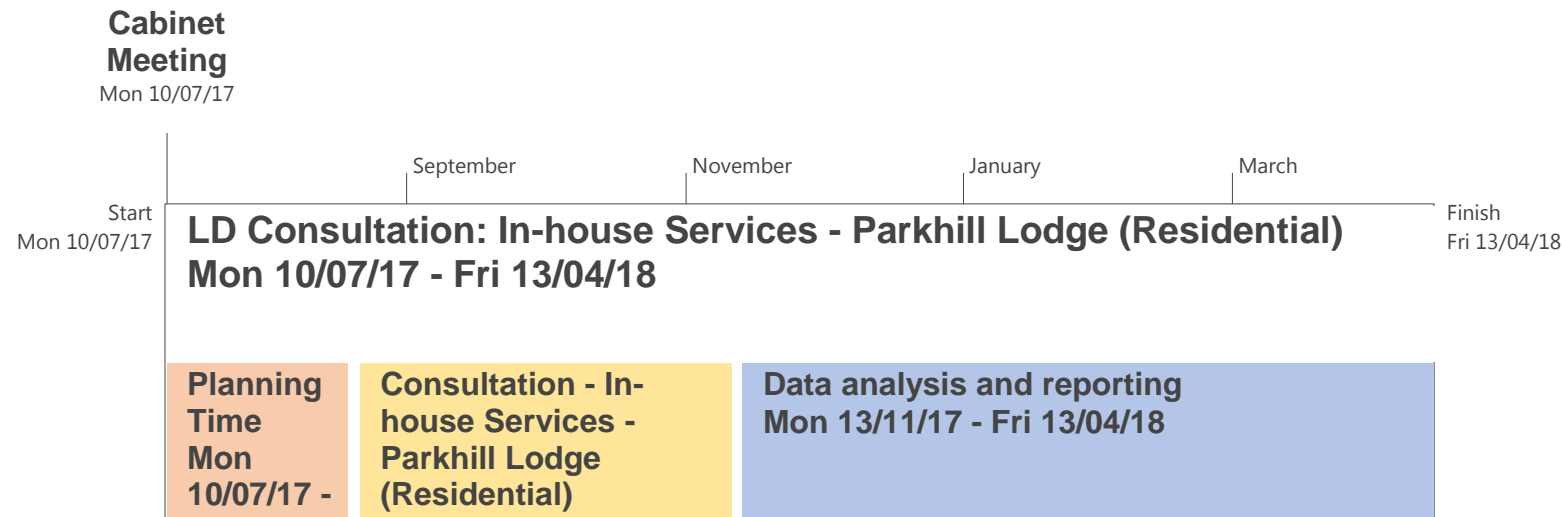


Task ID	Task Mode	Task Name	Duration	Start	Finish	Resource Names	3rd Quarter			1st Quarter			3rd Quarter			1st Quarter					
							Jul	Sep	Nov	Jan	Mar	May	Jul	Sep	Nov	Jan	Mar	Ma			
1		Cabinet Meeting	1 day	Mon 10/07/17	Mon 10/07/17	Janine Moorcroft	Janine Moorcroft														
2		Planning Time	6 wks	Mon 10/07/17	Fri 18/08/17	Janine Moorcroft, Jayne Metcalf, Speakup	Janine Moorcroft, Jayne Metcalf, Speakup														
3		Consultation - In-house Services - Oaks Day Service	12 wks	Mon 21/08/17	Fri 10/11/17	Janine Moorcroft, Jayne Metcalf, Speakup	Janine Moorcroft, Jayne Metcalf, Speakup														
4		Customers accessing the service																			
5		Staff																			
6		Carers and families																			
7		Wider community (ie neighbours surrounding the building)																			
8		Data analysis and reporting	22 wks	Mon 13/11/17	Fri 13/04/18	?Analysing Information	?Analysing Information														

# LD Consultation Timeline



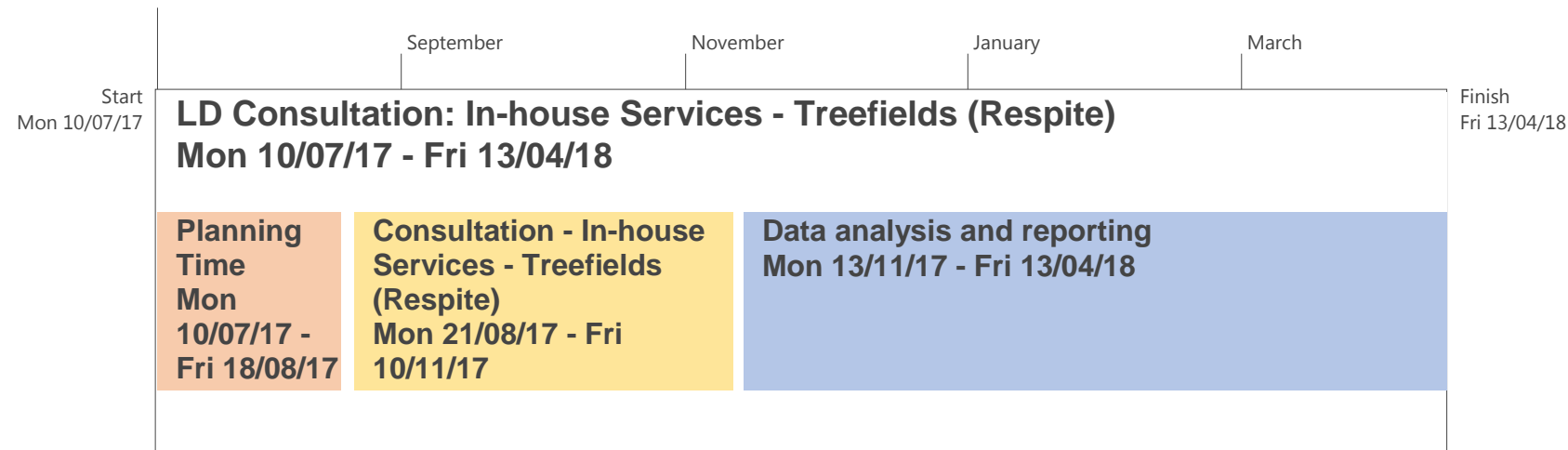
# LD Consultation Timeline



# LD Consultation Timeline

## Cabinet Meeting

Mon 10/07/17



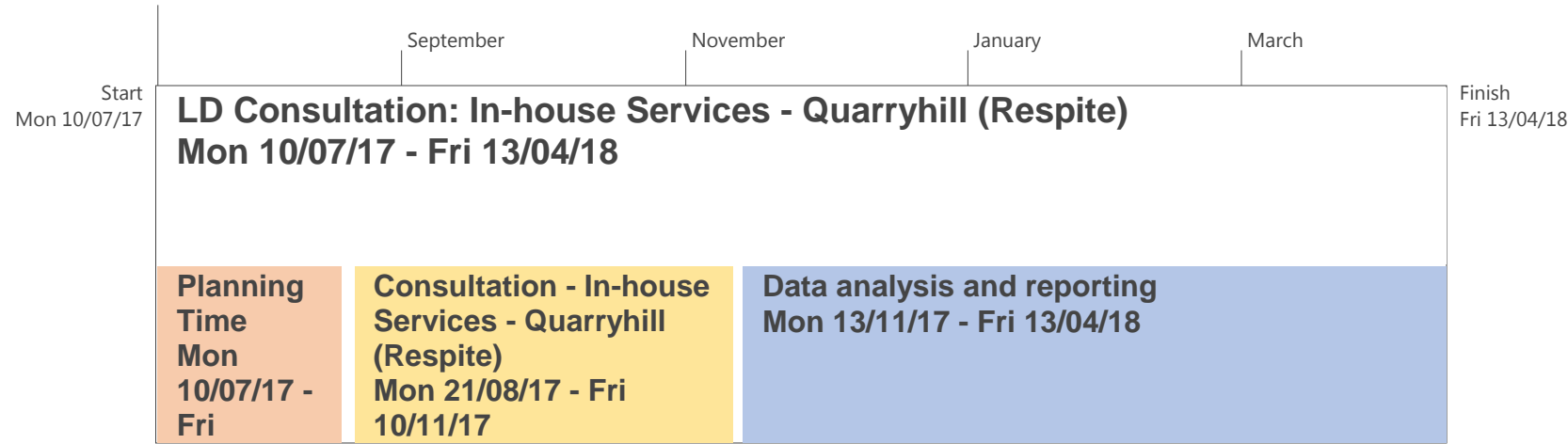
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					Jul	Sep	Nov	Jan	Mar	May	Jul	Sep	Nov	Jan	Mar	May	Jul	Sep	Nov	Jan	Mar	
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2 Planning Time	6 wks	Mon 10/07/17	Fri 18/08/17	Janine Moorcroft, Jayne Hewitt-Hardy, Speakup	Janine Moorcroft, Jayne Hewitt-Hardy, Speakup																	
3 Consultation - In-house Services - Treefields (Respite)	12 wks	Mon 21/08/17	Fri 10/11/17	Janine Moorcroft, Jayne Hewitt-Hardy	Janine Moorcroft, Jayne Hewitt-Hardy																	
4 Customers accessing the service																						
5 Staff																						
6 Carers and families																						
7 Wider community (ie neighbours surrounding the building)																						
8 Data analysis and reporting	22 wks	Mon 13/11/17	Fri 13/04/18	?Analysing Information	?Analysing Information																	



# LD Consultation Timeline

## Cabinet Meeting

Mon 10/07/17



Task Name	Duration	Start	Finish	Resource Names	Qtr 2, 2017												Qtr 3, 2017			Qtr 4, 2017			Qtr 1, 2018			Qtr 2, 2018			Qtr 3, 2018			Qtr 4, 2018			Qtr 1, 2019	
					Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb								
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<b>3 Consultation - In-house Services - Quarryhill (Respite)</b>	12 wks	Mon 21/08/17	Fri 10/11/17	Janine Moorcroft, Jayne Metcalf, Speakup	<b>Janine Moorcroft, Jayne Metcalf, Speakup</b>																															
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**RMBC - Equality Analysis Form for Commissioning, Decommissioning, Decision-making, Projects, Policies, Services, Strategies or Functions (CDDPPSSF)**

**Under the Equality Act 2010 Protected characteristics** are age, disability, gender, gender identity, race, religion or belief, sexuality, civil partnerships and marriage, pregnancy and maternity.

<b>Name of policy, service or function. If a policy, list any associated policies</b>	Consultation on the Modernisation of the Learning Disability offer and the Future of In-House Services for Adults with a Learning Disability and/or Autism
<b>Name of Service and Directorate</b>	Adult Social Care and Housing
<b>Lead Manager</b>	Nathan Atkinson– Assistant Director Strategic Commissioning
<b>Date of Equality Analysis (EA)</b>	30 May 2017
<b>Names of those involved in the EA (Should include at least two other people)</b>	<p>Nathan Atkinson – Assistant Director, Strategic Commissioning</p> <p>Janine Moorcroft – Head of Service, Provider and Change</p> <p>Jayne Metcalfe – LD Operations Manager</p> <p>Zaidah Ahmed – Equality Officer</p> <p>Anne Marie Lubanski – Strategic Director of Adult Care and Housing</p> <p>Scott Clayton – Interim Performance Manager</p> <p>Sam Newton – Assistant Director, Adult Care</p> <p>Odette Stringwell – Human Resources Partner</p> <p>Zafar Salem – Community Engagement Manager</p> <p>Gemma Parkinson - Adult Care and Housing Communications Account Manager</p> <p>Mark Scarrott – Finance Manager</p>

**Aim/Scope**

The aim of this Equality Analysis is to ensure that current and future customers, stakeholders and residents of Rotherham have been considered when developing the future of Learning Disability Services. The purpose is to ensure that everyone's protected characteristics are considered.

The report sets out the direction of travel for people with a Learning Disability. It is intended to bring service provision in line with best practice and enable people to, not only be part of their local communities, but to give them more choice and control on where they live and how they spend their time. It is intended through the modernisation that customers have greater expectations for themselves. In response communities are able to contribute towards solutions including developing micro enterprises to meet identified need for people with Learning Disabilities. It should be noted that there is currently a cohort of customers receiving traditional services, but that if any of the recommendations in the report are agreed it may affect young people who may come into Adult Services, customers that the Council does not know of yet (including some people from hard to reach communities), carers and families, external providers, partners and staff.

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In Rotherham, we have a higher rate of people with a learning disability per 100,000 population at 371.77 compared to a regional rate of 346.06 and our neighbouring Authorities of Barnsley with 313.76 and Doncaster at 348.53. Rotherham also has significant cohorts, for example, 204 people (aged 18 – 30 years) and 164 people aged 51-64 years.

The potential changes to the future delivery of services could also impact on the whole community.

- 238 users of day care and respite services may be impacted if current building based services close.
- 157 people who are in 24 hour residential care placements may, in some instances, see a reduction in support and in some cases, a possible move to a supported living environment following re-assessment.
- People with a Learning Disability from hard to reach communities are under-represented in existing services. 26 (3.5%) out of a cohort of 728 people with a Learning Disability are from a hard to reach community, despite hard to reach communities making up 6.9% of the Rotherham population. New service models must consider their needs and ensure inclusivity.
- Young people coming through transition will be able to access a range of opportunities to meet their needs that are within their local communities and give them choice and control over where to live and how to spend their time. 44 young people aged 16-18 are currently in the transition cohort. Please see link to JSNA for children and young people [http://www.rotherham.gov.uk/jsna/info/23/people/55/children\\_and\\_young\\_people/](http://www.rotherham.gov.uk/jsna/info/23/people/55/children_and_young_people/)
- The type and frequency of transport provision could have a considerable impact on customers who use the existing social care provision.

There is still some work to be undertaken to understand the demographics around carers. However, initial analysis on carers' data currently held indicates that there are 451 carers of people with a Learning Disability. The average age of the carers is 64 and the potential changes to services will directly impact on them. This needs to be considered in terms of expectations on carers and the support required through the modernisation process.

There are a significant number of people with a Learning Disability without carers or family support – circa 150 people. They will require independent advocacy in some instances in order to make informed decisions.

Significant work is being undertaken to develop new services. The Council will need to ensure that there is accessible information readily available containing a range of different services that customers can choose from to meet their eligible needs. Every customer will have a Care Act 2014 Compliant Assessment and where appropriate a Mental Capacity Assessment. They will then work with a Social Worker to develop their care and support plan. Under the Care Act the Council has a responsibility to ensure anyone with an assessed need has their need met. However, this may not be in a traditional service. All customers will be offered the choice of a personal budget to buy their care directly.

The Council is working with a range of organisations to look at developing many different types of support to meet a variety of needs. Where a customer has been reliant on social care transport and is not eligible for this service moving forward, the Council will work with the customer to

**RMBC - Equality Analysis Form for Commissioning, Decommissioning, Decision-making, Projects, Policies, Services, Strategies or Functions (CDDPPSSF)**

increase their skills in travelling independently.

All customers, where appropriate, will have a transition plan to support them to move from one service to another.

In November 2016, Cabinet agreed that the Council should begin a consultation with customers, stakeholders, carers and general public about what they thought could meet the need for those people who may need services in the future. The progress to shape the offer has continued though the consultation process on the wider Learning Disability and Autism Offer for Rotherham and there have been many opportunities for customers, carers and staff to engage in these conversations.

The Consultation Process for the Learning Disability and Autism Offer took place from 5 December 2016 to 2 February 2017 for a period of 60 days. Within this time a range of senior officers supported the process to meet as many people as possible. This was undertaken through the process of Focus Groups, Drop-In Sessions, One to Ones and completion of questionnaires.

Speak Up self-advocacy were involved with the consultation and have supported customers and carers where needed.

Summary from consultation – a total of 487 questionnaires were completed either online or via requesting a hard copy. The breakdown of the 487 was as follows:

227 customers

92 carers

141 Staff

27 general public

70% of the customers who completed the questionnaire had a Learning Disability and 5% had autism. The majority were young with 70% being under the age of 45.

In Rotherham the current offer of assistive technology and how we prevent customers from coming through our front door is a challenge. It is recommended that Adult Care builds on the improvement of the information and advice offer which demonstrate a model that “prevents, reduces and delays”

In order to give people more choice and control we need to maximise opportunities for people within their own communities. It is recommended that to allow for customers to gain skills and independence in self-travel and furthermore to give people the opportunity to access places that they do not currently that we look at support through additional travel training.

Through the consultation discussions took place around future housing and accommodation requirements and wishes. It is therefore recommended that a wider piece of work will need to be undertaken with Housing and Commissioning to establish the demand and gaps in any specialist provision that would give customers and families the faith that we can support individuals to live independently or independently with support.

**RMBC - Equality Analysis Form for Commissioning, Decommissioning, Decision-making, Projects, Policies, Services, Strategies or Functions (CDDPPSSF)**

The consultation gave a real insight into the aspirations and expectations of customer's opportunities to gain paid employment or access voluntary work. It is clear that we need to raise customers' aspirations for employment and voluntary work. It is recommended that a focussed piece of work is undertaken with the relevant partners to enhance our pathway to employment for customers with Learning Disabilities and explore the existing model in-house (Ad-pro) to build on any existing opportunities and areas for development.

It is clear from engagement with some of the customers within the in-house Learning Disability Residential Home that they would be suitable to be supported within an independent living environment. To enable a better offer for respite, it is recommended that Parkhill Lodge is utilised in a different way, for Respite purposes. By undertaking this change, it would allow the decommissioning of one or both in-house Respite Unit (Treefields or Quarryhill) both of which offer 6 bedrooms. It is therefore recommended that a specific consultation takes place on these options with customers, carers and stakeholders for a period of 12 weeks. During this consultation it will also look at the option for use of other potential buildings for respite use.

Through the consultation we will talk to individuals and their families about the impact and to hear views and concerns about the proposals.

It is recommended that a further period of consultation be held on the options for Oaks Day Centre which will also consider closure. The consultation should run for 12 weeks to enable all users and families to be engaged within the process. The consultation would need to consider the impact on specific customers' groups, the need to source suitable alternative provision and engagement with wider groups and organisations to explore alternatives for individuals.

It is recommended that a further period of consultation be held on the options for Addison which will include the exploration of a different offer for Addison which would be undertaken within a 3 month period. Other options would look consider the closure of the facility. The consultation would need to consider the impact on specific customers' groups, the need to source suitable alternative provision and engagement with wider groups and organisations to explore alternatives for individuals

It is recommended that REACH Day Service is retained with a view to considering the use of Maple Avenue which will be reviewed and options explored regarding potential colocation to the Badsley Moor Lane Site.

**What equality information is available? Include any engagement undertaken and identify any information gaps you are aware of. What monitoring arrangements have you made to monitor the impact of the policy or service on communities/groups according to their protected characteristics?**

Attached:

- Learning Disability Cohort information as of April 2017
- Timeline of engagement events carried out to support the consultation

**RMBC - Equality Analysis Form for Commissioning, Decommissioning, Decision-making, Projects, Policies, Services, Strategies or Functions (CDDPPSSF)**

- Together for Change report
- 26 May 2016 Cabinet and Commissioner's Decision Making Meeting Report – Implementing a Strategic Approach to a Commissioning and Delivery of Learning Disability Services.
- 10 October 2016 Cabinet and Commissioner's Decision Making Meeting - Shaping the Future Report
- 10 October 2016 Cabinet and Commissioner's Decision Making Meeting - Development of a Rotherham All Age Autism Strategy
- Learning Disability Market Position Statement

The formal 60 day consultation which commenced 5 December 2016 until 2 February 2017 comprised of a series of engagement events across the Borough and online questionnaires.

There were in excess of 600 people who engaged in the completion of questionnaires or attended events. This consisted of customers, carers, staff, members of the public and stakeholders and young people who may access services in the future.

The data analysis for the online questionnaires has been completed by an external body with the data from the engagement events being compiled by the Quality and Performance team. This is available as a separate report.

Following the 60 day consultation, it is clear there were some key themes coming out that have informed the recommendations going forward. Within the consultation through engagement within Focus Groups, Drop-in sessions and one to ones the following themes were discussed:

- Choice and control
- Living in your own community
- Having your own front door
- What the services for Learning Disabilities and Autism should look like in 5 years?
- Anything else you would like to tell us?

<b>Engagement undertaken with customers. (date and group(s) consulted and key findings)</b>	Engagement evidence to be completed provided during the consultation period is attached
<b>Engagement undertaken with staff about the implications on service users (date and group(s) consulted and key findings)</b>	<p>There have been a number of events held with Council staff over the last 18 months to involve them in the plans to change the way services are delivered. The formal 60 day consultation which commenced 5 December 2016 until 2 February 2017 comprised of a series of engagement events across the Borough and online questionnaires.</p> <p>141 staff actively participated in the recent consultation exercise.</p> <p>The outcome of the consultation will determine the</p>

**RMBC - Equality Analysis Form for Commissioning, Decommissioning, Decision-making, Projects, Policies, Services, Strategies or Functions (CDDPPSSF)**

	recommendations for the 26 June 2017 Cabinet and Commissioner's Decision Making Meeting report. The content of the report will determine the need to enter into formal consultation with relevant Council staff.
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**The Analysis**

**How do you think the Policy/Service meets the needs of different communities and groups?** Protected characteristics of age, disability, gender, gender identity, race, religion or belief, sexuality, Civil Partnerships and Marriage, Pregnancy and Maternity. Rotherham also includes Carers as a specific group. Other areas to note are Financial Inclusion, Fuel Poverty, and other social economic factors.

Traditional services have been delivered from buildings across the borough for many years. Some customers will have been accessing the same services for all of their adult life. Potential closures or reconfiguration of services may bring fear and anxiety and a perception that something is being taken away from people. There is little evidence to show that the current services maintain and develop people's skills. In some cases the traditional models may lead towards a degree of dependency and reliance on services.

- Over the past 18 months there have been a range of briefings, engagement events, newsletters, visits to other authorities to look at best practice and meetings to discuss the need to change the way services are provided (Together for Change events)
- National evidence from a range of sources shows that moving towards locally based service provision will increase choice and control to customers.
- A number of external partners are working with the Council to support the journey towards less formal, restrictive services.
- Speakup will provide self and peer advocacy for people who need it.
- Absolute Advocacy will support individuals through the re-assessment process.
- Community Catalysts are working with the Council to develop micro enterprises in the community and will support the access to existing assets within the local area and across the borough.
- Shared Lives will be also supported by Community Catalysts to develop recruitment strategies to encourage more people to become carers and therefore expand the service.
- The Council has employed Community Link Workers to develop alternatives to traditional care across the borough. The role involves working with communities and the voluntary sector to co-produce and co-design new services or provide opportunities for customers to access existing services previously unknown to the Council.
- The approach to assessments has radically changed since the implementation of the Care Act 2014. The Council is committed to strength based assessments and is undergoing a workforce development programme. The emphasis of which is to support customers to maintain their wellbeing and identify their eligible need and find alternative ways to meet these.
- There has been considerable work undertaken to understand the cohort of 728 people with a Learning Disability who are in receipt of a service funded by the Council. This includes age, gender, ethnicity and carer data and is refreshed daily from Liquid Logic case

**RMBC - Equality Analysis Form for Commissioning, Decommissioning, Decision-making, Projects, Policies, Services, Strategies or Functions (CDDPPSSF)**

management content.

- Co-production moving forward with customers and their carers will ensure that a more diverse solution that better meets the current and future needs of carers can be sought
- More locally and community based solutions will assist in integrating all communities.

**Analysis of the actual or likely effect of the Policy or Service:**

**Does your Policy/Service present any problems or barriers to communities or Group?**

**Does the Service/Policy provide any improvements/remove barriers?**

People with Learning Disability and /or Autism currently using existing services may not fully understand the changes that are being suggested due to barriers with communication. The Council will need to make every effort to ensure that the recommended further service specific consultations are as accessible as possible. This may include producing information in a range of formats and Speak Up (or another independent specialist voluntary sector organisation) will assist with engagement.

People with Learning Disabilities and/ or Autism may have differing views to their family members and the Council will need to ensure that all stakeholders can have their say in their own right.

There is a wider issue that pending the further consultation there is a risk of the majority of the Learning Disability Provision being based within the Maltby Community. Whilst this would not be an ideal position it should be noted that this would be a short to medium term solution whilst the LD offer is being expanded across the whole borough.

Through the consultation other options will be considered to review any negative impact the re-provision of services within Maltby would have weighed against the advantages. The longer term future use of Parkhill Lodge will also be reviewed with an action plan to look at medium term options for customers and the potential to move customers to more appropriate accommodation.

**What affect will the Policy/Service have on community relations?**

- It is likely that the media coverage will be negative. The Communications Team will provide timely press releases.
- A Communication and Engagement Plan has been developed
- As part of the recommended future service specific consultations, local residents will be proactively invited to contribute to the consultation process



**Equality Analysis Action Plan**

**Time Period:** April 2017 – October 2017

Manager: Nathan Atkinson

Service Area: Adult Care and Housing

Tel: 01709 822270

**Consultation on the Modernisation of the Learning Disability Offer and the Future of In-House Services for Adults with a Learning Disability and/or Autism**

Action/Target	State Protected Characteristics (A,D,RE,RoB,G,GI O, SO, PM,CPM, C or All)*	Target date (MM/YY)
April 2015 – Start of Adult Social Care Development Programme (Alternatives to Traditional Care and The Customer Journey – Key workstreams)	A, C, D, G, GI, RE, RoB, SO, CPM, PM.	April 2015
Appointment to Community Link Worker Roles	A, C, D, G, GI, RE, RoB, SO, CPM, PM.	July 2015
Together for Change Events – Learning Disability In house services	A, C, D, G, GI, RE, RoB, SO, CPM, PM.	January 2016
Report to Cabinet in May agreement - Strategic Approach to commissioning and delivery of Learning Disability Services	A, C, D, G, GI, RE, RoB, SO, CPM, PM.	May 2016
Community Opportunities Pathway Programme Launch	A, C, D, G, GI, RE, RoB, SO, CPM, PM.	September 16 – January 17
Agreed 3 year programme with Community Catalysts	A, C, D, G, GI, RE, RoB, SO, CPM, PM.	November 2016
Report to Cabinet – Consultation on the modernisation of the Learning Disability and Autism Offer	A, C, D, G, GI, RE, RoB, SO, CPM, PM.	November 2016
Start of formal 60 day Consultation on the Learning Disability and Autism Offer	A, C, D, G, GI, RE, RoB, SO, CPM, PM.	5 December 2016 – 2 February 2017

**RMBC - Equality Analysis Form for Commissioning, Decommissioning, Decision-making, Projects, Policies, Services, Strategies or Functions (CDDPPSSF)**

Data from consultation analysed	A, C, D, G, GI, RE, RoB, SO, CPM, PM.	February 2017 – April 2017
Report for further recommendations following consultation in preparation for Cabinet Meeting (26 June 2017)	A, C, D, G, GI, RE, RoB, SO, CPM, PM.	June 2017

<b>Name of Director who approved Plan</b>	Anne Marie Lubanski	<b>Date:</b> 10 April 2017	
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\*A = Age, C= Carers D= Disability, G = Gender, GI Gender Identity, O= other groups, RE= Race/ Ethnicity, RoB= Religion or Belief, SO= Sexual Orientation, PM= Pregnancy/Maternity, CPM = Civil Partnership or Marriage.

**Website Summary – Please complete for publishing on our website and append to any reports to Elected Members, SLT or Directorate Management Teams**

Completed equality analysis	Key findings	Future actions
Directorate:  Function, policy or proposal name:  Function or policy status (new, changing, existing):		

**RMBC - Equality Analysis Form for Commissioning, Decommissioning, Decision-making, Projects, Policies, Services, Strategies or Functions (CDDPPSSF)**

<b>Completed equality analysis</b>	<b>Key findings</b>	<b>Future actions</b>
Name of lead officer completing the assessment:  Date of assessment:		

# Learning Disability and Autism Consultation 2016/17

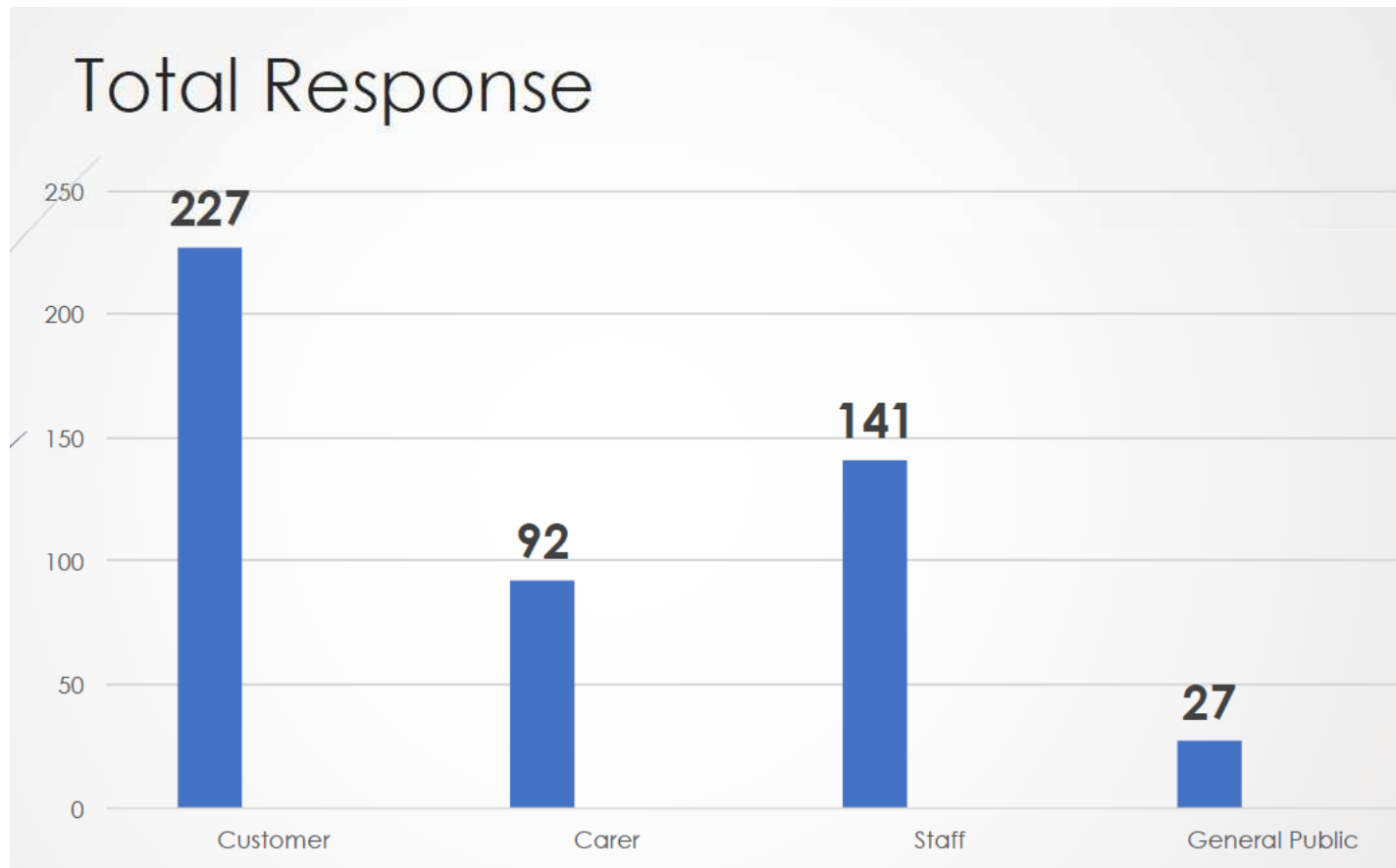
**Using information produced by Dr P Giri & Dr J Aylott  
following analysis of the consultation questionnaires**

# Introduction

- Public consultation in 2016/17 to review services for people with learning disabilities and autism services in Rotherham
- Questionnaires coproduced with Speakup for:
  - Customers
  - Carers
  - Staff
  - Public
- Independent analysis undertaken by Dr P Giri and Dr J Aylott
- 23 engagement opportunities during the consultation

# Responses Received

- Total of 487 questionnaires completed either online or by requesting hard copy



# Questionnaires were completed by:

- Customers

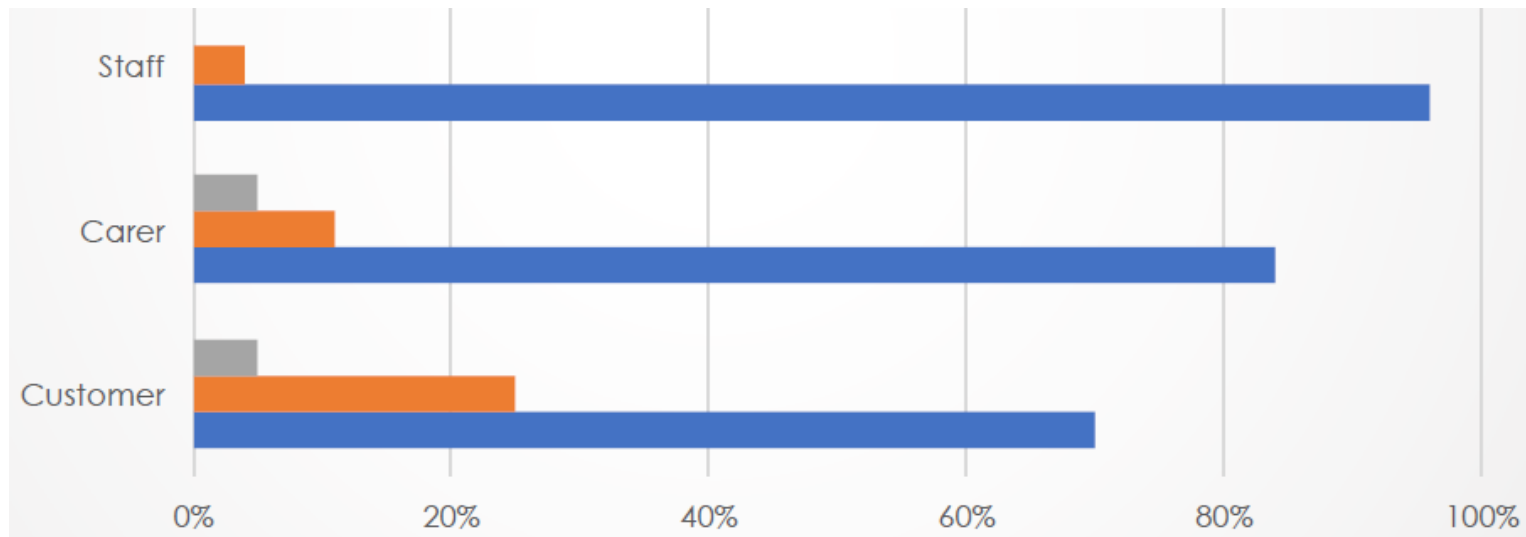
- 70% had a learning disability
- 5% had autism
- 25% had both a learning disability and autism

- Carers

- 84% were family carers
- 11% were other carers
- 5% were Shared Lives carers

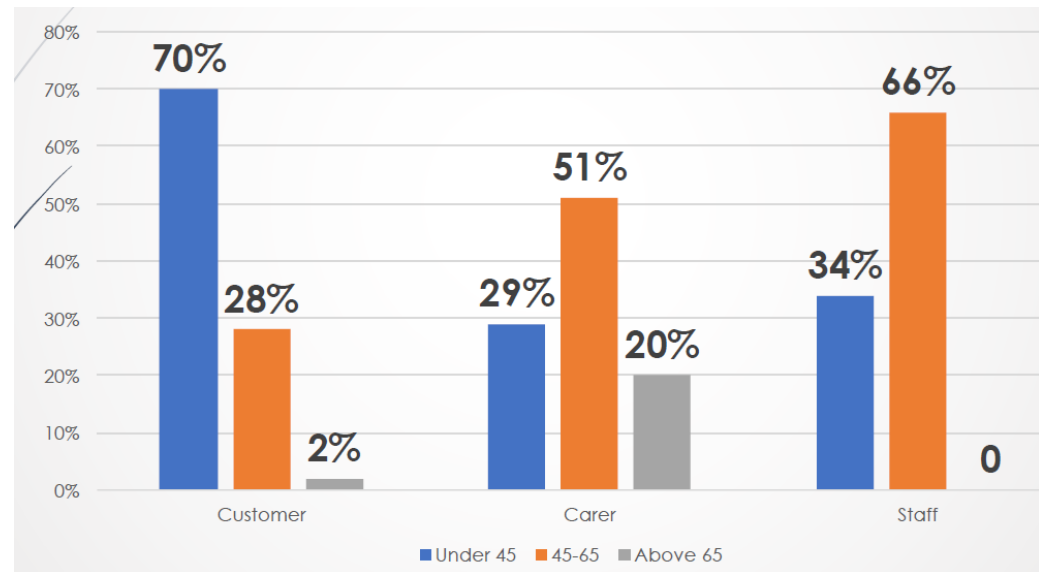
- Staff

- 96% were Rotherham Borough Council staff
- 4% were RDaSH staff



# Age Profile of Responses Received

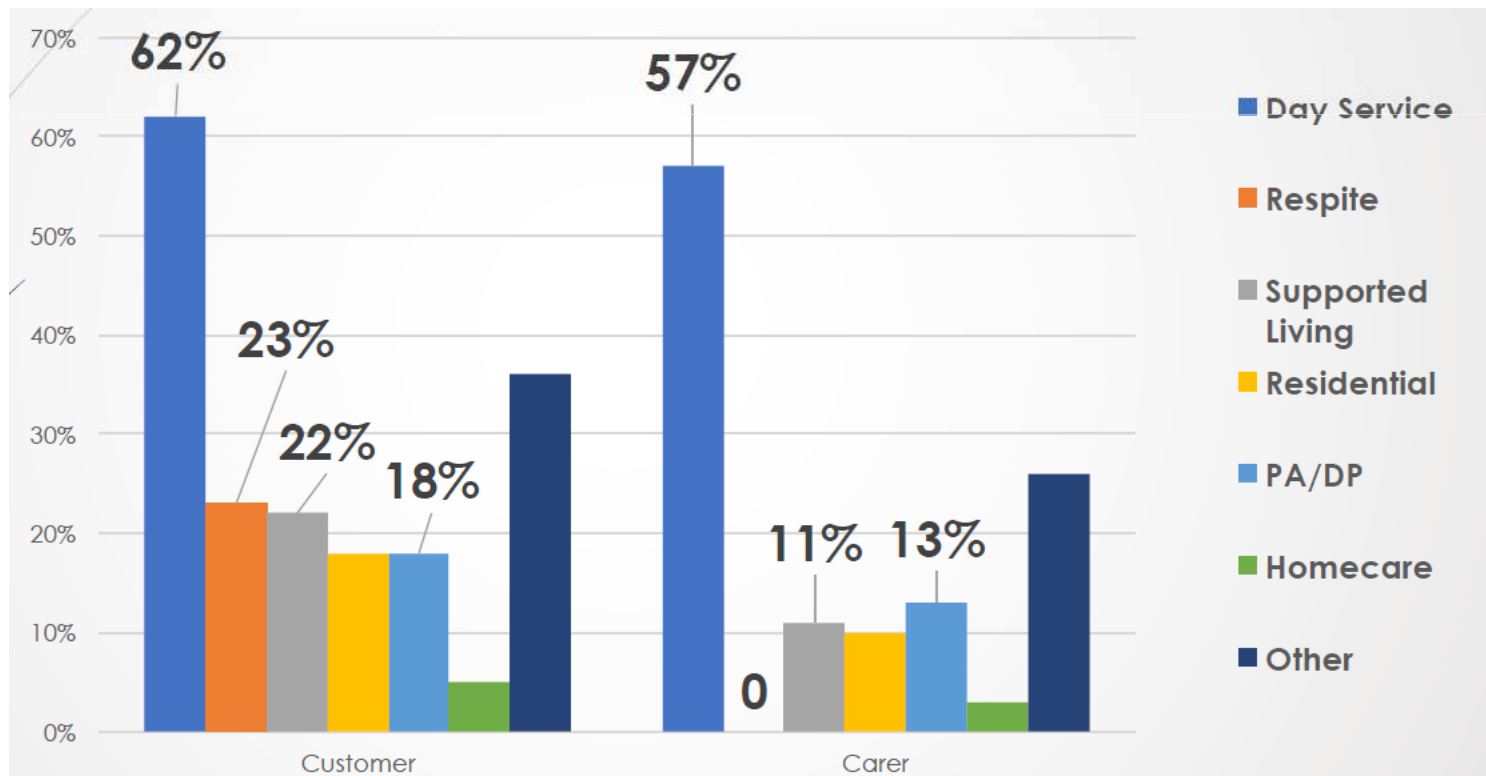
- Majority of customers were young with 70% being under 45, 28% aged 45-65 and 2% over 65
- Most (51%) of the carers were aged between 45-65, with 29% under 45 and 20% above 60
- Majority of staff (66%) were aged over 45, with 34% aged under 45
- Shows there is a very young learning disabled population against an ageing carer population and workforce





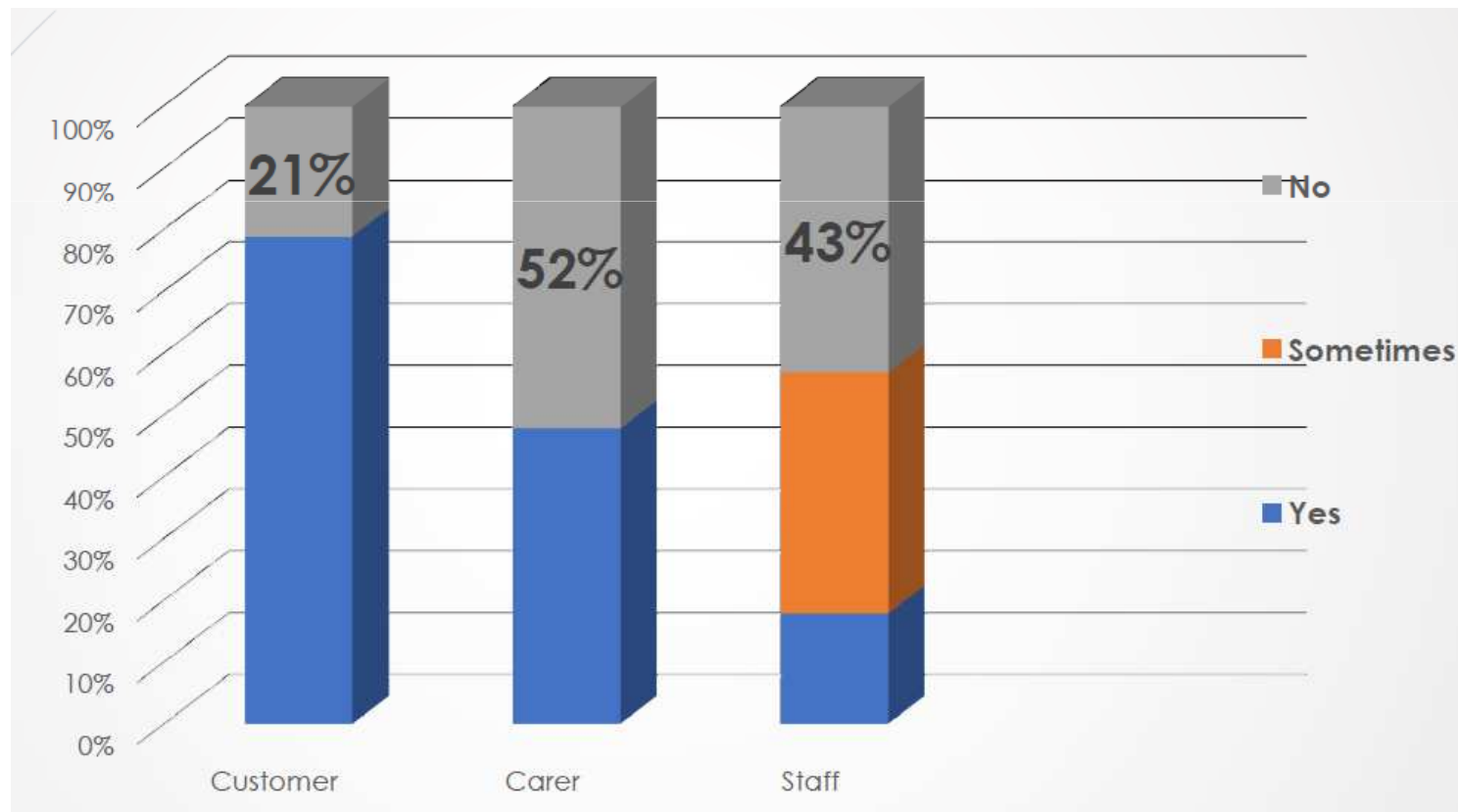
# Services Used

- Majority of customers use day care provision, with 23% accessing respite services, 22% in supported living and 18% residential
- Other services included ADPRO, School / College, Speakup



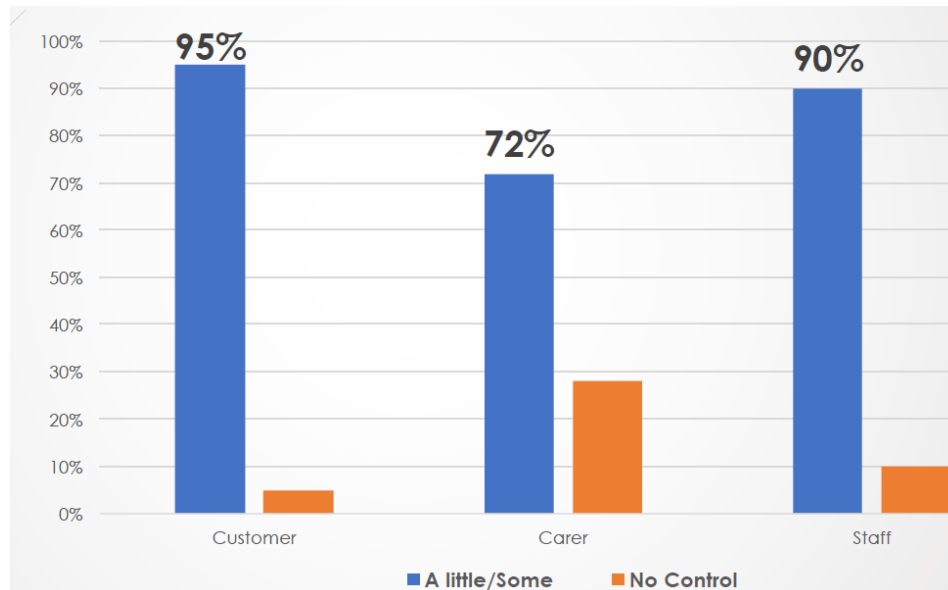
# Supported to take risk

- Customers believe they are being supported to take risk at 80% of times, compared to the response of carers and staff (around 50%)



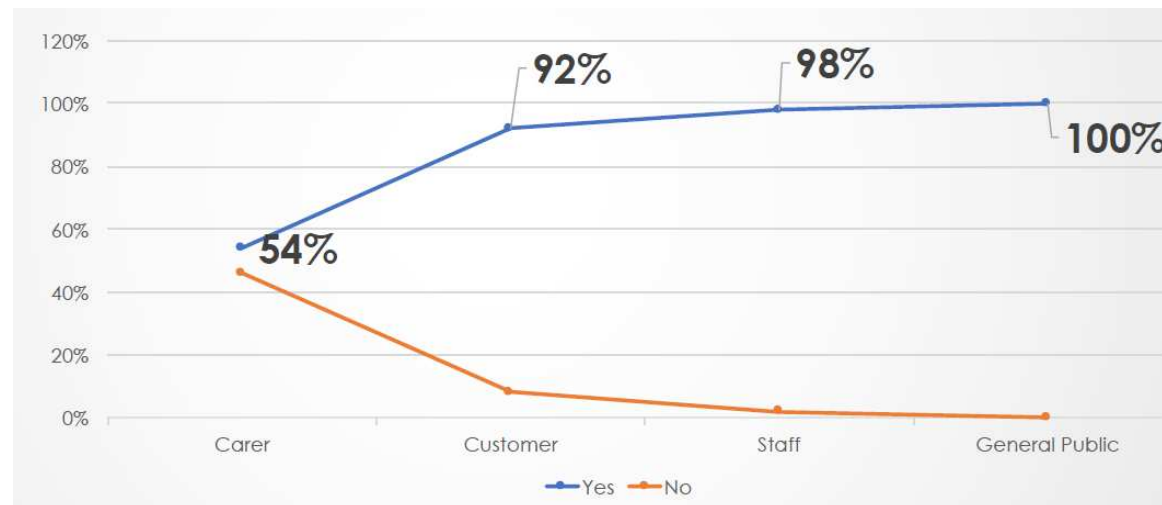
# Choice and Control

- Customers felt they have some control over their choices and life
- 15% of customers said they already have support / identified someone to go to for support
- 15% wanted more support / choice by having a job and gaining more independence, developing new skills and having more money



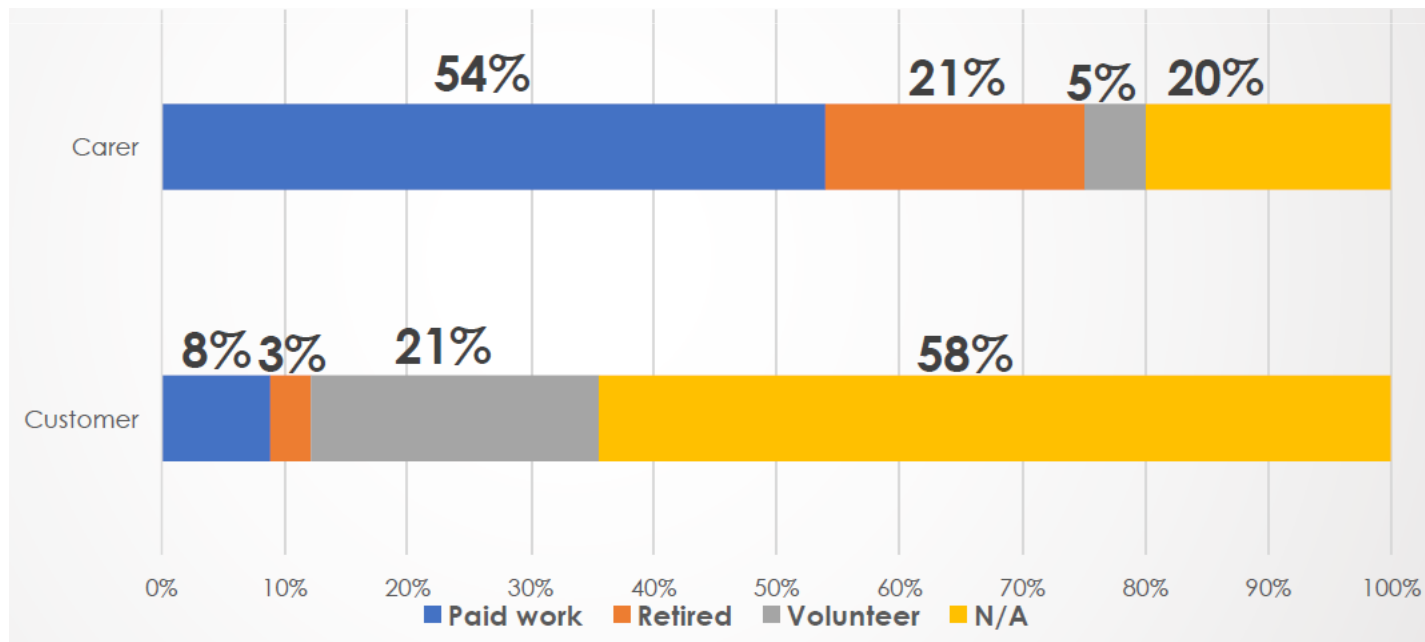
# Should people with a learning disability have the opportunity to work?

- 92% of customers want to work / volunteer, if the job is right, with support and the person is willing, while 8% said no / don't know / unable to work
- 54% of carers said yes, 46% said no
- 98% of staff said yes, provided the job is right to cater for disabilities and support is provided, with 2% saying no
- 100% of the public said yes, provided the job is right, with support



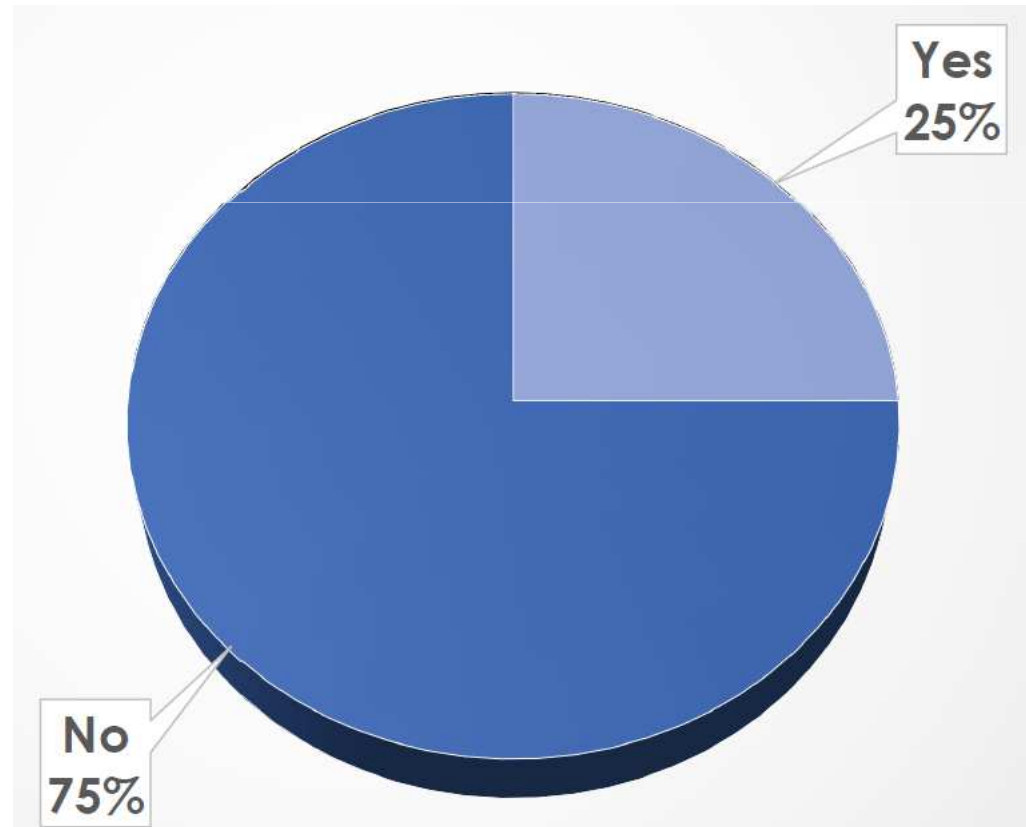
# Employment / Job Role

- Most customers (58%) did not see how work applied to their lives, with only 8% in paid work and 21% in voluntary work
- 21% of carers volunteer, with 8% in paid work, 3% retired and 58% responded N/A



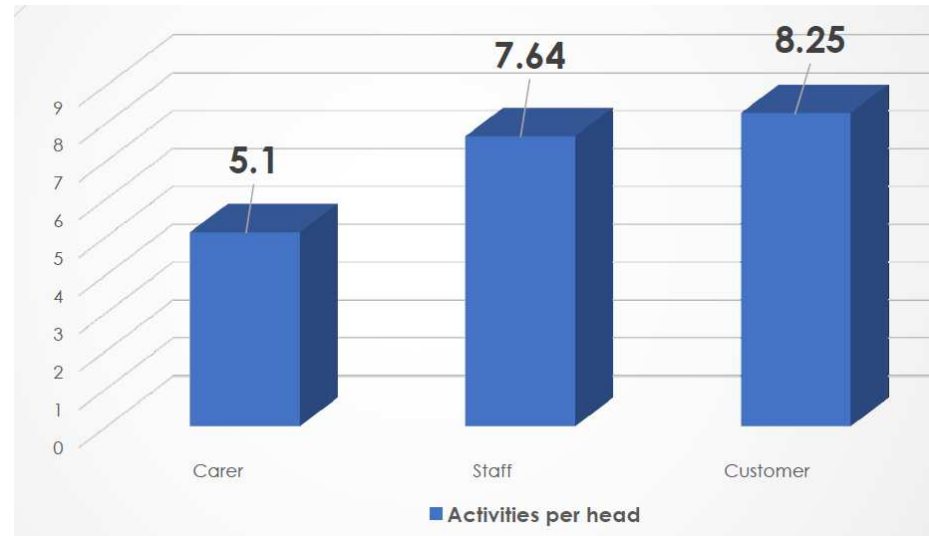
## Customer aspiration to work

- Customers will need support from carers and/or support services in order to build their confidence to work



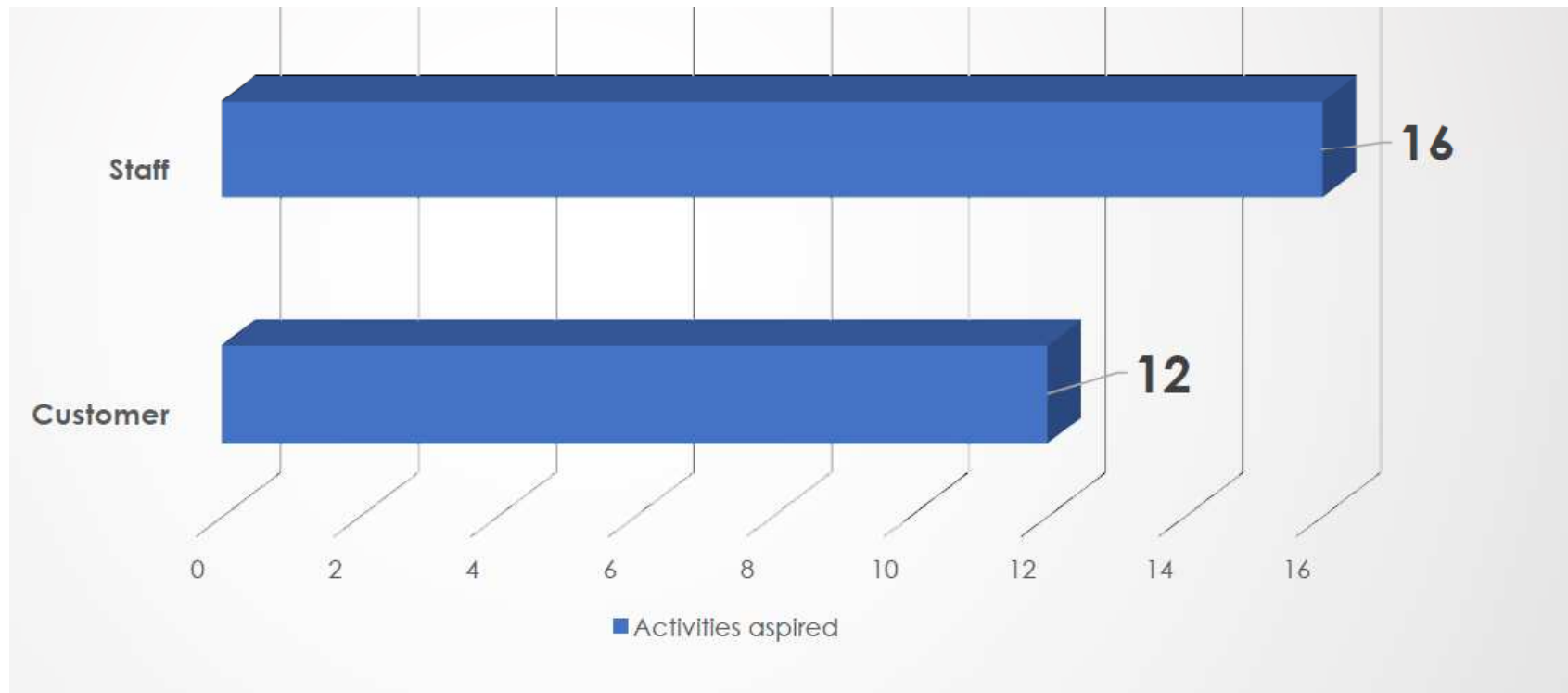
# What are you good at?

- Almost half of customers (48%) listed hobbies and interests from jigsaws, bowling, arts and crafts, etc
- 35% customers reported they are good at people skills, including socialising, team work and greeting and meeting other people
- The most popular activities included baking / cooking, computers and gardening



# What activities do you want to do?

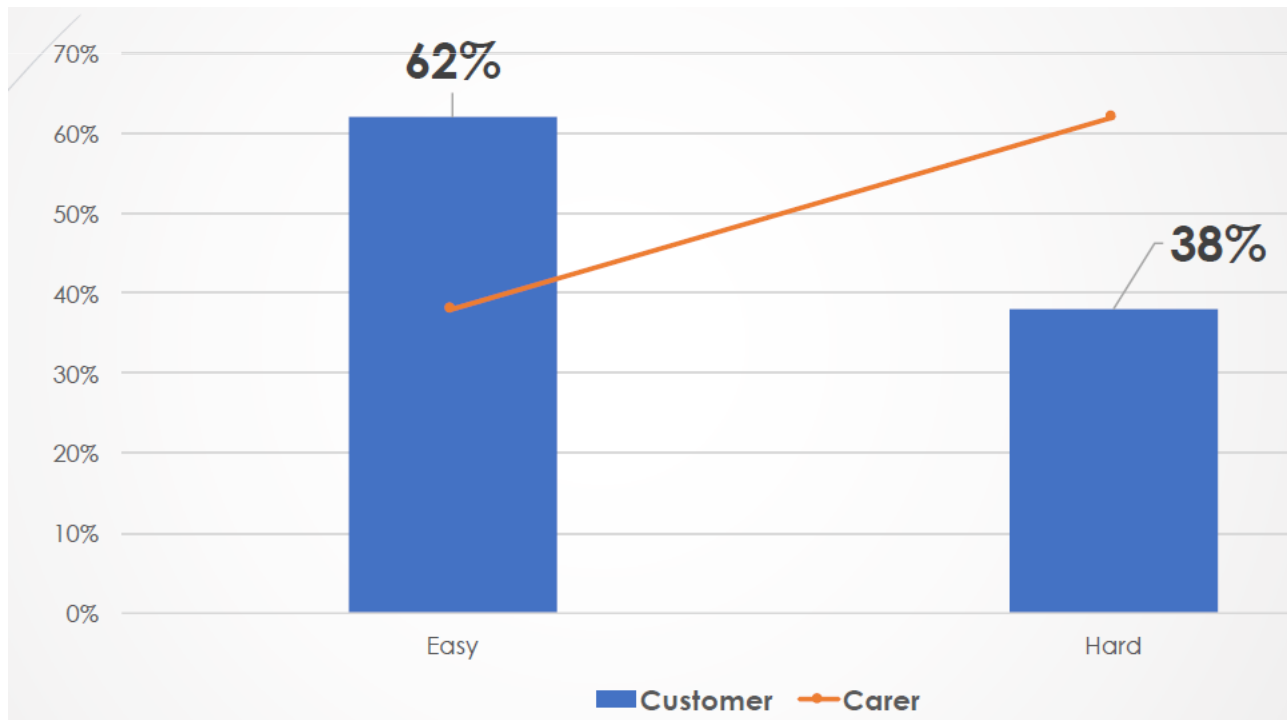
- Customers wanted an average of 12 different activities if available
- Staff wanted an average of 16 different activities per head





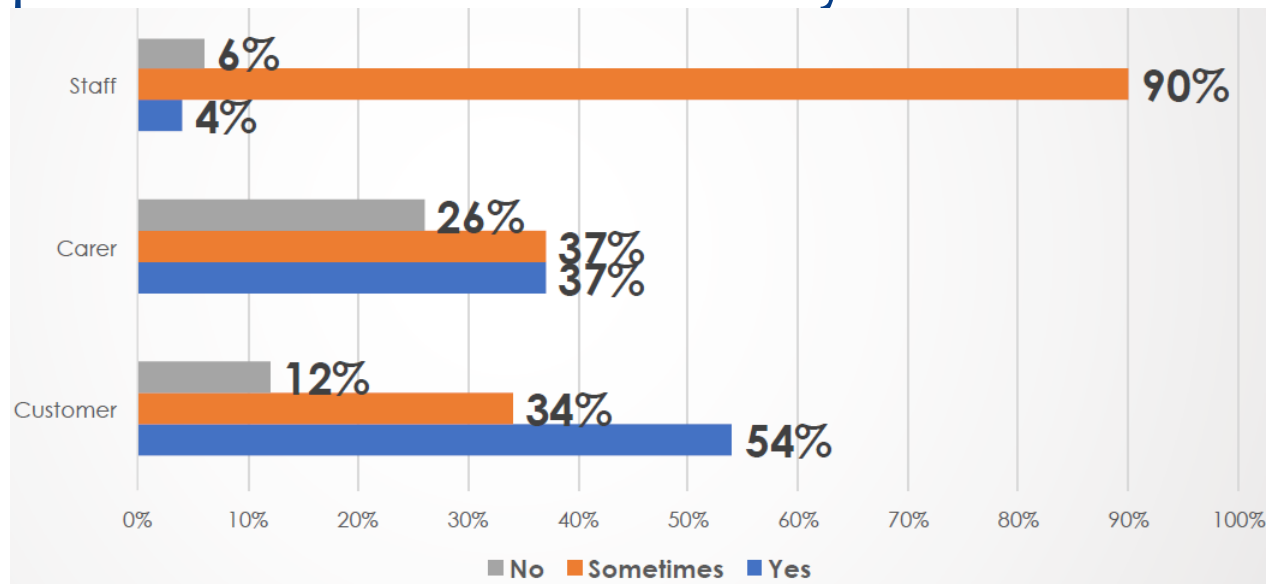
## How easy is it to travel in the community?

- 62% of customers found it easy, with 38% saying it was hard
- 38% of carers said it was easy and 62% it was hard
- 67% of people suggested support for travel training and bus buddies, with an escort and community transport for the more vulnerable



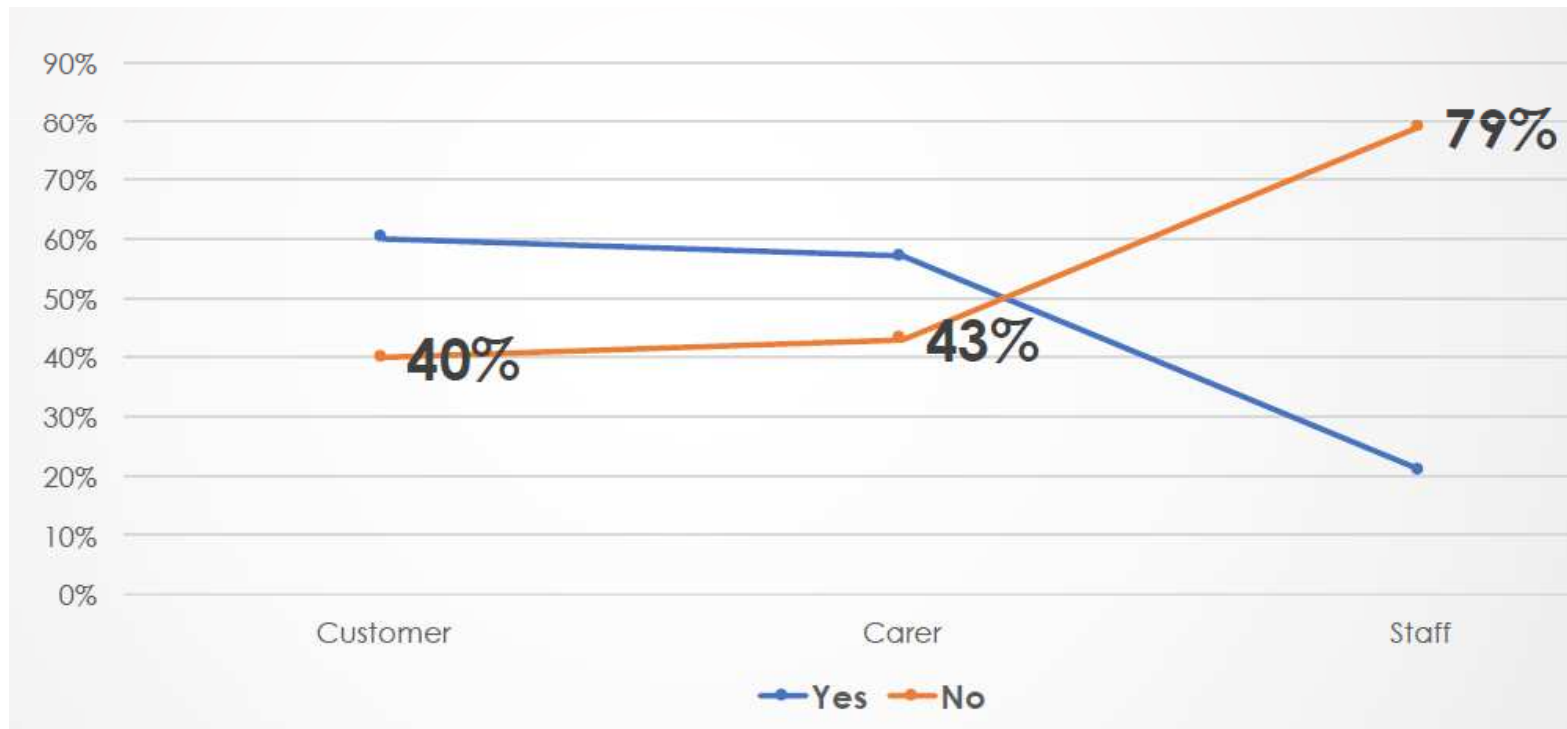
# Feeling safe in the community

- 54% of customers said yes, 34% sometimes and 12% no
- 37% of carers said yes, 37% sometimes and 26% no
- 4% of staff said yes, 90% sometimes and 6% no
- Safety for customers remains a concern for staff and carers
- Customers may feel safe as they are more likely to be accompanied when in the community



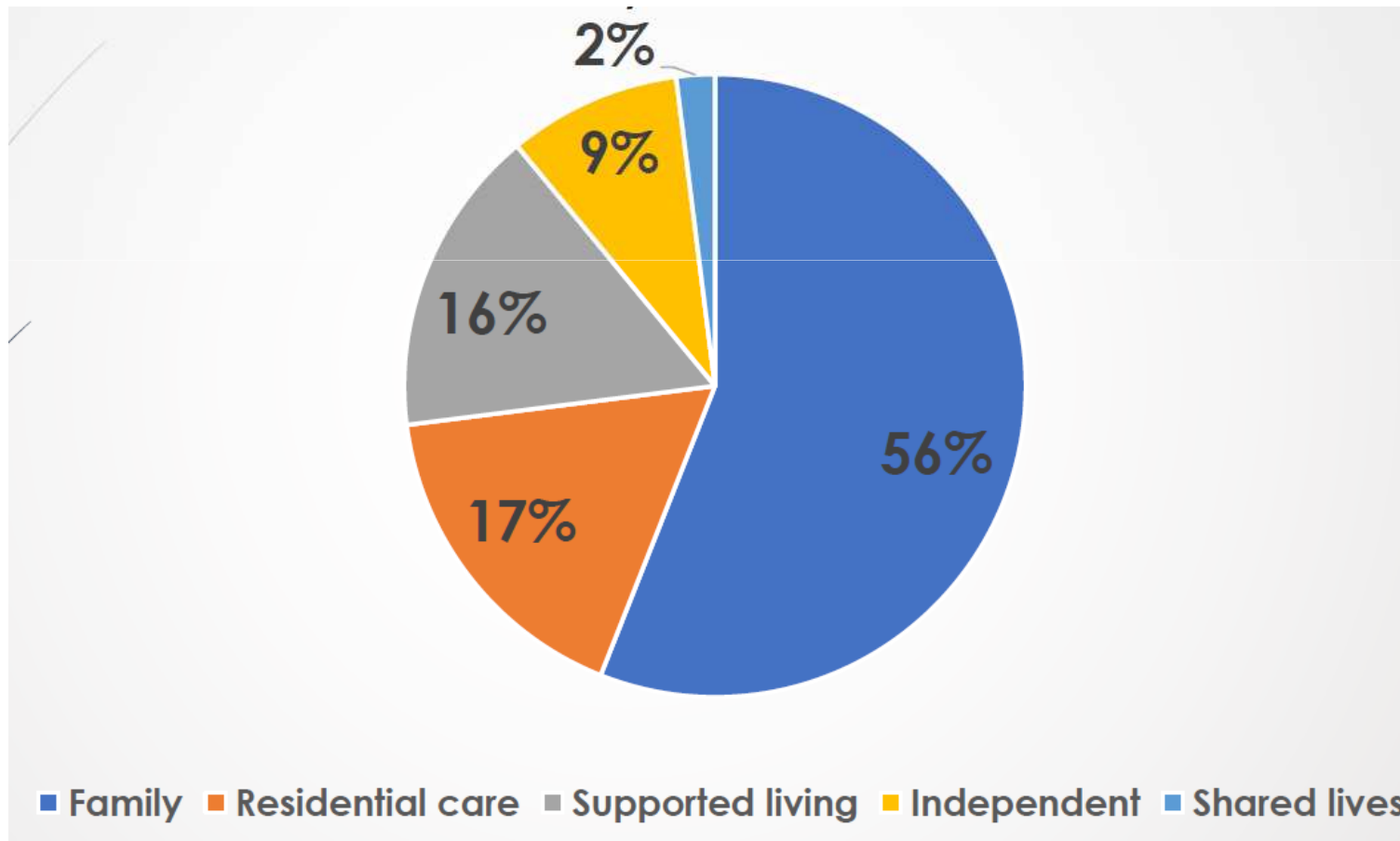
# Awareness of what is happening in the community

- Shows that customers and carers are keeping updated with recent developments in the community – with 60% yes and 40% no for customers, and 57% yes and 43% no for carers
- 21% of staff said yes, 79% no



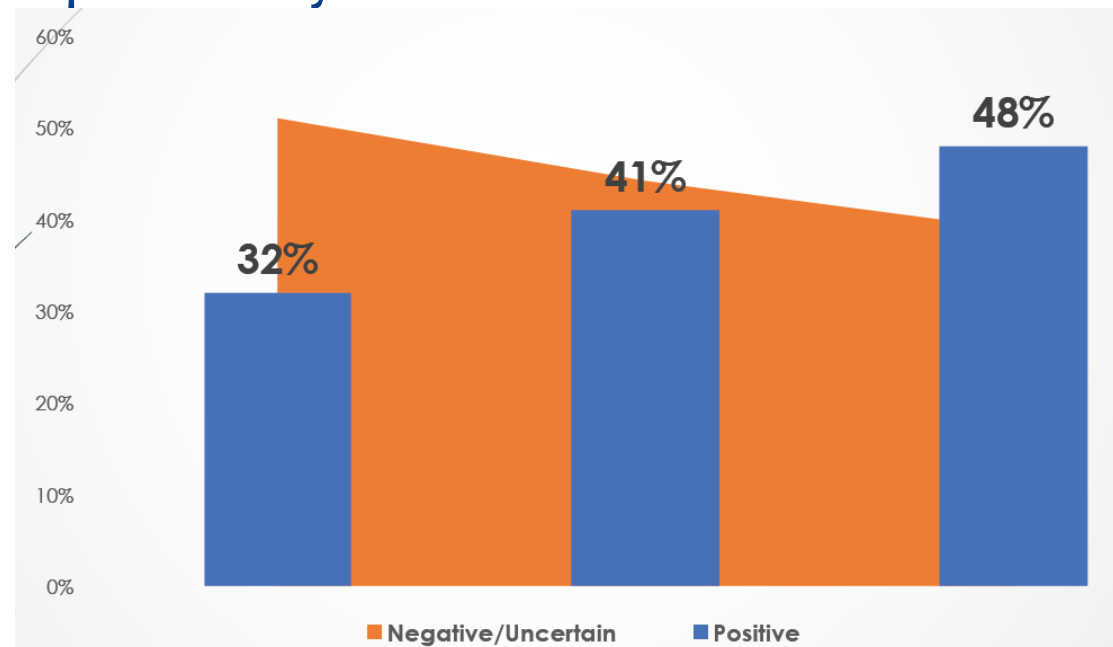
## Who do you live with?

- Most customers live with their family (56%)
- 17% live in residential care and 16% in supported living



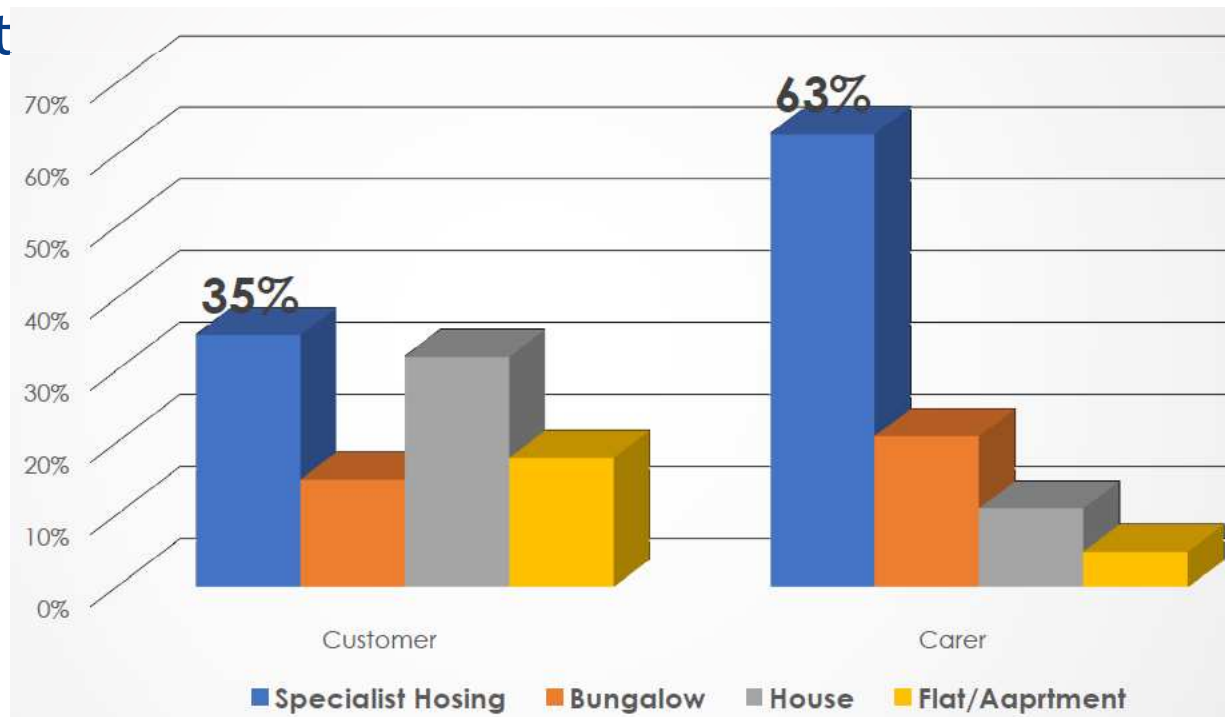
# Independent Living – could / should?

- Customers and carers do not feel that people with LD and/or Autism can live on their own without any support
- 29% of carers said their son / daughter would never be able to live independently due to their high level of needs
- 39% of carers felt that with ‘full 24-hour support’ the person would be able to live independently
- Public believes it can be done provided there is appropriate support



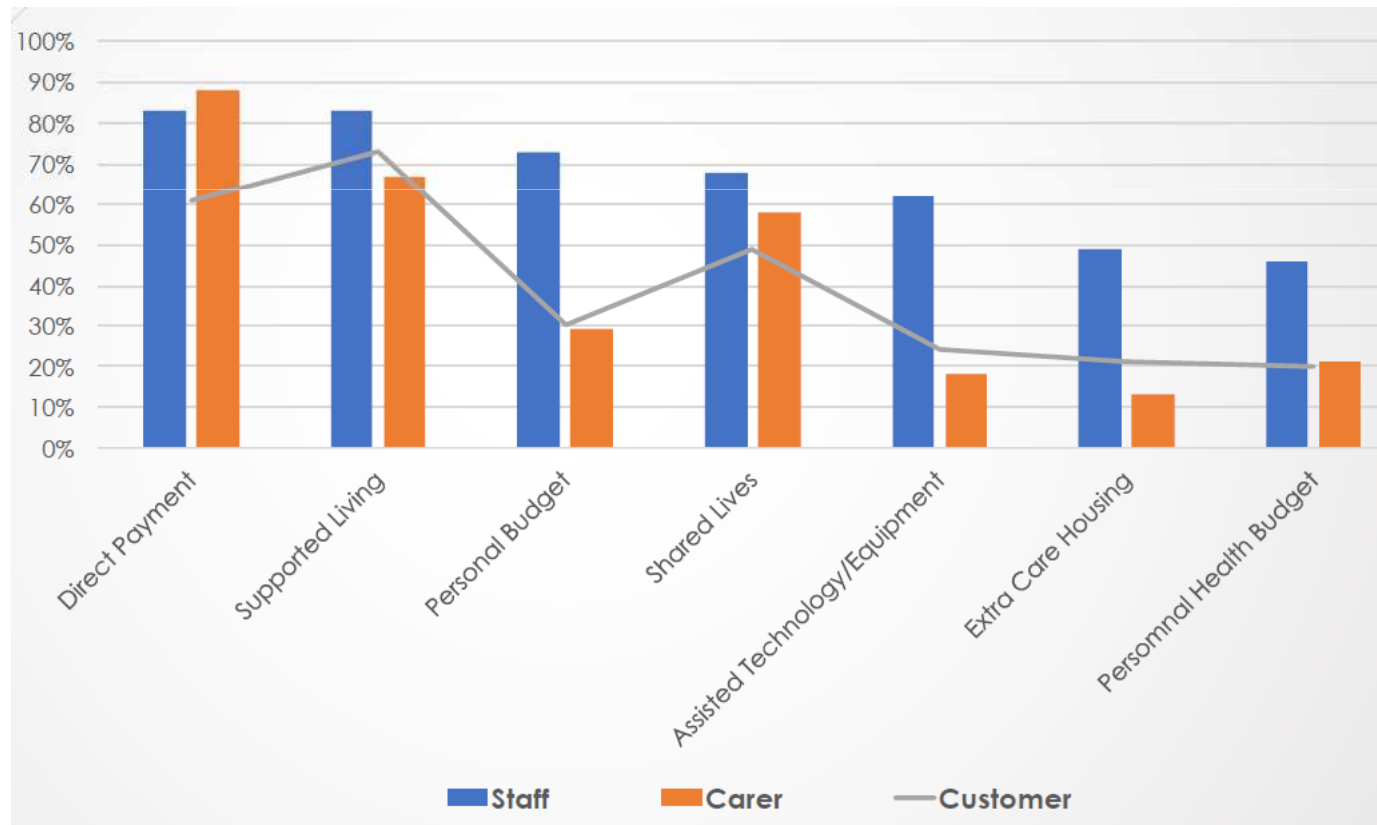
# Ideal Accommodation

- Both customers and carers felt specialist housing would be ideal accommodation – 35% customers, 63% carers
- Customers then chose 32% house, 18% flat / apartment and 15% bungalow
- Carers then chose 21% bungalow, 11% house and 5% flat / apartment



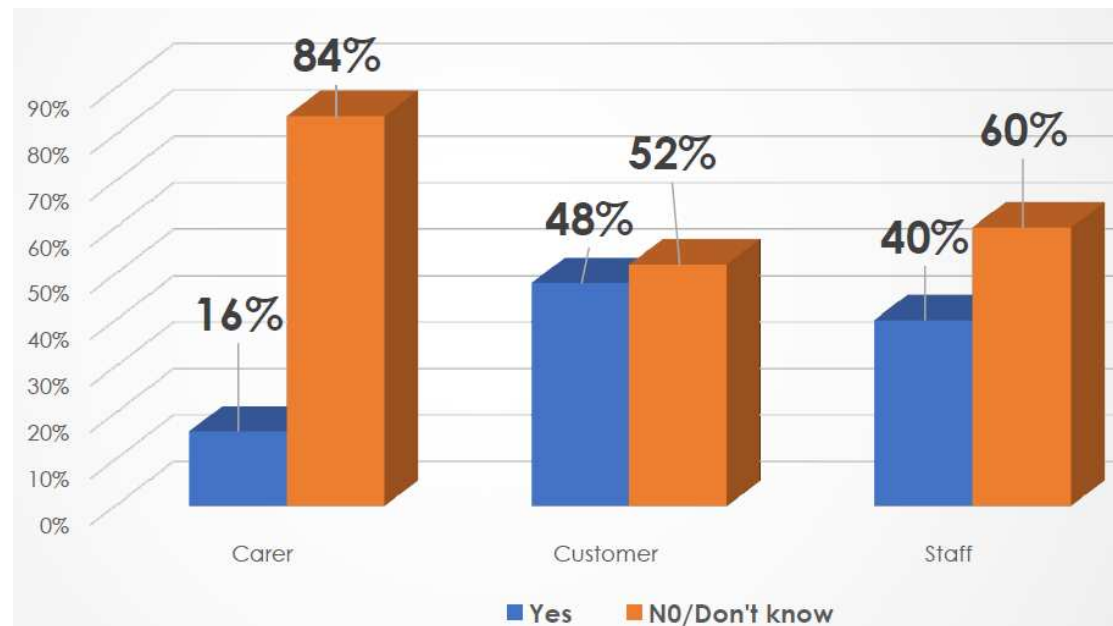
# Financial Support

- Results show staff are aware of the different types of support available
- Customers and carers also have good understanding as well



# Support Plan for the Future

- Customers and carers felt they do not receive adequate support with future planning – 52% customers, 84% carers
- 48% of customers and 16% of carers said yes they did have support for future planning
- Worries about the future and a time when carers are no longer around and anxieties about services closing





Information derived from Condition Survey as per the survey dates below		
Building surveyor	D. Reid	08/06/09
Mechanical surveyor	R. Fairbairn	30/01/08
Electrical surveyor	R. Fairbairn	30/01/08

25 Year Estimated Elemental Discounted Cashflow

Rotherham MBC Asset Management Services

Estimated Costs

This report is printed for Rotherham MBC, Wentworth North (01), Wath (19), SS024 - 58 Quarry Hill Road, EXCLUDING WISH LIST ITEMS

(SS024) 58 Quarry Hill Road

Element	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028	2029	2030	2031	2032	2033	2034	2035	
Access Control																					456					
Accessories		3,198																				301				
Boilers & Burners																						7,223				
Catering Equipment														912												
Ceilings							1,259			1,259		1,259	1,905	751	508	248	685				508	66	928			
Chimney													2,651													
Chimney/Flue																							5,522			
Communications		394										82														
Control components		182										182											255			
Control panel																							8,208			
Distribution Pipework										12,821																
Doors (external)		59						59			59	736							59						2,268	
Doors (internal)					618			4,778	618			6,400						1,384							1,384	
Electric extractor units		1,094																			1,094					
Emergency Luminaires/Control		1,806																					1,806			
Emergency Wiring		1,806																								
Extractor Fans		547										547											547			
Fascia	420				501			5,007				501						501							501	
Fencing	5,780							3,120									3,120					4,224				
Fire Alarm Accessories & Ctrl																									2,542	
Fire Alarm Wiring																										1,445
Fire fighting equipment							401				201	2,280											401	2,280		
Fittings							110						82													
Floors (finishes)	296	184		99	596	1,185	801	66	66	1,736	184	2,625	99	596	1,185						801	66	66		1,736	
Floors (structural)																			1,767			265			530	
Handrails (external)																			166							
Hardstandings/Pavements	309				5,504					5,504						5,504						5,504				
Heat Emitters		2,773																2,773								
Laundry Equipment														6,384												
Luminaires	657	7,592										328			55						657	7,592	91			
Luminaires Wiring		3,393																								
Main Switch & Distr. Panel		2,736																								
Maintenance																										
Misc Power & Socket Wiring		1,560																								
Pressurisation Units																								1,368		
Pumps																									1,140	
Radio/TV		1,094														1,094		1,094								
Rainwater good					64				64			210	37				190			525	657			64		
Ramps																										
Roofs	51											2,032	51					8,283							9,309	
Sanitary Fittings							322					2,605							322						1,184	
Soffit	1,238																									
Stairs (Ext. Fire Escapes)	1,104			1,104			1,104	1,104		1,104		18,407			1,104				1,104				1,104			
Stairs (Int.)												3,251														
Valves																		8,756								
Walls (external)	1,757												1,923													
Walls (internal)		99		2,735			2,282	2,813	66	2,282	3,094	99	1,369	2,238	2,540							994	1,966	2,201		
Windows																						4,756	9,513			
Annual Total	5,832	5,964	28,333	3,939	596	7,872	1,427	4,002	13,509	4,291	19,140	1,259	6,194	47,501	9,009	7,635	3,125	19,674	15,460	1,789	14,057	15,962	37,567	24,727	1,736	
Cumulative Total	5,832	11,796	40,129	44,068	44,664	52,536	53,963	57,965	71,473	75,764	94,904	96,163	102,357	149,858	158,867	166,503	169,627	189,302	204,761	206,550	220,608	236,570	274,137	298,864	300,600	

These figures are current day values calculated using DCF techniques to give comparable current day values for each year.

4294967295 of 1

Establish Enterprise

2017 approx uplift	2.5
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This report is printed for Rotherham MBC, Wentworth North (01), Wath (19), SS024 - 58 Quarry Hill Road, EXCLUDING WISH LIST ITEMS

(SS024) 58 Quarry Hill Road

Element	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028	2029	2030	2031	2032	2033	2034	2035
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Access Control	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	467	0	0	0	0
Accessories	0	3,278	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	308	0	0	0
Boilers & Burners	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	7,404	0	0	0
Catering Equipment	0	0	0	0	0	0	0	0	0	0	0	0	0	935	0	0	0	0	0	0	0	0	0	0	0
Ceilings	0	0	0	0	0	0	0	1,290	0	0	0	1,290	0	1,953	0	770	0	521	255	702	0	521	68	951	0
Chimney	0	0	0	0	0	0	0	0	0	0	0	0	0	2,717	0	0	0	0	0	0	0	0	0	0	0
Chimney/Flue	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	5,660	0	0
Communications	0	404	0	0	0	0	0	0	0	0	0	84	0	0	0	0	0	0	0	0	0	0	0	0	0
Control components	0	187	0	0	0	0	0	0	0	0	0	187	0	0	0	0	0	0	0	0	0	0	262	0	0
Control panel	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	8,414	0	0
Distribution Pipework	0	0	0	0	0	0	0	0	0	13,142	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Doors (external)	0	60	0	0	0	0	0	60	0	0	0	60	0	755	0	0	0	0	60	0	0	0	0	2,324	0
Doors (internal)	0	0	0	0	634	0	0	0	4,898	634	0	0	0	6,560	0	0	0	0	1,419	0	0	0	0	1,419	0
Electric extractor units	0	1,122	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1,122	0	0	0	0
Emergency Luminaires/Control	0	1,851	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1,851	0	0
Emergency Wiring	0	1,851	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Extractor Fans	0	561	0	0	0	0	0	0	0	0	0	561	0	0	0	0	0	0	0	0	0	0	561	0	0
Fascia	430	0	0	0	513	0	0	0	5,132	0	0	0	0	513	0	0	0	0	513	0	0	0	0	513	0
Fencing	5,924	0	0	0	0	0	0	0	3,198	0	0	0	0	0	0	0	0	3,198	0	0	0	4,330	0	0	0
Fire Alarm Accessories & Ctrl	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	2,606	0
Fire Alarm Wiring	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1,481	0
Fire fighting equipment	0	0	0	0	0	0	0	411	0	0	0	206	0	2,337	0	0	0	0	0	0	0	0	411	2,337	0
Fittings	0	0	0	0	0	0	0	113	0	0	0	0	0	84	0	0	0	0	0	0	0	0	0	0	0
Floors (finishes)	304	189	0	102	611	1,215	0	821	68	68	0	1,779	0	189	2,690	102	611	1,215	0	0	821	68	68	0	1,779
Floors (structural)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1,811	0	272	0	0	543	0
Handrails (external)	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	170	0	0	0	0	0	0
Hardstandings/Pavements	317	0	0	0	0	5,641	0	0	0	5,641	0	0	0	0	0	5,641	0	0	0	0	5,641	0	0	0	0
Heat Emitters	0	2,842	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	2,842	0	0	0	0	0	0	0
Laundry Equipment	0	0	0	0	0	0	0	0	0	0	0	0	0	0	6,544	0	0	0	0	0	0	0	0	0	0
Luminaires	673	7,782	0	0	0	0	0	0	0	0	0	0	0	337	0	0	56	0	0	0	673	0	7,782	93	0
0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0

Luminaires Wiring	0	3,478	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
Main Switch & Distr. Panel	0	2,805	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
Maintenance	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
Misc Power & Socket Wiring	0	1,599	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
Pressurisation Units	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1,402	0	0	
Pumps	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	1,169	0	0	
Radio/TV	0	1,122	0	0	0	0	0	0	0	0	0	0	0	0	1,122	0	1,122	0	0	0	0	0	0	0	
Rainwater good	0	0	0	0	0	66	0	0	66	0	0	0	215	0	38	0	194	0	538	674	0	66	0	0	
Ramps	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
Roofs	52	0	0	0	0	0	0	0	0	0	0	0	2,083	0	52	0	0	8,490	0	0	0	0	9,542	0	
Sanitary Fittings	0	0	0	0	0	330	0	0	0	0	0	0	2,670	0	0	0	0	330	0	0	0	0	1,214	0	
Soffit	1,268	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
Stairs (Ext. Fire Escapes)	1,132	0	0	1,132	0	0	1,132	0	1,132	0	0	1,132	0	18,867	0	0	1,132	0	0	1,132	0	0	1,132	0	
Stairs (Int.)	0	0	0	0	0	0	0	0	0	0	0	0	3,333	0	0	0	0	0	0	0	0	0	0	0	
Valves	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	8,974	0	0	0	0	0	0	0	
Walls (external)	1,801	0	0	0	0	0	0	0	0	0	0	0	1,972	0	0	0	0	0	0	0	0	0	0	0	
Walls (internal)	0	102	0	2,804	0	0	0	2,339	2,883	68	0	2,339	0	3,171	0	102	1,404	2,294	2,604	0	0	1,019	2,015	2,256	
Windows	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	4,875	9,750	0	
Annual Total	11,902	29,230	0	4,037	1,758	6,922	1,462	5,036	17,310	19,619	0	7,639	0	48,689	9,234	7,826	3,203	20,166	15,846	1,834	14,409	24,074	30,794	25,346	1,779
Cumulative Total	11,902	41,132	41,132	45,169	46,928	53,850	55,312	60,348	77,658	97,277	97,277	104,916	104,916	153,605	162,839	170,665	173,868	194,034	209,881	211,714	226,123	250,197	280,991	306,336	308,115

These figures are current day values calculated using DCF techniques to give comparable current day values for each year.

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Information derived from Condition Survey as per the survey dates below		
Building surveyor	D. Reid & D. Ryder	09/07/10
Mechanical surveyor	R. Fairbairn	14/02/08
Electrical surveyor	R. Fairbairn	14/02/08

25 Year Estimated Elemental Discounted Cashflow

Rotherham MBC Asset Management Services

Estimated Costs

This report is printed for Rotherham MBC, Wentworth Valley (05), Hellaby (05), SS045 - Addison Day Centre, EXCLUDING WISH LIST ITEMS

(SS045) Addison Day Centre

Element	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028	2029	2030	2031	2032	2033	2034	2035
Access Control	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Accessories	-	8,239.67	-	-	-	-	-	-	-	224.36	-	-	-	-	392.63	-	-	-	-	1,570.53	344.02	-	1,587.36	450.59	-
Anti-Vandal Measures	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Boilers & Burners	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	39,038.85	-	-	-	-	-	-
Catering Equipment	-	3,027.01	467.42	-	2,112.73	-	-	-	1,439.65	11,395.68	-	-	-	-	6,054.01	-	-	-	-	-	6,039.06	-	-	2,112.73	-
Ceilings	951.33	396.20	90.56	-	8,210.81	-	-	1,282.94	105.65	5,773.22	1,003.71	3,252.63	-	22.64	1,109.36	-	396.20	1,479.15	-	4,256.34	11,999.25	-	-	1,109.36	1,479.15
Chimney/Flue	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	16,980.07	-	-	-	-	-	-
Communications	-	4,442.35	-	-	-	-	-	-	-	695.52	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Control components	-	1,589.23	-	-	-	-	-	-	-	-	-	1,308.77	-	-	934.84	-	-	280.45	280.45	-	93.48	-	1,308.77	-	-
Control panel	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	10,750.64	-	-	-	-	-	-
Distribution Pipework	-	58,558.28	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	2,927.91	-	-	-	-	-	-
Doors (external)	815.04	1,026.35	-	-	1,116.91	-	-	332.05	1,509.34	4,271.43	-	181.12	120.75	1,886.67	4,180.87	-	2,641.34	815.04	120.75	150.93	1,599.90	211.31	60.37	1,509.34	150.93
Doors (internal)	1,161.31	679.20	-	-	7,310.86	-	-	-	1,569.71	15,885.80	-	-	1,448.97	-	4,082.76	-	-	-	1,448.97	-	14,812.28	-	-	1,207.47	-
Drainage	-	1,811.21	-	-	301.87	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	13,772.72	-	-	-	-
Ductwork and grilles	-	683.18	-	-	-	-	-	-	-	-	-	683.18	-	-	-	-	-	-	-	-	-	-	683.18	-	-
Electric extractor units	-	4,393.74	-	-	-	-	-	-	-	467.42	-	-	-	-	-	-	-	-	-	-	4,954.64	-	-	560.90	-
Electric Space Heating	-	17,481.48	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	17,481.48	-	-	654.39	-	-	-	-
Emergency Luminaires/Control	-	19,884.01	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	19,884.01	-	-
Emergency Wiring	-	13,256.01	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Extractor Fans	-	5,048.13	-	-	-	-	-	-	-	560.90	-	5,048.13	-	-	560.90	-	-	-	1,402.26	-	560.90	-	5,048.13	-	-
Fascia	1,984.78	-	-	-	2,392.30	-	75.47	150.93	830.14	2,490.41	7.55	316.96	83.01	-	626.38	-	158.48	45.28	83.01	-	2,648.89	22.64	45.28	83.01	-
Fencing	633.92	-	-	-	697.60	-	633.92	-	-	84.90	-	633.92	239.14	-	84.90	-	-	-	633.92	-	17,527.20	239.14	-	-	581.10
Fire Alarm Accessories & Ctrl	-	10,007.52	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Fire Alarm Wiring	-	10,604.81	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Fire fighting equipment	-	-	-	-	-	-	186.97	-	673.08	972.23	-	392.63	607.65	4,113.29	-	-	186.97	-	467.42	-	560.90	-	186.97	673.08	1,776.19
Fittings	22.64	188.67	253.43	1,132.00	1,132.00	-	-	-	-	5,301.55	-	-	188.67	-	169.80	-	-	-	566.00	-	5,018.55	188.67	-	566.00	-
Floors (finishes)	-	-	1,935.73	2,682.85	5,200.62	-	-	-	882.96	4,011.07	-	1,345.20	-	4,931.77	3,781.84	-	5,433.62	3,207.35	475.44	4,686.50	5,807.18	882.96	1,735.74	-	1,345.20
Floors (structural)	-	528.27	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Fuel Storage	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Gates	1,698.01	-	-	-	1,698.01	-	-	-	-	1,698.01	-	-	-	-	1,698.01	-	-	-	-	-	1,698.01	-	-	-	-
Grilles/Diffusers	-	-	271.10	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	271.10	-	-	-	-
Handrails (external)	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Handrails (Internal)	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Hardstandings/Pavements	11,169.11	-	-	-	3,697.88	-	-	13,527.45	-	45,374.51	-	-	4,905.35	-	33,148.86	-	-	-	-	-	29,413.25	-	-	-	-
Heat Emitters	-	-	11,498.51	-	-	-	-	-	-	-	-	-	-	-	9,049.24	-	-	261.75	560.90	-	-	-	1,402.26	-	-
Kitchen Canopies	-	-	20,566.44	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Laundry Equipment	-	-	-	-	2,804.52	-	-	-	-	10,283.22	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Luminaires	-	-	54,461.82	-	-	-	-	-	-	280.45	-	-	-	-	-	-	-	-	-	-	514.16	-	54,461.82	3,786.10	-







Information derived from Condition Survey as per the survey dates below		
Building surveyor	D. Reid	16/11/09
Mechanical surveyor	R. Fairbairn	04/03/08
Electrical surveyor	R. Fairbairn	04/03/08

25 Year Estimated Elemental Discounted Cashflow

Rotherham MBC Asset Management Services

Estimated Costs

This report is printed for Rotherham MBC, Wentworth Valley (05), Hellaby (05), SS003 - 46 Maple Avenue, EXCLUDING WISH LIST ITEMS

(SS003) 46 Maple Avenue

Element	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028	2029	2030	2031	2032	2033	2034	2035	
Accessories	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	3,558	-	
Boilers & Burners	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	7,282	-	-	-	-	-	-
Catering Equipment	-	-	-	-	-	-	-	-	-	-	-	-	-	-	5,327	-	-	-	-	-	-	-	-	-	-	-
Ceilings	-	-	23	-	-	-	-	1,653	-	-	-	1,653	-	-	-	1,653	-	-	-	1,653	-	-	-	-	1,653	-
Clocks	-	-	-	-	-	-	-	-	-	-	-	-	-	-	56	-	-	-	-	-	-	-	-	-	-	-
Communications	-	-	-	-	-	-	-	-	-	-	-	-	-	-	366	-	-	-	-	-	-	-	-	-	-	82
Control components	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	1,309	-	-	-	-	-	93
Distribution Pipework	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	13,607
Doors (external)	-	211	-	-	-	-	-	211	-	-	-	-	211	-	-	-	-	211	-	-	2,641	-	-	-	-	-
Doors (internal)	-	-	-	-	121	-	-	-	1,509	-	121	-	-	1,509	-	121	-	-	1,509	-	121	-	-	-	1,509	-
Electric extractor units	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	2,244
Emergency Luminaires/	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	1,916
Emergency Wiring	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	1,916
Extractor Fans	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	3,926
Fascia	-	-	-	-	91	-	-	-	-	-	91	-	-	-	-	91	-	-	-	-	91	-	-	-	-	-
Fencing	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Fire Alarm Accessories &	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	5,706
Fire Alarm Wiring	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	1,533
Fire fighting equipment	-	-	-	-	-	-	-	-	-	-	-	-	-	-	1,524	-	-	-	-	-	-	-	-	-	-	561
Fittings	1,415	-	-	-	-	-	-	-	849	-	849	-	-	-	-	1,415	-	507	-	-	-	-	-	-	849	2,264
Floors (finishes)	-	-	-	-	964	-	-	-	608	-	5,186	-	-	-	306	747	-	217	-	6,792	608	-	5,186	-	-	-
Floors (structural)	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Hardstandings/Pavement	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	358	-	-	-	-	358	-	-	-	-	-
Heat Emitters	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	3,590	-	-	-	-	-	224
Laundry Equipment	-	-	-	-	-	-	-	-	-	-	-	-	-	-	2,805	-	-	-	-	-	-	-	-	-	-	-
Lightening Protection	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	9,348
Luminaires	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	954	-	-	-	-	-	9,782
Luminaires Wiring	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	4,095
Main Switch & Distr. Panel	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	2,805
Misc Power & Socket Wiring	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	2,001
Pumps	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	1,169	-	-	-	-	-	-
Radio/TV	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	3,085
Rainwater good	-	-	-	-	475	-	-	-	-	-	475	-	-	-	-	475	-	-	-	-	475	-	-	-	-	-





Information derived from Condition Survey as per the survey dates below		
Building surveyor	D. Reid & D. Ryder	14/02/08
Mechanical surveyor	R. Fairbairn	05/02/08
Electrical surveyor	R. Fairbairn	05/02/08

25 Year Estimated Elemental Discounted Cashflow

Rotherham MBC Asset Management Services

Estimated Costs

This report is printed for Rotherham MBC, Wentworth North (01), Wath (19), SS046 - Oaks Day Centre, EXCLUDING WISH LIST ITEMS

(SS046) Oaks Day Centre

Element	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028	2029	2030	2031	2032	2033	2034	2035
Access Control	-	-	9	-	-	-	-	-	-	-	-	-	-	935	-	3	-	-	9	-	-	-	-	-	467
Accessories	-	-	155	-	3,719	-	-	-	-	-	-	-	-	14,804	-	-	-	-	-	-	-	-	-	71	3,536
Air Conditioning	-	-	-	-	-	-	-	-	-	7,479	-	-	-	-	-	-	-	-	-	29,915	7,479	-	-	-	-
Boilers & Burners	-	-	-	-	8,414	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Calorifiers	-	-	-	-	925	-	-	-	-	-	-	-	-	2,322	-	-	-	-	-	-	-	-	-	-	-
Catering Equipment	-	-	2,113	-	467	-	-	-	-	7,460	-	-	-	187	467	2,309	-	-	-	-	-	6,886	2,113	-	-
Ceilings	60	-	6,928	60	3,564	-	-	8,264	-	1,215	2,309	7,562	2,068	528	1,177	7,818	211	475	475	8,656	2,553	1,177	475	9,013	596
Chimney/Flue	-	-	-	-	5,660	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Communications	-	-	1,197	-	329	-	-	-	-	-	419	-	-	561	1,010	-	-	-	-	-	-	-	-	-	-
Control components	-	-	-	-	1,477	-	-	-	1,010	-	-	-	-	2,057	-	561	-	-	374	374	916	-	-	2,412	-
Control panel	-	-	-	-	8,414	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	8,414	-	-	-	-
Distribution Pipework	-	-	-	-	14,164	-	-	-	-	-	-	-	-	23,221	-	-	-	-	-	-	-	-	-	-	-
Doors (external)	724	-	3,260	-	2,536	-	-	3,260	-	-	1,147	3,773	5,041	-	-	5,675	302	2,596	-	-	2,898	302	3,290	-	24,149
Doors (internal)	241	-	-	-	6,852	-	-	-	241	-	7,675	-	-	241	943	13,639	-	-	121	121	32,473	-	-	-	121
Electric extractor units	-	-	-	-	-	-	-	-	-	-	-	-	-	4,394	-	-	-	-	-	-	-	-	-	-	561
Electric Space Heating	-	-	5,235	-	3,646	-	-	-	-	-	-	-	-	22,249	-	-	-	-	5,235	-	3,646	-	-	-	3,926
Emergency Luminaires/Control	-	-	-	-	2,103	-	-	-	-	-	-	-	-	11,611	-	-	-	-	-	-	-	-	-	-	-
Emergency Wiring	-	-	-	-	2,103	-	-	-	-	-	-	-	-	11,611	-	-	-	-	-	-	-	-	-	-	-
Extractor Fans	-	-	-	-	2,805	-	-	-	3,085	-	-	-	-	4,207	-	2,805	-	-	3,085	4,768	-	-	-	4,207	-
Fascia	-	-	-	302	4,543	-	-	-	-	30	1,826	-	2,113	-	30	1,615	-	2,626	-	30	2,128	4,151	453	-	6,188
Fencing	5,019	-	-	-	-	-	5,019	-	-	-	-	-	5,019	-	-	-	-	-	5,019	-	-	-	-	-	5,019
Fire Alarm Accessories & Ctrl	-	-	-	-	5,352	-	-	-	-	-	-	-	-	30,192	-	-	-	-	-	-	-	-	-	-	-
Fire Alarm Wiring	-	-	-	-	2,139	-	-	-	-	-	-	-	-	9,289	-	-	-	-	-	-	-	-	-	-	-
Fire fighting equipment	-	-	411	-	-	-	-	-	-	-	1,150	1,215	-	1,795	2,889	-	-	-	411	-	187	187	-	1,309	1,309
Fittings	2,298	-	566	653	1,038	-	-	-	2,264	-	1,132	4,332	-	-	-	4,432	1,698	-	-	596	19,506	-	566	2,321	-
Floors (finishes)	1,732	-	-	1,940	2,502	-	-	-	1,126	-	14,742	340	1,732	2,374	679	10,928	1,324	2,502	-	-	10,345	-	14,622	2,280	4,958
Floors (structural)	-	-	-	-	1,660	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Frame (structural)	1,268	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Gates	-	-	-	1,132	-	-	-	-	-	1,132	-	-	-	-	1,132	-	-	-	-	1,132	-	-	-	-	1,132
Grilles/Diffusers	-	-	-	-	65	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	65	-
Handrails (external)	-	-	75	-	-	-	-	75	-	-	-	-	75	-	-	-	-	226	-	-	-	-	75	-	-
Hardstandings/Pavements	-	-	-	-	-	-	-	-	12,839	-	-	-	-	12,839	-	-	-	-	12,839	-	-	-	-	12,839	-
Heat Emitters	-	-	-	-	3,870	-	-	-	-	-	-	-	-	-	-	-	-	-	3,291	-	-	-	-	-	-
Kitchen Canopies	-	-	-	-	26,175	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Laundry Equipment	-	-	-	-	-	-	-	-	6,544	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Luminaires	-	-	-	-	15,060	-	-	-	-	-	-	-	-	57,122	-	-	-	-	-	-	2,244	-	-	-	3,319
Luminaires Wiring	-	-	-	-	5,216	-	-	-	-	-	-	-	-	21,632	-	-	-	-	-	-	-	-	-	-	2,449
Main Switch & Distr. Panel	-	-	-	-	7,479	-	-	-	-	-	-	-	-	3,739	-	-	-	-	-	-	-	-	-	-	-

Maintenance	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	
Misc Power & Socket Wiring	-	-	-	2,533	-	-	-	-	-	-	-	10,003	-	-	-	-	-	-	-	-	-	-	-	729	
Pressurisation Units	-	-	-	1,870	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	
Pumps	-	-	-	3,365	-	-	-	-	-	-	-	561	-	-	-	-	-	561	-	-	-	-	-	-	
Radio/TV	-	-	-	2,150	-	-	-	-	-	-	-	2,244	-	-	-	-	-	1,683	-	-	-	-	-	-	
Rainwater good	-	-	75	543	-	-	75	-	-	-	75	-	-	283	996	38	-	991	453	347	-	-	1,917		
Ramps	-	-	-	1,274	-	-	-	-	-	-	-	-	-	-	-	-	-	-	1,274	-	-	-	-	-	
Roofs	-	434	-	75	6,792	-	-	-	-	-	434	-	-	91,104	-	75	41,507	-	-	-	-	-	-	-	
Sanitary Fittings	-	-	-	-	-	-	-	-	-	1,406	-	-	-	-	951	-	-	-	10,738	-	-	-	-	-	
Security System	-	-	11,136	-	-	-	-	-	-	-	-	15	-	-	-	-	11,136	-	-	-	-	-	3,006		
Security Wiring	-	-	8,188	-	-	-	-	-	-	-	-	-	-	-	-	-	8,188	-	-	-	-	-	-		
Showers	-	-	-	-	-	-	-	-	-	-	-	187	-	-	-	-	-	-	-	-	-	-	-		
Soffit	-	-	-	1,124	-	-	-	-	1,124	-	2,113	-	-	913	-	211	-	913	3,170	1,872	-	-	3,924		
Stairs (Int.)	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-		
Steps	-	-	-	717	-	-	-	-	-	-	-	-	-	83	-	-	-	-	-	3,773	-	-	-	-	
Sub Distribution Boards	-	-	11,611	2,103	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	
Sub Main Cables	-	-	46,443	8,414	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	
Valves	-	-	3,365	-	-	-	1,122	-	-	-	-	-	-	-	-	-	3,365	7,853	-	-	-	-	1,122	-	
Walls (external)	1,268	1,558	-	-	-	679	1,558	-	-	-	1,558	-	-	-	-	11,203	-	-	9,962	1,558	-	-	37,507		
Walls (internal)	3,207	-	19,237	4,651	-	-	4,158	19,237	4,122	-	4,158	19,237	3,849	-	4,158	19,237	-	8,181	-	4,158	18,225	-	-		
Water heaters	-	-	-	-	-	-	-	-	-	-	-	42,068	47,677	-	-	-	935	-	-	-	-	-	-	-	
Water Storage Tanks	-	-	-	-	-	-	-	-	-	-	-	3,483	-	-	-	-	-	-	-	-	-	-	-	-	
Windows	1,324	-	-	1,324	5,943	-	1,324	-	1,324	-	-	1,324	-	-	1,324	12,575	-	838	487	9,358	475	487	6,796		
Annual Total	17,144	1,992	120,004	5,487	183,757	0	5,698	18,640	47,543	17,316	38,378	17,222	24,312	317,107	8,328	103,257	96,247	37,569	72,822	55,292	164,733	32,145	31,666	54,350	111,610
Cumulative Total	17,144	19,136	139,140	144,628	328,385	328,385	334,083	352,723	400,266	417,582	455,959	473,181	497,493	814,600	822,928	926,184	1,022,431	1,060,001	1,132,822	1,188,115	1,352,848	1,384,993	1,416,659	1,471,008	1,582,618

These figures are current day values calculated using DCF techniques to give comparable current day values for each year.

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Information derived from Condition Survey as per the survey dates below		
Building surveyor	D. Reid & D. Ryder	02/09/09
Mechanical surveyor	R. Fairbairn	29/01/08
Electrical surveyor	R. Fairbairn	29/01/08

25 Year Estimated Elemental Discounted Cashflow

Rotherham MBC Asset Management Services

Estimated Costs

This report is printed for Rotherham MBC, Wentworth Valley (05), Hellaby (05), SS001 - Parkhill Lodge, EXCLUDING WISH LIST ITEMS

(SS001) Parkhill Lodge

Element	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028	2029	2030	2031	2032	2033	2034	2035
Element	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Access Control	-	-	-	-	-	-	-	-	-	2	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Accessories	-	-	-	-	8,268	-	-	28	-	112	-	-	-	-	593	-	-	-	-	-	56	-	-	-	1,141
Boilers & Burners	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	40,011	-	-	-
Call Systems	-	-	-	-	20,006	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	20,006
Catering Equipment	-	1,253	-	-	13,370	-	-	-	-	12,755	-	-	-	3,214	467	-	-	-	-	-	698	-	1,253	12,243	-
Ceilings	225	-	-	1,260	1,636	8,339	-	2,513	291	8,294	-	1,647	336	8,294	2,560	-	291	8,294	-	3,104	-	8,294	1,090	1,713	453
Chimney/Flue	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	16,980	-
Communications	-	-	-	-	1,294	-	-	-	-	-	-	-	271	-	187	-	-	-	-	-	-	-	-	-	-
Control components	-	-	-	-	1,402	-	-	-	-	-	-	-	-	-	1,122	-	-	-	-	280	-	-	-	75	1,122
Control panel	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	8,414	-
Distribution Pipework	-	-	-	-	68,019	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	3,001	-
Doors (external)	528	302	-	-	1,509	528	755	302	-	121	1,162	60	1,057	-	121	408	60	362	-	1,509	408	755	3,834	-	121
Doors (internal)	-	-	-	-	-	4,890	-	-	-	-	4,890	-	-	-	21,225	2,173	-	-	-	4,603	6,045	-	-	-	5,788
Electric extractor units	-	-	-	-	2,150	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	2,150	-	-
Electric Space Heating	-	-	-	-	1,683	-	-	-	-	-	-	-	-	-	-	-	-	-	-	1,683	-	-	-	-	-
Emergency Luminaires/Control	-	-	-	-	15,004	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	15,004
Emergency Wiring	-	-	-	-	10,003	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Extractor Fans	-	-	-	-	3,646	-	-	-	-	-	561	-	-	-	3,646	-	-	-	-	-	561	-	-	-	3,646
Fascia	951	-	-	-	453	1,819	3,924	-	4,226	45	596	392	1,509	423	1,706	1,230	1,675	151	423	211	151	521	151	423	619
Fire Alarm Accessories & Ctrl	-	-	-	-	12,678	-	-	-	-	-	-	-	-	223	-	-	-	-	-	-	-	-	-	-	-
Fire Alarm Wiring	-	-	-	-	8,002	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Fire fighting equipment	-	-	-	-	3,001	-	-	-	-	393	748	140	206	1,814	1,234	-	-	-	-	187	187	-	-	1,402	1,234
Fittings	169	-	-	789	-	-	-	-	169	-	-	113	1,732	-	-	253	-	169	-	3,830	-	1,140	-	-	1,981
Floors (finishes)	-	781	-	-	738	2,120	-	738	4,775	304	7,081	-	19,812	-	1,215	384	738	2,721	960	4,126	4,775	304	7,081	-	22,133
Floors (structural)	-	-	-	-	-	-	-	-	-	-	-	-	-	2,173	-	-	-	-	-	-	-	-	-	-	-
Handrails (external)	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Heat Emitters	-	-	-	-	14,303	-	-	-	-	-	-	-	-	-	131	187	-	11,424	-	2,842	-	-	-	-	37
Laundry Equipment	-	-	-	-	-	2,805	-	-	-	-	13,088	-	-	-	-	2,805	-	-	-	-	-	-	-	-	-
Luminaires	-	-	-	-	66,392	-	-	-	-	-	337	-	-	-	-	-	-	-	-	-	-	-	-	93	66,392
Luminaires Wiring	-	-	-	-	19,632	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Main Switch & Distr. Panel	-	-	-	-	3,739	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Misc Power & Socket Wiring	-	-	-	-	8,227	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-

Pumps	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	3,365	-	
Radio/TV	-	-	-	254	3,272	-	-	-	-	-	-	-	-	-	-	-	-	-	3,272	-	-	-	-	-	-	-
Rainwater good	254	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	
Roofs	-	-	-	-	-	-	-	-	-	-	-	75	-	66	-	-	-	-	-	81,504	-	-	-	-	-	
Sanitary Fittings	-	1,981	-	-	698	583	-	-	-	377	253	-	-	-	-	1,038	-	330	-	-	9,292	253	2,566	-	-	
Security System	-	-	-	-	-	-	-	-	-	-	748	8,002	-	45	-	-	-	-	-	-	-	-	-	-	-	
Security Wiring	-	-	-	-	-	-	-	-	-	-	-	5,972	-	-	-	-	-	-	-	-	-	-	-	-	-	
Showers	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	
Soffit	204	-	-	-	-	634	151	-	1,736	-	445	15	151	174	-	430	4,322	15	174	-	-	445	15	174	-	
Stairs (Int.)	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	3,321	-	-	-	-	
Sub Distribution Boards	-	-	-	-	10,003	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	
Sub Main Cables	-	-	-	-	40,011	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	
Valves	-	-	-	-	-	-	-	41,507	-	-	-	-	-	-	-	-	-	93	-	-	-	-	41,507	-	-	
Walls (external)	8,774	792	-	226	453	370	-	-	-	-	370	-	-	-	-	370	-	-	3,804	1,449	2,634	6,883	792	226	453	
Walls (internal)	981	343	-	7,569	145	981	626	-	7,339	626	981	-	640	6,943	-	2,321	291	343	7,569	145	981	626	-	7,339	626	
Water heaters	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	10,003	
Windows	272	23	-	272	23	-	3,926	23	3,217	147	585	125	147	23	125	147	23	125	2,668	23	125	3,802	23	13,299	147	
Annual Total	12,357	5,475	0	10,370	339,758	23,069	9,382	45,110	21,753	23,176	31,844	16,467	25,935	23,325	34,397	11,745	7,400	23,933	15,691	27,265	110,736	23,022	100,473	78,750	140,902	
Cumulative Total	12,357	17,832	17,832	28,202	367,960	391,029	400,411	445,521	467,274	490,450	522,294	538,761	564,697	588,021	622,418	634,163	641,563	665,496	681,187	708,452	819,188	842,210	942,683	1,021,433	1,162,335	

These figures are current day values calculated using DCF techniques to give comparable current day values for each year.

4294967295 of 1

Information derived from Condition Survey as per the survey dates below		
Building surveyor	D. Reid	08/05/07
Mechanical surveyor	R. Fairbairn	19/09/06
Electrical surveyor	R. Fairbairn	19/09/06

25 Year Estimated Elemental Discounted Cashflow

Rotherham MBC Asset Management Services

Estimated Costs

This report is printed for Rotherham MBC, Rotherham North (03), Wingfield (21), SS028 - Treefield Close Adult Learning Centre, EXCLUDING WISH LIST ITEMS

(SS028) Treefield Close Adult Learning Centre

Element	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020	2021	2022	2023	2024	2025	2026	2027	2028	2029	2030	2031	2032	2033	2034	2035
Accessories	-	-	2,395	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	346	-	-	-
Boilers & Burners	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	7,666	-	-	-	-
Catering Equipment	-	-	-	-	-	-	-	1,963	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Ceilings	856	45	906	-	158	538	-	762	430	143	623	604	151	143	166	2,832	60	189	166	694	60	143	166	1,232	60
Chimney	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	509	-	-	-	-	-	-	-	-	-
Chimney/Flue	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	5,660	-	-	-	-
Clocks	-	-	56	-	-	56	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	56	-
Communications	-	-	-	-	-	344	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Control components	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	65	-	75	-	-	-	-
Control panel	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	1,395	-	-	-	-
Distribution Pipework	-	-	13,032	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	575	-	-	-	-
Doors (external)	-	60	-	-	-	-	-	60	-	-	-	-	60	-	-	755	-	-	-	-	3,739	-	-	-	-
Doors (internal)	423	-	-	-	-	1,147	-	-	-	472	2,321	-	-	-	60	7,256	-	-	-	60	1,087	-	-	-	60
Electric extractor units	-	-	561	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	561	-	561	-
Emergency Luminaires/Control	-	-	2,875	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	2,875	-
Emergency Wiring	-	-	1,916	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Extractor Fans	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	280	-	-	-	-	-	-
Fascia	45	-	-	-	-	91	-	-	-	-	906	-	-	-	-	91	-	-	-	-	91	-	-	-	-
Fire Alarm Accessories & Ctrl	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	4,682	-	-	-	-	-	-
Fire Alarm Wiring	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	1,533	-	-	-	-	-	-
Fire fighting equipment	-	-	-	-	-	-	-	-	-	533	-	-	187	-	206	-	-	-	-	187	-	-	187	-	346
Fittings	63	-	-	-	-	-	-	-	-	-	1,981	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Floors (finishes)	1,823	-	-	-	-	2,968	-	-	-	-	594	-	1,823	-	-	1,685	-	2,968	-	-	441	-	594	-	1,823
Floors (structural)	317	-	-	-	-	-	-	-	-	-	-	-	-	-	-	5,803	-	-	-	-	-	-	-	-	-
Handrails (external)	-	132	-	-	-	-	-	132	-	-	396	-	-	-	-	132	-	-	-	-	132	-	-	-	-
Hardstandings/Pavements	-	-	-	-	-	3,688	-	-	-	-	-	-	-	-	-	3,688	-	-	-	-	3,688	-	-	-	-
Heat Emitters	-	-	3,178	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	3,291	-	-	-	-	-	-
HWS Mixing Valves	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	192	-	-	-	-
Laundry Equipment	-	-	-	-	-	-	-	8,414	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-	-
Luminaires	-	-	6,923	-	-	-	-	-	-	-	841	-	-	-	-	-	-	-	-	-	-	-	1,402	6,923	-



Exempt Report  
Cabinet and Commissioners' Decision Making Meeting

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### Summary Sheet

#### Council Meeting:

Cabinet and Commissioners' Decision Making Meeting – 10 July 2017

#### Council Report:

Proposal for new council bungalows on Catherine Avenue, Swallownest and St Mary's Drive, Catcliffe

#### Is this a Key Decision and has it been included on the Forward Plan?

Yes

#### Strategic Director Approving Submission of the Report

Anne Marie Lubanski, Strategic Director of Adult Care and Housing

#### Report Author(s)

Liz Hunt, Affordable Housing Officer  
Elizabeth.Hunt@rotherham.gov.uk / 01709 334956

#### Wards Affected

Holderness Ward and Brinsworth & Catcliffe Ward

### Executive Summary

There is an immediate opportunity for the Council to build six bungalows on two Housing Revenue Account (HRA) owned sites. Grant funding is available, but approximately £323,500 would also be required from the HRA. The purpose of this report is to seek Cabinet's approval to allocate HRA resources to allow the project to progress, thus increasing the amount of homes suitable for older people in the Council's housing stock.

### Recommendations

1. That the use of £323,500 from Housing Revenue Account (HRA) capital resources to fund the development of four bungalows at Catherine Avenue, Swallownest and two bungalows at St Mary's Drive, Catcliffe be approved.
2. That the use of £230K of Affordable Housing commuted sums monies to part fund the scheme be approved.
3. That the use of £180K of grant funding from the Homes and Communities Agency's Shared Ownership and Affordable Homes Programme to part fund the scheme be approved.



4. That the Assistant Director of Housing and Neighbourhood Services be authorised to accept a Tender for the construction works and enter into a development contract with the successful construction company.

**Appendices**

Appendix 1 – Exempt information detailing financial implications.

**Background Papers**

None

**Consideration by any other Council Committee, Scrutiny or Advisory Panel**

No

**Council Approval Required**

Yes

**Exempt from the Press and Public**

Yes, exemption is requested under paragraph 3 (Information relating to the financial or business affairs of any particular person (including the authority holding that information)) of Part I of Schedule 12A of the Local Government Act, as it contains sensitive commercial information with regards to the Council's contracts.

## **Proposal for new council bungalows on Catherine Avenue, Swallownest and St Mary's Drive, Catcliffe**

### **1. Recommendations**

- 1.1 That the use of £323,500 from Housing Revenue Account (HRA) capital resources to fund the development of four bungalows at Catherine Avenue, Swallownest and two bungalows at St Mary's Drive, Catcliffe be approved.
- 1.2 That the use of £230K of Affordable Housing commuted sums monies to part fund the scheme be approved.
- 1.3 That the use of £180K of grant funding from the Homes and Communities Agency's Shared Ownership and Affordable Homes Programme to part fund the scheme be approved.
- 1.4 That the Assistant Director of Housing and Neighbourhood Services be authorised to accept a Tender for the construction works and enter into a development contract with the successful construction company.

### **2. Background**

- 2.1 The Housing Revenue Account (HRA) Housing Growth Programme enables the Council to purchase or build new properties to replace council homes lost through the Right to Buy, and maintain affordable housing stock levels in the borough. To date, 93 properties have been purchased through this programme. The Council will continue to submit bids to developers to purchase Section 106 planning gain units but will also look to deliver more council homes via direct building.
- 2.2 There is an immediate opportunity for the Council to build six bungalows on two HRA owned sites. Grant funding is available but approximately £323,500 would also be required from the HRA Housing Growth Programme, and the purpose of this report is to seek Cabinet's approval to allocate HRA resources to allow the project to progress.
- 2.3 Arches Housing Association were originally due to build the bungalows on these sites (two x two bedroom bungalows and two x one bedroom bungalows at Catherine Avenue, plus two x two bedroom bungalows at St Mary's Drive). Arches had secured a grant allocation from the Homes and Communities Agency (HCA) under the 2015/18 Affordable Housing Programme. They commissioned the design of the bungalows and obtained planning permission for the schemes in March 2015 under RB2014/1651 (Catherine Avenue) and RB2014/1653 (St Mary's Drive). However, Arches decided not to proceed due to the relatively high cost of building on small infill sites, and high site abnormal costs. The 1% reduction to social rents for four years imposed by the Government in 2015 has made the schemes unviable for Arches Housing Association.

- 2.4 In February 2017 the Council purchased the planning permissions and intellectual property (including scheme designs, site investigation survey works, working drawings etc) from Arches Housing. The purchase price was £40,051.44. The total cost of building the six bungalows (including the purchase of intellectual property) is estimated as £773,500.
- 2.5 Grant funding is available for the Council to part fund this project. The Council was awarded £6.8m from the HCA's Shared Ownership and Affordable Homes Programme (SOAHP) which can contribute a maximum of £180K (£30K per unit) to the build costs. Due to the requirements of SOAHP, the first homes must be started in August 2017.
- 2.6 Additionally, the Council can use Affordable Housing Commuted Sums to part fund the developments costs. Commuted sums are paid by a Developer in lieu of on-site delivery of affordable housing. The Council is empowered to accept or decline such payments for Section 106 under the Town and Country Planning Act (1990). The purpose of these payments is to facilitate off-site provision of affordable housing to meet identified housing need that would have been provided on-site, had a commuted sum not been agreed. Funds received in the form of a commuted sum are for the specific purpose of facilitating additional affordable housing in the borough. They cannot be used on existing affordable or social housing. There may be additional specific conditions within the Section 106 agreements which determine in which localities they can be used. If commuted sums are not discharged within five years of being paid to the Council they can be reclaimed with interest by the Developer and the opportunity to enable more new affordable housing is lost. The Council currently holds £230,000 of commuted sum monies which can be discharged against these bungalows.
- 2.7 The remaining £323,500 could be accommodated within the HRA Housing Growth Programme (in addition to the £40K already paid from the HRA).
- 2.8 There is a generally high demand for Council bungalows in Rotherham. A report presented to Cabinet in April 2017 (update on specialist housing) set out the reasons for increasing the number of homes that are suitable for adults with support needs. Data shows a healthy demand for council bungalows in Swallownest / Aston and Catcliffe.
- 2.9 The bungalows will be allocated in line with the Council's adopted allocations policy. They will meet the strategic objectives of the emerging older peoples' housing agenda. Any client-led specific adaptations will be incorporated into the build process.
- 2.10 Due to the challenging target (under the SOAHP) to start on site in August 2017, the procurement process has already commenced. Under the Yorbuild framework, tenders can be issued ahead of the final Cabinet approval. Framework contractors understand that they are working at risk and that a contract may not be issued should the report not be approved by Cabinet. There is no financial risk to the Council.

### **3. Key Issues**

- 3.1 The Council is committed to providing new social rented homes to replace those lost through the Right to Buy. This is highlighted in the Housing Strategy 2016-19: Theme 2 – Social Housing – “Ensuring affordable rented / social housing is available for those who can’t afford to or don’t want to buy a home”.
- 3.2 The advantages for the Council in building these bungalows are:
- Good value for money in terms of HRA expenditure per unit
  - Brand new homes with lower maintenance costs and high energy efficiency standards
  - Located on new housing estates often in high demand areas where the Council has lower levels of housing stock
  - Helps to meet the sustainable communities agenda and provides suitable housing for both general needs and an ageing population
  - Contributes towards the Council’s overall housing growth target of at least 900 new homes per annum
- 3.3 There are regeneration and economic benefits to delivering new housing in Rotherham as, for every home built 2.4 jobs are created (source LGA), and every £1m spent on new housing provides work for 19.9 workers for a year (source DCLG), in addition to the New Homes Bonus and council tax income generated.

### **4. Options Considered and Recommended Proposal**

- 4.1 Option 1: Not to pursue the option of building these bungalows. This would be a lost opportunity to the Council to build much needed homes for older people. With the additional resources of HCA grant funding and Commuted Sums the cost to HRA finances is reduced and the units represent good value for money in terms of HRA expenditure. This option is not recommended.
- 4.2. Option 2: Ask a different Registered Provider to develop the bungalows. Informal discussions with other providers show that they do not have an appetite to build out these units. Therefore the opportunity to bring in grant funding and discharge commuted sums would be lost. This option is not recommended.
- 4.3 Option 3: Sell the sites on the open market with the benefit of planning permission. The Council’s Asset Management Service estimated the value of the sites without planning permission to be £50K for Catherine Avenue and £25k for St Mary’s Drive. Granting of planning permission does lead to an uplift in land values but the sites are small and there are development constraints. Market evidence shows that with the planning permission, the value of the sites is £72K for Catherine Avenue and £40K for St Mary’s Drive (a total increase of £37K). Selling the sites would provide a receipt for the HRA but there are very few suitable Council land resources to develop in these locations and again selling the sites would mean a lost opportunity to provide much needed accommodation for older people. This option is not recommended.

4.4 The preferred option is therefore for the Council to allocate HRA resources and build the bungalows directly, as per the recommendations of this report.

## **5. Consultation**

5.1 Internal consultation and Cabinet Member consultation took place during May.

5.2 Consultation carried out during 2014 and 2015 as part of the Council's Strategic Housing Market Assessment and Housing Strategy showed that more housing is needed that is suitable for older people with support needs.

## **6. Timetable and Accountability for implementing this Decision**

6.1 A procurement process has commenced to ensure that if Cabinet approves this proposal, the target start on site date (August 2017) can be achieved. The milestones are as follows:

- w/c 15/05/2017 – send out contracts
- 13/06/17 – return of tenders
- 14/06/17 to 20/06/17 - open tenders and evaluate
- July 2017 - subject to Cabinet approval and call-in period - inform successful contractor and enter into legal agreements
- 18/08/17 – start on site (see risks section)

6.2 The build period will be approximately 42 weeks and the units should be completed by June 2018. The Council's Affordable Housing Officer will have responsibility for implementing the decision.

6.3 Progress will be overseen by the Housing and Regeneration Programme Delivery Officers Group, which reports to the Housing and Regeneration Programme Delivery Board.

## **7. Financial and Procurement Implications**

7.1 These are detailed within the exempt appendix to the report.

## **8. Legal Implications**

8.1. The Council's Legal Services will undertake the legal process to enter into contract with a build partner. The Council will own the units and they will be added into the Council's stock.

## **9. Human Resources Implications**

9.1. There are no human resources implications arising from this report.

## **10. Implications for Children and Young People and Vulnerable Adults**

10.1 The new bungalows will add to the Council's stock that is suitable for the needs of older people, therefore this acquisition will contribute to helping people to live independently for longer.

## **11 Equalities and Human Rights Implications**

11.1 There are no equalities or human rights implications arising from this report.

## **12. Implications for Partners and Other Directorates**

12.1 There are no significant implications for partners, since there was no demand from housing associations to develop these bungalows. The provision of homes that are suitable for older adults with support needs may result in savings on adult social care expenditure as people are less likely to require residential / nursing care if their accommodation and care / support package (where necessary) can meet their needs, enabling them to continue to live independently.

## **13. Risks and Mitigation**

13.1 The main risk is that Council may not achieve a start on site by 18th August 2017. This has been mitigated by commencing procurement processes ahead of the Cabinet decision (with no financial risk to the Council if approval is not granted). The period of time between the Cabinet meeting and the start on site deadline is still short, however, a 'start on site' can be effected by entering into contract with the build partner and erecting signs, which is achievable.

13.2 HRA capital resources for housing growth are limited, and a number of other HRA housing growth opportunities have been identified in the housing growth plan. It will be necessary to prioritise key projects to ensure the Council can meet commitments already made within the strategic acquisitions programme, deliver the Capital Programme, and maintain the minimum level of reserves within the 30 year HRA business plan. The HRA business plan will be reviewed and reported to Cabinet separately. By bringing this report, requesting approximately £323,500 of HRA resources, in advance of the wider review of priorities, it is acknowledged that this may be at the expense of other projects.

13.2. Under current legislation tenants will be permitted to purchase these homes under the Right to Buy process. However they cannot be sold for less than the "cost floor" which is all the Council's financial outlay (including HCA grant funding, Commuted Sums monies and internal fees) to build the units, irrespective of the amount of discount a tenant can claim. Therefore the Council's total investment is protected.

## **14. Accountable Officer(s)**

Tom Bell, Assistant Director of Housing & Neighbourhoods.

By virtue of paragraph(s) 3 of Part 1 of Schedule 12A  
of the Local Government Act 1972.

Document is Restricted

Cabinet and Commissioners' Decision Making Meeting – 10 July 2017

### **Pre-Decision Scrutiny Recommendations**

**Is this a Key Decision and has it been included on the Forward Plan?**

No

**Strategic Director Approving Submission of the Report**

Assistant Chief Executive

### **Report Author(s)**

James McLaughlin, Democratic Services Manager and Statutory Scrutiny Officer  
01709 822477 or james.mclaughlin@rotherham.gov.uk

### **Ward(s) Affected**

All wards

### **Summary**

- 1.1 Following the Governance Review in 2015, the Council has adopted a system of pre-decision scrutiny for non-executive members to review and influence recommendations being made to the Cabinet and Commissioners in the exercise of their executive functions.
- 1.2 Overview and Scrutiny Management Board met on 5 July 2017 to scrutinise the following four reports which would be considered at the Cabinet and Commissioners' Decision Making Meetings on 10 July 2017.
  - 2016/17 Budget Outturn Report
  - May 2017/18 Financial Monitoring Report
  - Site Cluster II
  - Outcome of the consultation and recommendations on the Learning Disability Offer and the future of in house services for Adults with a Learning Disability and/or Autism
- 1.3 Improving Lives Select Commission met on 4 July to scrutinise the following two reports, which would be considered at the Cabinet and Commissioners' Decision Making Meeting on 10 July 2017:-
  - Personal Budget and Resource Allocation System for Disabled Children
  - Early Help: Phase 2



- 1.3 Having reviewed the papers and the recommendations, the Board and Select Commission resolved as follows in respect of each item:-

Item	Resolutions
2016/17 Budget Outturn Report	<p><b>Resolved:-</b></p> <ol style="list-style-type: none"> <li>1. That Cabinet be advised that the recommendations be supported.</li> <li>2. That Cabinet be provided further detail on the issues in identifying suitable sites and necessary delays to the District Housing Schemes over the winter months leading to budget not being fully utilised.</li> <li>3. That Cabinet be provided with further detail on the issues relating to the delays to works at the Dropping Well landfill site.</li> </ol>
May 2017/18 Financial Monitoring Report	<ol style="list-style-type: none"> <li>1. That Cabinet be advised that the recommendations be supported.</li> <li>2. That bi-monthly budget monitoring reports for Adult Care &amp; Housing and Children &amp; Young People's Services be submitted to Overview and Scrutiny Management Board for review, commencing with Adult Care &amp; Housing in September 2017.</li> <li>3. That a report from the Strategic Director of Children &amp; Young People's Services on Higher Block Funding be submitted to Overview and Scrutiny Management Board in December 2017.</li> </ol>
Site Cluster II	<ol style="list-style-type: none"> <li>1. That Cabinet be advised that the recommendations be supported.</li> </ol>
Outcome of the consultation and recommendations on the Learning Disability Offer and the future of in house services for Adults with a Learning Disability and/or Autism	<ol style="list-style-type: none"> <li>1. That Cabinet be advised that the recommendations be supported.</li> <li>2. That a further report be submitted to Overview and Scrutiny Management Board on the additional costings associated with the proposals.</li> <li>3. That, following the conclusion of the consultation, the proposals be submitted to Overview and Scrutiny Management Board for review before final determination by Cabinet.</li> <li>4. That ongoing scrutiny of the implementation of the proposals be undertaken by the Health Select Commission.</li> </ol>

Item	Resolutions
Personal Budget and Resource Allocation System for Disabled Children	<ol style="list-style-type: none"> <li>1. That Cabinet be advised that the recommendations be supported.</li> <li>2. That further work be undertaken to ensure that the 'voice of the child' is captured in the ongoing monitoring of the implementation of the RAS</li> </ol>
Early Help: Phase 2	<ol style="list-style-type: none"> <li>1. That Cabinet be advised that the recommendations be supported.</li> <li>2. That Improving Lives Select Commission be involved in pre-decision scrutiny of the proposals at an early stage</li> </ol>

### Recommendation

That Cabinet and Commissioners have regard to the views of the Overview and Scrutiny Management Board when making decisions in respect of the above matters.

### List of Appendices Included

None

### Background Papers

Minutes of Overview and Scrutiny Management Board – 5 July 2017

Minutes of Improving Lives Select Commission – 4 July 2017