



# CABINET AND COMMISSIONERS' DECISION MAKING MEETING

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**Monday, 10 April 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

**Rotherham**  
Metropolitan  
Borough Council 

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

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

**Date:** Monday, 10th April, 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 13 March 2017 (Pages 1 - 8)**

To receive the record of proceedings of the Cabinet and Commissioners' Decision Making Meeting held on 13 March 2017.

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

If necessary at the appropriate point on the agenda, the Chair will 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 of business on the grounds that it involves 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.

## **DECISIONS FOR CABINET**

### **6. Rotherham Plan (Pages 9 - 29)**

Report of the Chief Executive

Cabinet Member: Councillor Read

Commissioner: Kenny (in advisory role)

Recommendations:

That the Rotherham Plan be endorsed and consideration be given to the Council's role in ensuring its effective delivery, including the relationship with the Council Plan for 2017-20.

### **7. February 16/17 Revenue Budget Monitoring Report (Pages 30 - 54)**

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 2016/17 forecast overspend of £2.017m after the allocation of additional in year budget and that the Council anticipates a balanced outturn position will be achieved through a combination of continued management actions, use of in-year capital receipts and capitalisation of highways spend. (Paragraphs 3.2 -3.3)
2. Notes that a detailed Dedicated Schools Grant (DSG) High Needs Sufficiency Strategy and Financial Plan to address the remaining deficit and future level of service provision were discussed and consulted upon at the 17<sup>h</sup> March 2017 Schools Forum meeting. (Paragraph 3.15).
3. Notes the approved capital programme is forecast to underspend by £9.038m in 2016/17. Underspends in the Children & Young People's Service, Regeneration & Environment and Finance and Customer Services Directorates will in the majority of cases be re-profiled into 2017/18, however the underspend in the Adult Care & Housing Directorate is the result of changes to Government policy leading to a reduction in available funding which has required a review of HRA investment. (Paragraph 3.40)

**8. Non Domestic Rates Relief – Revised Reliefs (Pages 55 - 61)**

Report of the Strategic Director of Finance and Customer Services

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

Recommendations:

1. That discretionary relief powers be used to award 100% relief to rural ratepayers with effect from 1 April 2017.
2. That a temporary discount be awarded to eligible local newspapers for the 2017-18 and 2018-19 years, subject to State Aid rules.
3. That, pending confirmation in legislation, the Government's intention to allow 100% relief for Telecom fibre optic infrastructure from April 2017 be noted.

**9. Review of Petitions Scheme (Pages 62 - 82)**

Report of the Assistant Chief Executive

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

Recommendations:

1. That the existing Petitions Scheme be replaced with guidance on petitions (as set out in Appendix B)
2. That a log of petitions be maintained on the Council's website detailing the nature of the petition, the directorate referred to, the response provided to the lead petitioner and the action taken.
3. That a period of up to 15 minutes be allocated at the beginning of Council meetings for members of the public to formally present their petitions to the Mayor.
4. That associated constitutional changes be incorporated within the wider review of Standing Orders being undertaken by the Association of Democratic Services Officers.



**10. Update on the Delivery of Specialist Housing (Pages 83 - 98)**

Report of the Strategic Director of Adult Care and Housing

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

Recommendation:

That the revisions to the strategic objectives and action plan within the Housing Strategy 2016-19, included at appendix 1, be approved.

**11. Munsborough Tender Report (Pages 99 - 107)**

Report of the Strategic Director of Adult Care and Housing

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

Recommendations:

1. That the tender submitted by Geo Houlton & Sons Ltd, dated 23rd December 2016 (see Appendix A) be accepted and approved.
2. That an increase to the budget, as detailed in Appendix B, be approved.

**12. Application from Maltby Town Council to start the process of developing a Neighbourhood Plan (Pages 108 - 113)**

Report of the Strategic Director of Regeneration and Environment

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

Recommendations:

1. That the neighbourhood area application from Maltby Town Council as the relevant neighbourhood planning body be approved.
2. That the Parish of Maltby be designated as a Neighbourhood Area.

**13. Community Occupational Therapy Services - Extension to Contract (Pages 114 - 125)**

Report of the Strategic Director of Adult Care and Housing

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

Recommendations:

1. That the Clinical Commissioning Group be designated as Lead Commissioner for the Community Occupational Therapy Service.
2. That the proposal to extend the contract for the Community Occupational Therapy Service for a period of up to 12 months from the 1 April 2017, for the reasons identified in Section 3 of this document, be noted.

**14. Review of Neighbourhood Working (Pages 126 - 142)**

Report of the Strategic Director of Adult Care and Housing

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

Recommendations:

1. That the recommendations for a new model of Neighbourhood Working be approved.
2. That the removal of the current Area Assembly governance framework be agreed.
3. That the dissolution of the Area Assembly coordinating Groups be agreed.
4. That approval be given to the approach for each ward to be able to locally agree how to conduct citizen engagement in a flexible and innovative manner. Wards can still choose to hold meetings e.g. in response to specific issues and can tailor the approach to best engage their citizens.
5. That flexible clustering to allow wards to work together based on geography and common interest, where needed, be approved.
6. That a quarterly update from each ward be submitted to the portfolio Cabinet Member for Neighbourhood Working and Cultural Services to provide oversight across the Borough.
7. That a requirement be introduced for ward plans to be produced and to publish outlining ward priorities and activities aligned to the Corporate Plan.

8. That a requirement be introduced for place profiles to be developed for each of the 21 wards detailing the demographics and community assets of the area; to be piloted in 4 wards.
9. That the Community Leadership Fund of £1,000 per elected member be continued, but be spent in line with ward plan priorities.
10. That the £30,000 currently allocated for Area Assembly Chairs from the Community Engagement budget in 2017/18 be distributed evenly to all 21 wards, which will equate to £1,428 per ward and that this budget be reviewed as part of the overall corporate budget setting process for 2018/19.
11. That Council be recommended to add £210k to the Capital Programme in 2017/18, to be funded from capital receipts, and that this budget be reviewed as part of the overall corporate budget setting process for 2018/19.
12. That £10,000 capital investment funding be allocated to each ward from the £210k total allocation and that utilisation of this be determined by ward priorities.
13. That decision making be delegated to wards with spend approved by the Assistant Director of Housing and Neighbourhood Services.
14. That officers be required to explore the potential to provide support to members to secure additional funding both internally and externally.
15. That an Annual Report on Neighbourhood Working be submitted to both the Improving Places Select Commission (IPSC) and Council.
16. That approval be given to a 12 month transitional plan to phase-in the new neighbourhood approach.
17. That the review of staffing structure supporting neighbourhood working be noted and decisions arising from the review be taken under existing delegated powers.
18. That the Council be recommended to amend the Constitution to:
  - Remove the reference to area assemblies in the heading of Part III of the Constitution and delete Article 12 of the Constitution [Area assemblies and area assembly co-ordinating groups]
  - Remove references to Area Assemblies and Area Assembly Co-ordinating Groups from the Executive Procedure Rules
  - Delete Rule 16(6),(7) and (8) [Conflicts of interest – membership of area assembly co-ordinating groups and overview and scrutiny committee] and references to “Chairs of Area Assemblies” and all other references to “area assemblies” in the Overview and Scrutiny Procedure Rules

- Delete references to area committees in the Access to Information Procedure Rules
- Delete references to area committees and area assembly coordinating groups in the Standing Orders.
- Delete references to area committees in the Code of Conduct for Members and Co-opted Members
- Delete the reference to Chair of Area Assembly in the Members' Allowances Scheme
- Remove references to area assemblies from the Scheme of Delegation for Members and Officers

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

**SHARON KEMP,**  
Chief Executive.

**CABINET/COMMISSIONERS'  
DECISION MAKING MEETING  
Monday, 13th March, 2017**

Present:- Councillor Read (in the Chair); Commissioner Sir Derek Myers, Commissioner Julie Kenny, Councillors Alam, Beck, Hoddinott, Lelliott, Roche, Watson and Yasseen.

Also in attendance was Councillor Steele, Chairman of the Overview and Scrutiny Management Board, along with Councillors Cowles and B. Cutts.

Apologies for absence were received from Commissioner Bradwell and Commissioner Ney.

**181. DECLARATIONS OF INTEREST**

There were no Declarations of Interest to report.

**182. QUESTIONS FROM MEMBERS OF THE PUBLIC**

There were no questions from members of the public.

**183. MINUTES OF THE PREVIOUS MEETING HELD ON 13 FEBRUARY 2017**

**Resolved:-** That the minutes of the Cabinet and Commissioners' Decision Making Meeting held on 13<sup>th</sup> February, 2017, be agreed as a true and correct record of the proceedings.

**184. TOWN CENTRE REGENERATION - STRATEGIC ACQUISITION OF THE FORMER ROTHERHAM MAGISTRATES COURTS**

Consideration was given to a report which sought approval for the acquisition of the former Magistrates Court building in Rotherham from Her Majesty's Court and Tribunal Service (HMCTS) in order to support the Council's strategic objectives for the regeneration of the town centre.

The Homes and Community Agency (HCA) dealing with the building on behalf of HMCS notified the Council it would be willing to transfer the ownership of the building to the Council, at a £1 consideration, so long as the transfer was complete by the 31<sup>st</sup> March, 2017.

The site of the Magistrates Court formed part of a much larger development opportunity which included Forge Island, the Weirside site and Riverside Precinct. The emerging Town Centre masterplan identified this larger strategic site as an opportunity for the Council to transform this part of town and it was for this reason that Option 1, of three options, was proposed and would allow for the delegation to the Strategic Director of Regeneration and Environment should it be considered necessary for the

building to be demolished.

**Commissioner Kenny stressed the regeneration importance of this site and agreed:-**

1. That the acquisition of the former Rotherham Magistrates Courts under the terms detailed in this report be approved
2. That the option to demolish the building be delegated to the Strategic Director of Regeneration and Environment, in consultation with the Cabinet Member for Jobs and the Local Economy and Commissioner Kenny.
3. That the Assistant Director of Legal Services be authorised to negotiate and complete the necessary legal documentation to enable the transfer of the building.
4. That funding for the costs associated with the acquisition of the building and the potential demolition be taken from the approved £17m town centre allocation in the Capital Strategy 2016-2021.

**185. PROPERTY DISPOSAL SCHEDULE**

Consideration was given to the report which sought approval for the disposal of a number of low value property assets namely 52 Allendale Road, Rotherham and garden land sale at 44 Danby Road, Kiveton Park,

Further information was provided on each of the property assets, key issues and the options for consideration.

**Commissioner Kenny agreed:-**

1. That the disposal of the property assets detailed in this report be approved.
2. That the Assistant Director of Planning, Regeneration and Transport be authorised to negotiate the disposal of the assets using the appropriate method.
3. That the Assistant Director of Legal Services completes the necessary legal documentation for the disposal of the assets.

**186. SPECIAL EDUCATIONAL NEEDS AND DISABILITY (SEND) TARGETED CAPITAL FUNDING**

Pursuant to Minute No. 66 of the meeting of the Cabinet and Commissioners held on 11<sup>th</sup> April, 2016 consideration was given to the report which detailed the direction of travel for this funding and requested authorisation for the release of some smaller amounts to support the work that has already begun.

£500,000 had been allocated from the CYPS Capital Programme 2016/17 and approved to be spent to improve the buildings for the provision of services to children with Special Educational Needs and Disability (SEND). Having completed an initial consultative sufficiency study areas had been identified for immediate development. Further work on the sufficiency of provision for the future was already commissioned and would report in April, 2017.

**Resolved:-**

1. That up to £90,000 be released to the Social, Emotional and Mental Health (SEMH) Partnerships (up to £30,000 to each of three partnerships in the secondary sector).
2. That up to £90,000 be released to the SEMH Partnerships (£30,000 to each of three partnerships in the primary sector).
3. That it be noted that the funding will be taken from the approved £500,000 capital programme allocation for the SEND provision.

**187. PROPOSAL TO INCREASE CAPACITY AT WATH COMPREHENSIVE SCHOOL**

Consideration was given to the report which sought approval to increase capacity at Wath Comprehensive School to accommodate the current and future demand for places, subject to a successful planning application and would increase numbers to an additional thirty students for each year group.

The school had experienced a significant increase in pupil numbers in recent years and remained both successful and popular. The school was currently oversubscribed and the trend was set to continue in future years, but with effective planning student places would be allocated where needed and continue the trend of 94% of pupils achieving their first choice of school. Appendix 1 detailed current pupil numbers and capacity at the school.

**Resolved:-**

1. That subject to a successful planning application, approval be granted to the proposal to increase capacity at Wath Comprehensive School by the installation of additional teaching and learning spaces to increase capacity by 150 places to accommodate current and future pupil numbers.
2. That £1.3m of the £2.5m earmarked funding for increasing secondary school places in the Borough in 2017/18 approved by the Cabinet/Commissioners Decision Making Meeting of the 11<sup>th</sup> April 2016, be allocated to fund the proposed project at Wath

Comprehensive School and that this expenditure be re-profiled into 2018/19 to reflect the construction programme for this project.

#### **188. GENERAL ENFORCEMENT POLICY - MINOR AMENDMENTS**

Consideration was given to the report which referred to the adopted General Enforcement Policy.

Following work to strengthen the Council's enforcement functions, the General Enforcement Policy had been reviewed in order to ensure that the Policy remained up-to-date.

This report, therefore, requested the approval of a number of minor amendments within the Policy which, together with enhanced clarity, reflected the Council's progress since the review and update of 2016 and referred to:-

Update 1: Structural Changes

Update 2: Restoration of Licensing powers to the Council

Update 3: Clarification of the flexibility contained within the Regulator's Code which allowed officers to vary from the Policy and enforce at a later date.

**Resolved:-** That the suggested amendments to strengthen the Council's General Enforcement Policy made at 4.2, 4.3 and 4.4 of this report be approved for adoption.

#### **189. REGENERATION AND ENVIRONMENT FEES AND CHARGES**

Consideration was given to a report which detailed the proposed fees and charges for the Regeneration and Environment Directorate for 2017/18 and beyond and were reflected in the budget savings proposals included in the Council's Budget and Council Tax setting report, which were approved by Council on the 8<sup>th</sup> March, 2017.

The charges for each service within Regeneration and Environment were presented in Appendices 1 – 9. Where no increases were proposed to charges in 2017/18, charges would remain at the amounts approved by Cabinet and Commissioners' Decision Making Meeting on the 14<sup>th</sup> March, 2016. Within the proposed fees and charges, the following changes were specifically highlighted:-

- **Planning and Building Control Service** – proposals to introduce a new charge for property addressing.
- **Leisure and Green Spaces** - Fees and charges have been reviewed in the context of the known demand for individual services. As a result, a number of charges have been held at existing levels and others have been increased by at least the rate of inflation. Charges are applied for the 2017/18 financial year; however, there



are several exceptions to this:-

- Charges for Wedding Packages in Clifton Park for 2017/18 and 2018/19.
  - Car parking tariff at Clifton Park for over 3 hours during the summer and for the remainder of the year have been increased to reflect demand for this service.
  - Allotment rents giving tenants twelve months' notice of any increase.
- **Building Regulation Charges** – Building Control Application Fees have been reviewed and were proposed to be increased for the first time since April 2014.
  - **Market Service and Borough Fairs Charges** – Market Service charges have been, but it was recommended that rents for the Centenary Market Hall remain frozen for 2017, to ensure that the Market Service remains competitive and attractive to new businesses. However, an increase of £2.10 (10.6%) for Tuesday Street Market Casual Traders was proposed, to reflect the popularity of this market. In addition, in respect of Borough Fairs Charges, Appendix 4b, a 5% increase was proposed, to reflect the fact that charges have been frozen in recent years.
  - **Community Protection Charges** – Changes to the Housing Licensing fee structure were made in 2016/17. With the exception of charges for Houses in Multiple Occupation (HMO), which would increase by 1% to reflect salary cost increases, it was not proposed to increase any of the other charges in this area.

Consultation Fees would be at the appropriate hourly rate for the officer carrying out the work.

- **Library, Customer Services, Theatre Services and Heritage Services** - Heritage Services' charges would largely remain static in order to improve take up of these services.

Registration Services were able to set fees on a cost recovery only basis, for any non-statutory services they delivered and an increase was proposed from 1<sup>st</sup> April 2017.

No changes to fees and charges proposed for Library and Customer Services.

Theatre Services' fees and charges applied to theatre hire, equipment hire, specialist additional staffing support and ticketing, but negotiation of professional contracts would continue, with a £1 ticket fee for professional show bookings, to recover administration costs.

- **Commercial Waste Charges** – Proposed to increase commercial waste charges by 2.5%.
- **Business Regulation Charges** - Proposed that the fees for 2017/18 were increased in line with the 1% increase in staffing costs across the service.
- **Pest Control Fees** – The proposed fees have been set and were across a range of pest control.

It was suggested that officers be given flexibility on prices charged in respect of areas of commercial activity, to allow the Council to retain and attract business, where necessary, and include promotional discounts and negotiate individual charges to meet the needs of the business.

It was also noted there were no proposals to increase fees and charges for Highways Services, Parking Services, Licensing and for the hiring of directly managed community buildings. A review of these charges would be undertaken in 2017/18 and proposals for 2018/19 brought forward in due course.

This report was considered by the Overview and Scrutiny Management Board at its meeting on the 3<sup>rd</sup> March, 2017 and was supportive of the recommendations to Cabinet. It was also requested that a report detailing progress in respect of full cost recovery be submitted to the Board in September, 2017.

**Resolved:-**

1. That the following be approved:-
  - Fees and charges for the Planning and Building Control Service as set out in Appendix 1.
  - Fees and charges for Leisure and Green Spaces as set out in Appendix 2.
  - Building Regulation charges as set out in Appendix 3.
  - Market Service and Borough Fairs Charges as set out in Appendix 4.
  - Community Protection charges as set out in Appendix 5.
  - Library, Customer Services, Theatre Services and Heritage Service charges as set out in Appendix 6.
  - Commercial Waste charges as set out in Appendix 7.
  - Business Regulation charges as set out in Appendix 8.
  - Pest Control charges as set out in Appendix 9
2. That, subject to the approval of the Strategic Director of Regeneration and Environment or the appropriate Assistant Director within Regeneration and Environment, officers be given flexibility on prices charged in respect of areas of commercial activity, to allow the Council to retain and attract business where necessary.

3. That, subject to the approval of the Strategic Director of Regeneration and Environment or the appropriate Assistant Director within Regeneration and Environment, officers be given flexibility to introduce promotional discounts and negotiate individual charges to meet the needs of the business.
4. That a report detailing progress in respect of full cost recovery be submitted to the Overview Scrutiny Management Board in September, 2017.

**190. FINANCIAL INCLUSION PLAN FOR ROTHERHAM COUNCIL TENANTS**

Consideration was given to the report which sought authority to approve the Financial Inclusion Plan for Council tenants given that there were a significant number of Rotherham Council tenants who did not have a bank account and financially excluded.

There were many barriers which prevented access to basic financial services and this plan aimed to remove those barriers, support people to become more independent and to take control of their own finances. It was evident that by improving financial capability and confidence this would contribute to reducing poverty, improving health and educational attainment as well as increasing skills and employability.

The plan would not stand alone to deliver solutions, but recognised that a co-ordinated approach bringing Council services, partners and agencies together would be more cost effective and achieve greater success in providing tenants and residents with the support required to enable them to access the benefits basic financial services could provide.

The plan would be implemented by housing staff in the remodelled Housing Income Team and Council Housing Allocation Officers.

Following further development of the corporate approach to tackling poverty it was intended to learn from implementation of the tenants Financial Inclusion Plan and where appropriate align resources and offer services irrespective of tenure.

This report was considered by the Overview and Scrutiny Management Board at its meeting on the 3rd March, 2017 and whilst was supportive of the recommendations to Cabinet some questions were raised over the sustainability of the plan if costs and rent arrears continued to increase and rental income declined. On this basis it was requested the Improving Places Select Commission monitor the implementation of the scheme.

Questions were also asked of the financial responsibility work with credit unions and confirmation received that work was already taking place to access to banking services.

**Resolved:-** That the Financial Inclusion Plan for Housing be approved for the period 2017 to 2020.

**191. STRATEGIC ACQUISITIONS, QUEENS AVENUE, KIVETON PARK**

Consideration was given to the report which sought approval to purchase nine x 2 bedroom houses and three x 2 bedroom bungalows at Kiveton Park from Redmile Homes. These properties were Section 106 planning gain units and would be purchased by the Council at approximately 58% of the open market value.

The forecasted completion dates were August 2017 for the houses and spring 2018 for the three bungalows. There was evidenced demand for both houses and bungalows in this location and resources were available in the Strategic Acquisitions budget.

This was part of an ongoing programme of acquisition of new Council homes to replace properties sold under "Right to Buy" and maintained stock levels.

**Resolved:-** That the purchase of twelve homes at Queens Avenue/Carlton Gate Drive, Kiveton Park from Redmile Homes, using the Housing Revenue Account Strategic Acquisition budget be approved.

**192. EXCLUSION OF THE PRESS AND PUBLIC**

**Resolved:-** That under section 100(A) of the Local Government Act 1972, the Public be excluded from the meeting for the following item on the grounds that it involves the likely disclosure of exempt information as defined in Paragraph 3 of Part 1 of schedule 12(A) of such Act indicated, as now amended by the Local Government (Access to information) (Variation) Order 2006.

**193. RATES RELIEF FOR POTENTIAL COMPANY INVESTMENT**

Consideration was given to the report which set out in detail an application for rates relief, under Section 69 of the Localism Act 2011, for a new potential investor to the borough.

**Resolved:-** That a six month relief from business rates payments in the second year of occupancy, subject to the creation of 50 FTE posts in year one, be approved.

Public Report  
Cabinet and Commissioners' Decision Making Meeting

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## Summary Sheet

### Council Report

Cabinet and Commissioner Decision Making Meeting – 10 April 2017

### Title

Rotherham Plan

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

No

### Strategic Director Approving Submission of the Report

Sharon Kemp, Chief Executive

### Report Author

Michael Holmes, Policy and Partnership Officer

### Ward(s) Affected

All

### Executive Summary

The Rotherham Plan has been developed as Rotherham Together Partnership's (RTP) long-term strategy for the borough. It provides a framework for partners' joint efforts to create a borough that is better for everyone who wants to live, work, invest or visit here.

The plan is based around five "game changers": *building stronger communities, skills and employment, integrated health and social care, a place to be proud of and the town centre.*

RTP's supporting theme boards – the Health and Wellbeing Board, Business Growth Board, Children and Young People's Partnership and Safer Rotherham Partnership - will be central to its successful implementation. A reporting framework is being put in place to dovetail with theme boards' existing performance management arrangements.

### Recommendation

That the Rotherham Plan be endorsed and consideration be given to the Council's role in ensuring its effective delivery, including the relationship with the Council Plan for 2017-20.

### List of Appendices Included

The Rotherham Plan 2025

**Background Papers**

None

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

No

**Council Approval Required**

No

**Exempt from the Press and Public**

No

## **Rotherham Plan**

### **1. Recommendations**

- 1.1 That the Rotherham Plan be endorsed and consideration be given to the Council's role in ensuring its effective delivery, including the relationship with the Council Plan for 2017-20.

### **2. Background**

- 2.1 The Rotherham Plan has been developed as Rotherham Together Partnership's (RTP) long-term strategy for the borough. It provides a framework for partners' joint efforts to create a borough that is better for everyone who wants to live, work, invest or visit here.
- 2.2 The plan is informed by the extensive *Views from Rotherham* consultation programme carried out in 2015 and ongoing engagement since. It also draws on the themes of RTP's initial annual plan for 2016/17; emphasising the importance of *bringing people together*, promoting *opportunity and equality*; and making Rotherham a more *welcoming place* for residents, visitors and potential investors.
- 2.3 RTP members and the partnership's chief executive officer group have agreed the plan, and members of other partnership theme boards (i.e. Safer Rotherham Partnership, the Health and Wellbeing and Business Growth boards, the Children and Young People's Partnership and Rotherham Strategic Housing Forum) have had the opportunity to provide comments. Cabinet members have previously discussed the plan during informal sessions, but now have the opportunity to formally endorse it and consider the Council's role in ensuring its effective delivery.

### **3. Key Issues**

- 3.1 The plan is built around five "game changers" – identified as the most important things partners need to work on collectively over the next few years. They are:

- Building stronger communities
- Skills and employment
- Integrated health and social care
- A place to be proud of
- Town centre

#### **3.2 Building stronger communities**

This game changer focuses on issues relating to cohesion and engaging more effectively with local communities. It also incorporates ongoing work to agree principles and a model for delivering integrated, locally based services.

**3.3 Skills and employment**

The centrepiece of this strand of the plan is the work and health programme working through Sheffield City Region to deliver effective support to people who are struggling to enter or maintain employment due to health problems or disabilities. Skills and employment also highlights the potential of procurement practices to provide local job opportunities and references the university campus development in the town centre.

**3.4 Integrated health and social care**

The integrated health and social care place plan provides the basis for this game changer. The place plan includes significant proposals to establish the urgent and emergency care centre at the hospital, expand the care coordination centre to include mental health and social care, and roll-out integrated, multi-disciplinary teams across Rotherham.

**3.5 A place to be proud of**

This strand picks up on consultation feedback about the importance of restoring pride in the borough, making the link with the place shaping work instigated by RTP last year. It highlights the need to make the most of Rotherham's many assets and also mentions the vision of becoming a child-centred borough.

**3.6 Town centre**

Another top priority for local people based on consultation feedback, which often highlights the fact that people feel unsafe in the town centre. The plan stresses the importance of planned developments such as Forge Island for improving the look and feel of the town centre, whilst committing partners to ongoing efforts to address anti-social behaviour.

**3.7 Monitoring progress**

The plan contains a small number of indicators for each game changer and some initial milestones to chart progress. Further actions and milestones will be captured in annual delivery plans (the 2017/18 delivery plan is in development). The approach to monitoring progress will be designed to dovetail with the existing performance reporting arrangements for the supporting theme boards (see 2.3 above).

3.8 The Council may also want to consider how the new council plan for 2017-20 should relate to the Rotherham Plan e.g. explicitly setting out the Council's role in working with partners to deliver the game changers.

**4. Options considered and recommended proposal**

4.1 **Annual plans** - RTP could have continued to develop annual plans rather than setting out a longer term vision. This would have provided the opportunity to reflect current priorities as they emerge and set out partners' short-term response.



- 4.2 **Longer-term plan** – RTP discussions have made clear that all partners are committed to a collective long-term approach to delivering the plan's game changers. Even as other issues emerge and are addressed, these will remain central partnership priorities. It was therefore felt that a plan reflecting this certainty and long-term commitment represented the best approach.

## **5. Consultation**

- 5.1 The views from Rotherham consultation programme carried out in summer/autumn 2015 canvassed the views of around 1,800 local people via a series of roadshows and an online survey.
- 5.2 A number of engagement sessions were held in late 2016. These were less well attended than the roadshows but still provided valuable feedback.
- 5.3 Specific consultation with children, young people and their families took place in Rotherham town centre in August 2016 and further consultation was carried out at Rotherham Show in September. A session for the voluntary and community sector was held at Voluntary Action Rotherham in July 2016.
- 5.4 Partners have held a number of workshops to discuss the Rotherham Plan and partnership theme board members provided feedback on the draft plan in January/February 2017.

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

- 6.1 As a partnership document, the Rotherham Plan has been agreed and signed off by Rotherham Together Partnership, which is chaired by the leader of the Council, and the partnership's chief executive officer group, which is chaired by the Council's chief executive.

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

- 7.1 There are no direct financial or procurement implications.

## **8. Legal Implications**

- 8.1 There are no legal implications.

## **9. Human Resources Implications**

- 9.1 There are no human resources implications.

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

- 10.1 The plan emphasises partners' focus on creating a child-centre borough as well as outlining the work that is taking place across the theme boards and through the safeguarding children board to provide opportunities for children and young people and keep them safe.

- 10.2 A range of activity across the plan's game changers is likely to have a positive impact on vulnerable adults (e.g. the work and health programme, expansion of the social prescribing service, and development of a more effective model for local service delivery).

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

- 11.1 As set out in the plan's introduction, one of the partnership's key principles is: "promoting equality, challenging intolerance, embracing diversity and celebrating our achievements." *Building stronger communities* will have a particular emphasis on promoting equality and diversity. Initiatives such as the work and health programme will actively seek to reduce inequalities by tackling barriers to work.

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

- 12.1 The Rotherham Plan is a partnership document setting out the most important things Rotherham organisations will work on collectively over the next few years.
- 12.2 The Council will have a critical role in delivering the plan's game changers and it is therefore crucial that all directorates are aware of the plan and have an understanding of RTP and its structures.

## **13. Risks and Mitigation**

- 13.1 As part of establishing a performance and planning framework for delivery of the plan, the partnership's chief executive officer group are discussing the need for a partnership risk register.

## **14. Accountable Officer(s)** Sharon Kemp, Chief Executive

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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ROTHERHAM  
TOGETHER  
PARTNERSHIP



# The Rotherham Plan

A new perspective  
2025





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# Introduction

**The Rotherham Plan (“the Plan”) provides a framework for partners’ collective efforts to create a borough that is better for everyone who wants to live, work, invest or visit here.**

It sets out some of the big projects, or “game changers”, that partners will be focusing on until 2025 and forms part of a bigger picture which includes a number of partnership boards and less formal bodies that are developing plans and delivering activity.

Shaped by the views of local people as expressed through the extensive consultation programme – “views from Rotherham” - carried out in summer 2015, and subsequent engagement, the Plan also builds on the themes of Rotherham Together Partnership’s (RTP) first partnership plan for 2016/17: bringing people together to create a stronger sense of community spirit; promoting opportunity and equality to help everyone benefit from a growing economy; and creating welcoming places where people feel safe and encouraged to lead active lives.

RTP’s supporting theme boards will be central to achieving the Plan’s aspirations. They will also deliver a range of complementary activity based on their own plans and priorities.

The Business Growth Board, for example, is overseeing Rotherham’s economic growth plan, which aims to create 10,000 net new jobs by 2025. Rotherham Health and Wellbeing Board brings the council, health bodies and other partners together to improve health and reduce inequalities, while Safer Rotherham Partnership focuses on crime and community safety. The Children and Young People’s Partnership is the driving force behind efforts to improve services and outcomes for children, young people and their families.

Beyond these strategic bodies, there is a wide range of less formal partnership working in Rotherham, from small community groups coming together to help and support local people, to organisations combining their efforts on heritage, arts or sports projects.

RTP itself was established in September 2015 (though the previous Rotherham Partnership produced its first borough plan in 2002). It has 28 members representing the council, other public bodies, the voluntary, community and faith sectors, local businesses and the Sheffield universities.

The full partnership meets quarterly, but its supporting group of chief executive officers meet every month to oversee delivery of programmes and initiatives and respond to any issues that require a collective approach.

RTP’s underpinning principles, which have guided the development of this Plan and will be central to its implementation, are:

- Focusing our efforts where we can make the most difference by working together
- Engaging and involving our communities in everything we do
- Promoting equality, challenging intolerance, embracing diversity and celebrating our achievements.







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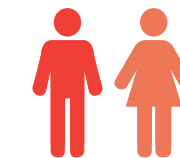
## Rotherham today

110mi<sup>2</sup>

Rotherham is a borough covering **110 square miles**



Rotherham's population of **260,800** mostly live in **urban areas**



Rotherham has **50,000 children** aged **0-15** and **27,300 young people** aged **16-24**



The population is ageing, with **64,600 people** aged **over 60**



**21,800** are aged over 75 and **5,800** over 85 with an additional **1,000 over 85s** expected by 2021

Rotherham has a diverse community which includes **20,000 people from minority ethnic groups (8.1%)**. The largest communities are **Pakistani/Kashmiri** and **Slovak/Czech Roma**. It is also made up of many towns, villages and suburbs which form a wide range of geographic communities.

The borough benefits from a vibrant **voluntary and community sector (VCS)**, comprising almost **1,400 organisations** with **3,600 staff** and around **49,000 volunteer roles**.

It is estimated that the paid VCS workforce contributes **£99m to the economy per annum** and that volunteers provide approximately **85,000 hours of time per week**.

Rotherham lost 14,000 jobs between 2007 and 2012, but job numbers have now reached 100,000 - a return to pre-recession levels. There are 6,810 VAT registered businesses in Rotherham, with the figure increasing by over 6% in 2016.



**GCSE performance is above the national average**, but the **performance of children from Rotherham's poorer families** compares unfavourably with national averages on many educational attainment measures



Performance for children **achieving a good level of development at the early years foundation stage** (up to age 5) **is above the national average**



**Rotherham has a wealth of green space across the borough**, in the form of **country and urban parks, nature reserves, woodlands and playing fields**. Although used well in some areas, others offer an often untapped resource within communities



In the town centre, **recent transformation work was recognised with an award** in the town centre category of the **Great British High Street Awards**

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# Shaping the future

**Our vision for Rotherham in 2025 is to be a place where people want to live, work, study, invest or visit. We want to develop a competitive, sustainable economy that builds on our strengths in advanced manufacturing, culture and innovation, and we want local people to live healthy, fulfilling lives in a place where local assets are used to their full potential.**

We want Rotherham to be a place that:

- Has a vibrant town centre where people want to visit, shop and socialise
- Feels safe, where people are able to participate in their community; sharing their knowledge and skills for the benefit of themselves and others
- Has highly skilled people who have access to good and sustainable work
- Has good connectivity: physically with other areas, digitally and socially
- Is clean and attractive, culturally rich and welcoming
- Is outward looking: building relationships and learning from others.

Underpinning all these things is the need to ensure that whatever we do, everyone in Rotherham is able to benefit. We want Rotherham people to have equal access to opportunities, activities and services when they need them, and to create stronger communities where people want to raise their families and grow old.

This means finding ways to halt the trend of deprivation becoming more concentrated in the least well off areas; a situation reflecting high worklessness, low skill levels and ill health.

In Rotherham, around a quarter of children live in a low income family. In our most deprived neighbourhoods this rises to around half of children, and children in these areas are also five times more likely to be classed as a “child in need” of social care services.

In their national strategy for solving poverty, the Joseph Rowntree Foundation talk about acting now so that when children starting school this year reach adulthood, they will live in a UK where poverty is significantly reduced and no-one is ever destitute.

There is significant research that indicates the importance of children getting “a good

start” in order to have the best chance of having positive outcomes in education, employment, health and other important areas of life.

In looking to the future, partners are committed to making Rotherham a child-centred borough, where the wellbeing of children, young people and their families is considered in all that we do. Whilst keeping children and young people safe is crucial, we also want to create age friendly communities that celebrate what older people have to offer, and enable good quality later life for all Rotherham people.

To begin the journey of creating an age-friendly town, we are working towards integrating local health and social care services across the borough and developing activity that will help older people remain independent for longer.

Health and wellbeing partners and local carers have contributed towards a carers’ strategy, and partners are working together to develop an ageing well framework which will be used to ensure services, and some of the activity described in the ‘game changers’, consider the needs of older people.

In the context of becoming a child-centred borough, a range of services for children and young people have been reviewed to ensure they are delivering positive outcomes. Contributing to this is our 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.

The Rotherham Safeguarding Children Board has also thoroughly overhauled its processes and procedures, and a specialist multi-agency team - “Evolve” – has been established to tackle child sexual exploitation. There is also now a much better understanding of what safeguarding means and clearer links between the safeguarding children and adults boards and other theme boards.

The Rotherham Plan provides a framework for additional activity across all of these issues, complementing dedicated activity delivered by the theme boards.



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To inform our approach, the partnership team talked to children and their families at the wizardry and magic event in the town centre in August 2016. **This is what they told us...**



**"I would like to see some more rides and maybe a theme park"**

Maria, age 11



**"More play areas"**

Lillie Rose,  
age 6



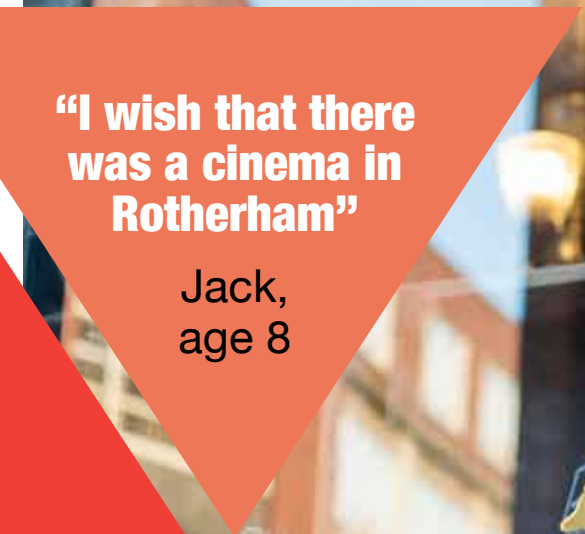
**"Clean streets and shops!"**

Chloe, age 12



**"I wish that there was a cinema in Rotherham"**

Jack,  
age 8



**"Make Rotherham a safer and brighter place to live, shop and be entertained!"**

Cheryl,  
age 42



**"By 2025 I would like a big water park, a big glass dome and a theme park"**

Jess, age 12



**"More things for children in the town"**

Emma,  
age 36



**"I would like a really big swimming pool with lots of slides"**

Darcy, age 7







# Achieving the vision

**Realising the vision set out in section 3 will be a challenge, but it is one that partners are committed to meeting head on.**

In the context of austerity and ongoing, unprecedented reductions in public sector budgets, compounded by increased demand for many services, we need to rethink our approach. There are examples of this happening already, such as the work around social prescribing.

## Case study: Social Prescribing

**The Rotherham Social Prescribing Service helps people with long term health conditions to access a wide variety of services and activities provided by voluntary organisations and community groups in Rotherham. Funded by Rotherham Clinical Commissioning Group (CCG), the scheme brings together health, social care and voluntary sector professionals, who work together in a coordinated way to plan care for people. This joint working is known as integrated case management. GPs**

**lead the case management teams and are responsible for identifying patients who are eligible for the scheme.**

**Since September 2012 the service has received over 5,000 referrals from GPs, with the majority of these being people aged over 65, who are accessing services such as befriending, respite, advocacy and support.**

**This innovative scheme creates a win-win situation where:**

- **The CCG benefits as it prevents unnecessary hospital admissions**
- **GPs benefit as it gives an option other than medication or hospital**
- **The voluntary and community sector benefit as it supports their sustainability and raises awareness of their services**
- **Patients and carers love it as it improves their quality of life, reduces social isolation and moves them from dependence to independence.**

**The scheme continues to receive national interest due to its success and from April 2015 was extended**

**to working with RDaSH (Rotherham Doncaster and South Humber NHS Trust) mental health teams.**

**“Thank you so much, you have made me believe in myself again”**

**“I have slept 7 hours for the first time in 15 years”**

*social prescribing patients*

We need to understand the causes of societal problems – the things that are holding people and areas back – and take innovative action to address them. This means recognising and harnessing people’s strengths, responding effectively to their concerns, and working in genuine partnership with them to find solutions.

As well as changing the way we work within the borough, partners need to be outward-looking, seeking ideas and support from elsewhere, including our partners within Sheffield City Region (SCR).

Rotherham needs to maintain an influential role within SCR, ensuring the region remains at the forefront of the devolution agenda, taking on powers and funding from central government and helping to drive forward economic growth that creates opportunities for local people.

## Case study: AMID

**Rotherham needs to create a thriving and dynamic economy that expands and adapts to meet the challenges of the 21st century. To achieve this, we must build on our strength in advanced manufacturing, and the global success achieved at the Advanced Manufacturing Park (AMP) in Rotherham over the last ten years, to integrate science, research and innovation investment into the local economy.**

**We are seizing the opportunity offered by devolution to take a leading role in promoting, developing and delivering investments in infrastructure, skills and intellectual capital; unlocking the full potential of the cluster of manufacturing businesses between Rotherham**

**and Sheffield to create the UK’s first Advanced Manufacturing Innovation District (AMID).**

**AMID will be a nucleus of innovation and research in advanced manufacturing, with strengthened connections across new and existing firms and knowledge institutions that will benefit from close proximity to world-class technology facilities.**

**AMID will provide a business climate and physical environment that draws in and develops world class talent, entrepreneurs, innovators and investors. It will connect the AMP to an attractive, connected and accessible wider district and include mixed-use housing, green spaces, social spaces, office and retail to complement industrial and research sites, ensuring we deliver the amenities, quality of place and interaction that skilled workers and businesses require.**

**Enabling industry leaders to co-locate and collaborate more effectively, AMID will deliver competitiveness and productivity and provide long term stability for the industry and a major boost to jobs.**





## 4.1 Our game changers

This section describes the big, strategic steps towards change that partners will focus on between now and 2025.

### a. Building stronger communities

Building stronger communities is our top game changer as this will help drive all of our shared ambitions for Rotherham. It is also a fundamental requirement for all partners to have a better understanding of Rotherham's local communities and how these are changing, if services are going to keep pace with people's needs and aspirations.

We know one of the great things about Rotherham is the people, as shown by the impressive volunteer numbers referenced in section 2. When we asked, in views from Rotherham, what people thought about the borough, the most universally liked feature was the friendly, honest people and good community spirit.

We will harness this positive aspect of Rotherham, focusing on our strengths - what people and places can offer rather



than what they need - to create a place where everyone feels connected and able to actively participate in their community for the benefit of themselves and others.

In order to make this happen, partners need to create the right environment, driving concerted action across all our game changers to create safe, healthy and vibrant communities, underpinned by good quality housing.

At the same time, our partnership principles must remain central. In particular, the importance of promoting equality, challenging intolerance and embracing diversity.

To achieve a more connected Rotherham we will work collaboratively to make best use of the assets we have in our local areas. This means bringing together everyone - individual residents, businesses, community and faith groups, councillors, and public sector bodies - to work in partnership, share resources and enable new ideas to develop.

This neighbourhood-based approach will ensure all areas across the borough benefit from good quality, responsive services, tailored to local circumstances, and designed and developed with local people.

### b. Skills and employment

Rotherham has ambitious plans to attract investment and help the economy to grow, but there are significant challenges in ensuring that growth benefits all of our communities.

Where jobs are being created, we need to ensure that they are accessible to local people, particularly to those who, for a range of reasons, may be struggling to find employment.

One way of doing this may be by ensuring major local organisations, such as the council and the hospital, focus on spending their money in a way that creates opportunities for local people and businesses.

This means focusing on “social value” - looking beyond the price of each individual contract and instead focusing on the collective benefit to a community: “If £1 is spent on the delivery of services, can that same £1 be used to also produce a wider benefit to the community?”

As touched on in earlier sections, low skills levels and ill health are particular problems in Rotherham and act as barriers to good

quality, sustainable employment for many local people.

**“We need good quality jobs to give people a real sense of worth”**

*views from Rotherham respondent*

Working with partners across Rotherham and the wider city region, we will develop a work and health programme that provides comprehensive support to help people secure, sustain and thrive in employment.

The programme will build on initiatives such as social prescribing and Rotherham's troubled families programme, working with people to understand their aspirations and overcome their problems rather than treating them as passive recipients of a one size fits all service.

A key plank in our efforts to improve skill levels will be the development of a university campus in the town centre, to be operated by Rotherham College as part of the RNN Group. Despite having GCSE results that are among the best in the



region and above the national average, Rotherham lags behind at NVQ level 4 and above (i.e. above A-level/BTEC national).

The centre will help to raise the aspirations of our young people, attract and retain students, and contribute to the town centre's regeneration. The range of courses offered will be relevant to the local jobs market, including qualifications related to the advanced manufacturing sector.

### c. Integrated health and social care

We know that, as resources become more stretched and demand for health and care services continues to increase, it is more important than ever for partners to combine their resources effectively. In views from Rotherham, 84% of respondents agreed that the council should work more closely with local health services.

Rotherham's integrated health and social care place plan provides a succinct vision for the transformation of health and care services:

#### ***Supporting people and families to live independently in the community, with prevention and self-management at the heart of delivery.***

The plan aims to reduce health inequalities, improve the quality of care and make required savings by:

- Creating integrated, multi-disciplinary teams across Rotherham
- Opening a 24/7 urgent and emergency care centre at the hospital to help reduce waiting times and emergency admissions
- Expanding the 24/7 care coordination centre to include mental health and social care
- Building a specialist reablement centre so that people can access a range of services while remaining in the community
- Providing training for residential and home care staff to enable them to treat more complex problems, further reducing hospital admissions.

The social prescribing service will be extended and front-line staff trained to deliver advice on healthy lifestyles - a "making every contact count" approach.

In terms of children's health, Rotherham's health and wellbeing strategy has two aims specifically focused on children's issues. This will help to ensure that partners' spending plans reflect the need to ensure children have a good start in life and a healthy adolescence.

The quality of housing also has a direct impact on our health and wellbeing. There are plans to build more houses across the borough, including tailored provision for people with long-term conditions.

### d. A place to be proud of

We want Rotherham to be a place to be proud of again, not just because of what we do but how we do it together.

**"We don't do enough to defend our town and fight the negative image we have gained."**

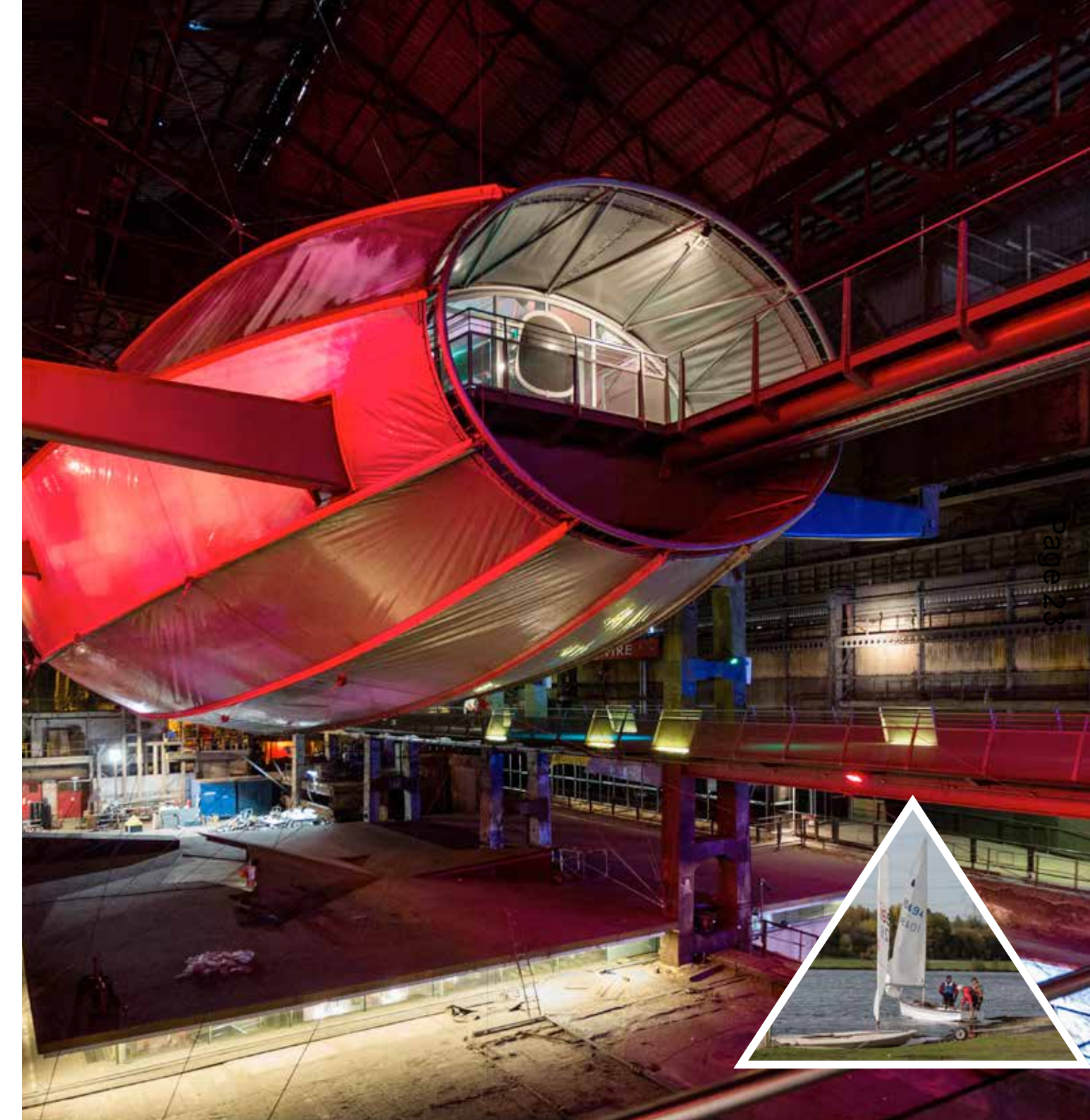
*views from Rotherham respondent*

We need to make more of our current assets, whilst seeking investment to provide a wider range of culture and leisure activities.

Local treasures such as Wentworth Woodhouse and Clifton Park, among many others, need to be better promoted and the potential of new developments like Gulliver's Valley and the anticipated Steel Man sculpture exploited to the full. This was a major theme in views from Rotherham where people extolled the virtues of "Rotherham's green spaces, the wildflower verges, country parks and tree lined streets", as well as "hidden amazing things like Wentworth Woodhouse".

RTP's approach to 'place shaping', overseen by the new, business-led place board, will help to create a new identity for Rotherham. By focusing on our strengths - for example our expertise in engineering and manufacturing and the hidden gems and green spaces outlined above - we will create a positive Rotherham story: one that sells the place to everyone who may want to live, work, visit or invest here.

Creating a place where our children and young people are proud to live and grow up in is also an important focus of the Plan; contributing to our vision of being a child-centred borough.





#### e. **Town centre**

Recent consultation has emphasised the importance of the town centre and, in many cases, people's reluctance to visit it. In views from Rotherham, people were positive about parts of the town centre, particularly the Minster Gardens and High Street, but these were outweighed by the negatives:

**“I dislike the relatively poor state of the town centre - lack of quality shops, bars and restaurants (too many discount shops and takeaways) and general untidiness”**

**“The town centre shuts down completely after 5pm”**

**“I dislike the feeling of vulnerability in the town centre, especially because of groups of people just hanging around”.**



In partnership with local businesses we will work to maintain safe, clean and vibrant public spaces and efforts will continue to reduce all forms of anti-social behaviour in the town centre.

This will be part of our comprehensive regeneration programme based on the new town centre masterplan.

Alongside a proposed leisure hub at Forge Island and sites for good quality housing, will be schemes explicitly aimed at creating more welcoming environments for communities to come together. This includes the creation of pedestrian routes and a healthy living corridor to support town centre life and vitality, as well as proposals to open up and better utilise the riverside.

## 4.2 Theme boards

RTP's established theme boards and the new bodies we're creating to oversee specific pieces of work, will have a central role in delivering the Plan.

### Safer Rotherham Partnership

The Safer Rotherham Partnership is the borough's community safety partnership with statutory responsibilities established under the Crime and Disorder Act 1998.

The partnership has a legal duty to tackle crime, anti-social behaviour, drug and alcohol misuse, and to enhance feelings of safety.

*The board has 6 priority areas:*

- Reducing the threat of child sexual exploitation (CSE) and the harm to victims
- Building confident and cohesive communities
- Reducing the threat of domestic abuse and reducing the harm to victims
- Reducing and managing anti-social behaviour (ASB) and criminal damage
- Reducing the risk of becoming a victim of domestic burglary

- Reducing violent crime and sexual offences.

The SRP will have a particular role in **building stronger communities.**

### Children and Young People's Partnership

The Children and Young People's Partnership brings together a wide range of organisations including Rotherham Council, South Yorkshire Police, health services, education and colleges, South Yorkshire Fire and Rescue and the voluntary and community sector.

The Children and Young People's Partnership vision is:

*To be a child-centred borough which will ensure our children, young people and their families:*

- *Are healthy and safe from harm*
- *Start school ready to learn for life*
- *Are ready for the world of work.*

The partnership will have a key role in ensuring all of the Plan's game changers contribute to this vision.



## Health and Wellbeing Board

The Health and Wellbeing Board has been a statutory sub-committee of the council since April 2013. Members of the board include local councillors, senior council officers from children's and adult social care services, the director of public health, NHS Rotherham Clinical Commissioning Group, Healthwatch Rotherham, South Yorkshire Police, Voluntary Action Rotherham and the main local providers of NHS services.

The board has a responsibility to produce the local health and wellbeing strategy, which for 2015–18 includes five aims:

- All children get the best start in life
- Children and young people achieve their potential and have a healthy adolescence and early adulthood
- All Rotherham people enjoy the best possible mental health and wellbeing and have a good quality of life
- Healthy life expectancy is improved for all Rotherham people and the gap in life expectancy is reducing
- Rotherham has healthy, safe and sustainable communities and places.

Whilst making a contribution to all of the game changers, the board will have a particular focus on *integrated health and social care*.

## Business Growth Board

Rotherham's Business Growth Board was established in 2015, evolving from the previous economy board. Its main aim is to drive forward progress in pursuing Rotherham's economic priorities through delivery of the borough's growth plan.

Chaired by a local business person and with a majority of private sector members,

the board provides leadership on issues of key economic significance to the borough and provides a link to Sheffield City Region partners, plans and initiatives.

The board has three task groups focusing on:

- Business development
- Employment and skills
- Town centre.

As well as overseeing the Place Board (see below), the Business Growth Board will be integral to delivering on *skills and employment* and *the town centre*.

## Place Board

Led by local businesses but involving a wide range of partners, the Place Board will be at the forefront of efforts to promote Rotherham, utilising the 'place shaping' story and related themes and images.

Specifically, the board will:

- Oversee a business ambassador programme
- Provide a sounding board for ideas and activities that help to raise Rotherham's profile

- Champion Rotherham regionally, nationally and internationally.

The board will also have a central role in making Rotherham *a place to be proud of*.

## Building Stronger Communities Forum

The aim is to establish new and trusted communication and engagement channels between communities and key public service providers. This will operate as a 'think tank' for Rotherham, generating ideas from community representatives and also considering research and learning from elsewhere.

The forum will influence and make clear recommendations to all partners, aiming to bring about more inclusive and cohesive local communities throughout the borough.







# The journey to 2025

These are our major milestones for the early stages of the Plan, linked to the game changers in section 4. Annual delivery plans will be developed and published by April of each year, setting out actions and milestones for the coming year in more detail.







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# Communications and engagement

**The focus of partners' communications activity, coordinated by the RTP team, is to celebrate the good work taking place across Rotherham and to connect and engage with local people.**

We will ensure there is a consistent flow of information, letting people know what is going on and – crucially – giving them the opportunity to provide feedback and get involved.

As well as our website ([rotherhamtogetherpartnership.org.uk](http://rotherhamtogetherpartnership.org.uk)) and Twitter account (@RT\_Partnership), there will be a number of specific engagement sessions and a quarterly bulletin.

A series of events will be delivered throughout the year, many linking specifically to the initiatives (let's get Rotherham talking, for example) that were launched with last year's partnership plan.

Finally, we will carry out an annual review to assess progress in delivering the Plan and gauge the effectiveness of wider partnership activity. Feedback

from local people and partners will be a fundamental part of this, helping us to make any necessary changes to the things we do and the way we engage for the forthcoming year.

Please contact us for further information:  
**RTPartnership@rotherham.gov.uk**







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# Headline indicators

## Building stronger communities

- More residents feeling safe in their community
- More people satisfied with their neighbourhood/local area as a place to live
- More people actively participating in their community

## Skills and employment

- An increase in higher level skills (level 4 and above)
- More young people able to achieve their potential through education, employment and training
- Fewer people claiming out of work benefits in the most deprived areas
- More organisations signing up to the workplace wellbeing charter

## Integrated health and social care

- Better health outcomes for children and young people through integrated commissioning and service delivery
- Better support to enable people with long term health and disability needs to live healthier lives
- Fewer unscheduled hospital attendances and admissions

## A place to be proud of

- More higher value businesses starting up, investing or locating in the borough
- More young people saying they would still like to be living in Rotherham in ten years' time
- More people saying they're proud to live in Rotherham

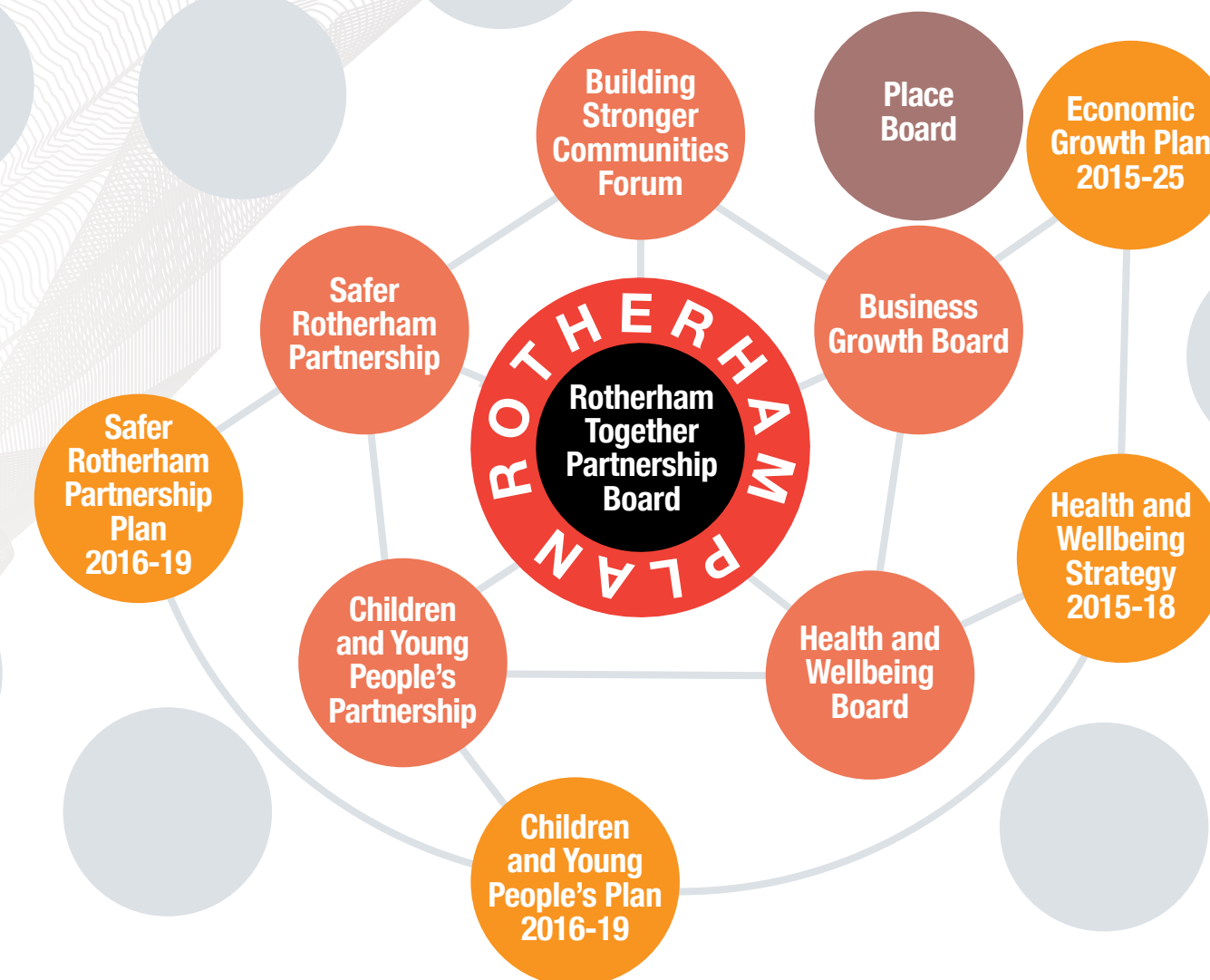
## Town centre

- Improved culture and leisure offer, including a cinema
- More town centre residential units
- Fewer vacant units in the town centre



8

# Rotherham Together Partnership







Public Report  
Cabinet and Commissioners' Decision Making Meeting

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**Summary Sheet**

Cabinet and Commissioners' Decision Making Meeting – 10 April 2017

**Title**

February Financial Monitoring Report 2016/17

**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)**

Pete Hudson – Chief Finance Manager, Finance & Customer Services

Email: [peter.hudson@rotherham.gov.uk](mailto:peter.hudson@rotherham.gov.uk)

**Ward(s) Affected**

All

**Executive Summary**

This report sets out the financial position for the Revenue Budget at the end of February 2017 and is based on actual costs and income for the first eleven months of the financial year and forecast costs and income for the remaining one month of 2016/17.

The revenue position, compared with the revised budget approved by Council on 7<sup>th</sup> December 2016, shows a forecast overspend of £2.017m. This forecast overspend has reduced by £526k since the December monitoring report to Cabinet.

It is currently anticipated that this level of forecast overspend could be funded from a combination of in year capital receipts and capitalisation of some spend in relation to Highways.

The additional budget approval is to be funded from reserves and the extent to which in year revenue spend across the whole Council can or cannot be reduced, will affect the eventual call on reserves. The above expected position is positive in that the expected call on reserves is lower than that which was reported within the December financial monitoring report.

To help further mitigate the potential impact on reserves the robust procurement and recruitment controls remain in place.

The majority of the approved budget savings for 2016/17 have or are being achieved, the main exception being the £1m saving from the review of staff terms and conditions of employment agreed by Council in March 2016 which will not now be delivered in 2016/17. Positive, constructive discussions with the Trade Unions have been taking place about how this saving can be achieved and it is expected that the £2m FYE savings will be achieved from April 2017. The non-delivery of the 2016/17 £1m saving is reflected in the forecast outturn in this report.

There is also a significant forecast overspend (£5.375m) on the Dedicated Schools Grant (DSG), split between the High Needs Block £5.292m and the Schools Block of £0.083m. Whilst this overspend doesn't directly affect the Council's financial position at this time, this position must be addressed to avoid any risk to the Council in the future. The pressure on the High Needs block was presented to the Schools Forum meeting on March 17<sup>th</sup>, which also considered the draft SEND Sufficiency Strategy and Financial Plan which will address the remaining deficit and future level of provision. In 2017/18 the forecast deficit carry forward will be partially mitigated by the transfer of £3m from the Schools Block into the High Needs Block, leaving an estimated £2.3m deficit, which will need to be met from an expected re-basing and uplift for Rotherham of the High Needs Budget from 2018/19 following implementation of the new High Needs national Funding Formula.

Clifton Community School is now scheduled to convert to a sponsored Academy on 1<sup>st</sup> May (it was reported previously that the conversion would take place first in February and then in March 2017). The school has an estimated deficit of £1.2m. A reserve of £1.2m was created in finalising the 2015/16 accounts specifically to mitigate deficit balances falling on the Council as a result of sponsored academy conversions during 2016/17.

In response to reduced Government funding, the Council needed to find savings of £24m in 2017/18 and then needs to identify around a further £42m savings in the following two years. A robust budget for 2017/18 including £24m of savings was approved by Council on 8th March 2017.

Control over spending is critical to a robust medium term financial strategy as unplanned spending impacts on reserves levels which are the bedrock of a financially stable organisation and unplanned spending depletes reserves.

Appendix 1 to this report shows the detailed reasons for forecast revenue under and over spends by Directorate.

### **Recommendations**

That Cabinet:

- Notes the current 2016/17 forecast overspend of £2.017m after the allocation of additional in year budget and that the Council anticipates a balanced outturn position will be achieved through a combination of continued management actions, use of in-year capital receipts and capitalisation of highways spend. (Paragraphs 3.2 -3.3)

- Notes that a detailed Dedicated Schools Grant (DSG) High Needs Sufficiency Strategy and Financial Plan to address the remaining deficit and future level of service provision were discussed and consulted upon at the 17<sup>h</sup> March 2017 Schools Forum meeting. (Paragraph 3.15).
- Notes the approved capital programme is forecast to underspend by £9.038m in 2016/17. Underspends in the Children & Young People's Service, Regeneration & Environment and Finance and Customer Services Directorates will in the majority of cases be re-profiled into 2017/18, however the underspend in the Adult Care & Housing Directorate is the result of changes to Government policy leading to a reduction in available funding which has required a review of HRA investment. (Paragraph 3.40)

**List of Appendices Included**

Appendix 1 – Detailed Directorate analysis of revenue forecast under and overspends

**Background Papers**

Revenue Budget and Council Tax Setting Report for 2016/17 to Council – 2 March 2016

December 2016/17 Financial Monitoring Report to Cabinet – 13 February 2017

MTFS Update Report to Cabinet and Council - 14 November and 7 December 2016 respectively

Consultation with Strategic Directors

**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

## **February Financial Monitoring Report 2016/17**

### **1. Recommendations**

That Cabinet:

- 1.1 Notes the current 2016/17 forecast overspend of £2.017m after the allocation of additional in year budget and that the Council anticipates a balanced outturn position will be achieved through a combination of continued management actions, use of in-year capital receipts and capitalisation of highways spend. (Paragraphs 3.2-3.3)
- 1.2 Notes that a detailed Dedicated Schools Grant (DSG) High Needs Sufficiency Strategy and Financial Plan to address the remaining deficit and future level of service provision were discussed and consulted upon at the 17<sup>h</sup> March 2017 Schools Forum meeting. (Paragraph 3.15)
- 1.3 Notes the approved capital programme is forecast to underspend by £9.038m in 2016/17. Underspends in the Children & Young People's Service, Regeneration & Environment and Finance and Customer Services Directorates will in the majority of cases be re-profiled into 2017/18, however the underspend in the Adult Care & Housing Directorate is the result of changes to Government policy leading to a reduction in available funding which has required a review of HRA investment. (Paragraph 3.40)

### **2. Background**

- 2.1 As part of its performance and control framework the Council is required to produce regular reports for the Strategic Leadership Team and Cabinet to keep them informed of financial performance on a timely basis such that where necessary, actions can be agreed and implemented to bring spend in line with the approved budget for the financial year.
- 2.2 Delivery of the Council's Revenue Budget and 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 This report sets out the financial position at the end of February and is based on actual costs and income for the first eleven months of the financial year and forecast costs and income for the remaining one month of 2016/17.
- 2.4 The current position shows a forecast revenue overspend of £2.107m after taking account of the allocation of additional budget by Council on 7<sup>th</sup> December 2016 and after currently identified management actions. It is anticipated that this overspend can be met by flexible use of in-year capital receipts and capitalisation of highways spend. There is also a significant overspend on DSG which has now reached over £5.3m, although this forecast overspend has slightly improved by £300k since the December report.

- 2.5 The additional 2016/17 budget approval has to be funded and the extent to which in-year revenue spend across the whole Council cannot be reduced, will inevitably impact the Council's reserves and future financial sustainability.
- 2.6 The majority of the approved budget savings for 2016/17 are being achieved, the main exception being the £1m saving from the review of staff terms and conditions of employment agreed by Council in March which will not now be delivered in 2016/17. Positive, constructive discussions with the Trade Unions have been taking place about how this saving can be achieved and it is expected that the £2m full year effect saving for 2017/18 will be achieved. The non-delivery of the £1m saving in the current year is reflected in the forecast outturn in this report.
- 2.7 To further reduce the requirement to call on reserves the robust procurement and recruitment controls remain in place.
- 2.8 All actions implemented will have due regard for the safeguarding of vulnerable children and adults, the needs of clients and the potential impact on the citizens of Rotherham.
- 2.9 There is also a significant forecast overspend (£5.375m) on the Dedicated Schools Grant (DSG) High Needs Block. There is also a significant forecast overspend (£5.375m) on the Dedicated Schools Grant (DSG), split between the High Needs Block £5.292m and the Schools Block of £0.083m. This is a forecast increase in the High Needs overspend of £4.3m in an eleven month period. Options for consultation regarding addressing the High Needs overspend were taken to Schools Forum on the 9<sup>th</sup> December.
- 2.10 Clifton Community School is now scheduled to convert to a sponsored Academy on 1<sup>st</sup> May (it was reported previously that the conversion would take place first in February and then in March 2017). The school has an estimated deficit of £1.2m. A reserve of £1.2m was created in finalising the 2015/16 accounts specifically to mitigate deficit balances falling on the Council as a result of sponsored academy conversions during 2016/17.
- 2.11 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. It also has to deliver savings of £24m in 2017/18. A robust budget for 2017/18 was approved by Council on 8<sup>th</sup> March. Control over spending is critical to a robust medium term financial strategy as unplanned spending impacts on reserves levels which are the bedrock of a financially stable organisation and unplanned spending depletes reserves.
- 2.12 Appendix 1 to this report shows the detailed reasons for forecast under and over spends by Directorate.

### 3. Key Issues

#### Revenue

- 3.1 Table 1 below shows the summary forecast revenue outturn position by Directorate. The table shows the forecast outturn position after any management actions which have already been quantified and implemented. The annual budgets have been updated to include the additional Council budget approvals, agreed 7<sup>th</sup> December 2016 and the Adult Social Care budget includes the £1m social care contingency budget which transferred from Central Services following Cabinet approval on 12<sup>th</sup> December. A more detailed analysis of each of the Directorate's forecast under and overspends is included in Appendix 1.
- 3.2 Table 1 below also shows the change in forecast outturn by Directorate/Service between the December and February budget monitoring cycles.

**Table 1: February Cumulative - Forecast Revenue Outturn 2016/17**

Directorate / Service	Revised Annual Budget 2016/17	Forecast Outturn 2016/17	Forecast Variance (over (+) / under (-) spend) AFTER management actions	Change in Variance Dec to Feb (- = better / + = worse)
	£'000	£'000	£'000	£'000
Children & Young People's Services	63,120	64,850	+1,730	+150
Adult Care & Housing	68,212	71,501	+3,289	-223
Regeneration & Environment Services	46,427	44,883	-1,544	-267
Finance & Customer Services	14,790	14,217	-573	-153
Assistant Chief Executive	5,229	5,099	-130	-33
Capital Financing, Levies and Central Services	10,199	9,444	-755	0
<b>SUB TOTAL</b>	<b>207,977</b>	<b>209,994</b>	<b>+2,017</b>	<b>-526</b>
<b>LESS:</b>				
Use of Capital Receipts Flexibilities	0	-- 817	-817	+526
Highways Capitalisation	0	-1,200	-1,200	0
<b>TOTAL (after adjustments)</b>	<b>207,977</b>	<b>207,977</b>	<b>0</b>	<b>0</b>
Public Health (Specific Grant)	17,157	17,157	0	0
Dedicated Schools Grant (Non Delegated)	20,440	25,815	+5,375	-299
Housing Revenue Account (HRA)	83,584	77,415	-6,169	-1,799

- 3.3 It should be noted the above position is after the proposed use of up to £8.456m of reserves for 2016/17 as agreed by Council in December, the utilisation of in-year capital receipts flexibilities and the capitalisation of £1.2m Highways related spend. Within the final outturn position, the Council will seek to maximise the use of capital receipts flexibilities and capitalisation options, in order that the final call on reserves can be reduced as much as possible. This approach will allow the Council to achieve optimum protection of its current levels of reserves to support delivery of the approved 2017/18 budget and the Medium Term Financial Strategy to 2019/20. The following sections (paragraphs 3.4 to 3.37) provide key reasons for the forecast level of annual revenue under or overspend within Directorates. More detailed information is included in Appendix 1.

**Children & Young People's Directorate (+£1,730k forecast overspend)**

- 3.4 The February revenue full year forecast is £1.730m over revised budget. The forecast overspend has increased by £150k since the December Cabinet report principally due to the increased cost of placements although this has been partially mitigated by additional grant income.
- 3.5 The in-year budgetary position for Children's Services has been challenging and reflects the national picture of growing looked after children (LAC) numbers. The original LAC budget would support approximately 400 placements, 86 less than Rotherham's total of 486 LAC as at 28th February 2017. Throughout the year there has been a requirement to engage a significant number of agency social workers and team managers to fill vacant posts and to secure the right knowledge, skills and leadership and reduce average caseloads to a reasonable level. The staffing budget pressure will gradually reduce as new social care employees are appointed and allocated appropriate caseloads.
- 3.6 First Response, which includes Rotherham's Multi-Agency Safeguarding Hub (The MASH), and the Child Sexual Exploitation Team (EVOLVE) are examples of services that have had to engage additional agency staff over the approved social care establishment budget. These services alongside other pressure areas such as locality social work teams, Safeguarding and Social Care Management have largely been addressed through the additional funding for demand cost pressures ratified by Council on 7<sup>th</sup> December. Alongside this additional investment, Children's Services have been proactively pursuing a number of bids for external resources, a number of which have proved successful. E.g. 'Immediate Need Funding' from the Department for Education's Child Protection and Safeguarding Unit (£243k) and 'Life Chances Fund' Development Grant from the Big Lottery Fund (£38k).



- 3.7 The Children in Care Service is projecting an over spend of £2.326m. The adverse budget variation is due to additional staffing costs for reasons outlined above and the continuing pressure on the LAC placements budget which includes the cost of Independent Fostering Placements, Out of Authority provision and Fostering Allowances. Although numbers are slightly lower than previously reported there has been, in some cases, the need to move existing clients to more expensive provision to meet specialist care needs requirements. If numbers rise or existing clients are assessed as needing more expensive specialist provision there will be further pressure on social care budgets and a risk that the reported position will worsen.
- 3.8 At the end of September with actual LAC numbers at 448, the service and finance agreed a forward projection up to 460 by the end of March 2017 based on demand over the preceding period. There has been a significant increase in demand beyond the level forecast – the current number of LAC is 486 (28th February). This forecast outturn has been re-modelled to include a phased growth to 500 LAC by the end of the financial year. Current budget proposals seek to address the growing number of LAC and change the proportion of placement settings in favour of in-house foster care.
- 3.9 Expenditure on Leaving Care allowances has doubled over the last two years. Remedial action has been put in place to address the rising costs and includes: reviewing placements to ensure provision is appropriate; providing lower cost accommodation for over 18s through a transitional landlord scheme and in partnership with Housing; and increasing lower cost provision via new providers.
- 3.10 The forecast outturn on the Special Educational Needs and Disabilities (SEND) budget, within Education and Skills, is now an under spend of £269k. There remains a forecast overspend on School Effectiveness due to reduced income assumptions (£160k) although this is offset by savings arising from vacancy management within Children's centres (-£258k).

### **CYPS Recovery Strategy Update**

- 3.11 The service is committed to implementing management actions to mitigate the impact of the pressures reported above and has identified further in-year savings which includes a further vacancy freeze (£89k), placing on hold planned spend on publicity (£10k) and transferring further allowable expenditure to DSG (£162k).
- 3.12 Excellent progress has been made in highly effective recruitment to permanent positions this year through the success of the CYPS Resourcing Team who have brought new and innovative methods to the search for the best social care professionals. There can often be a period of between two and four months from the end of the recruitment process to a new officer starting in post. The Social Care Service aim to release agency staff within two weeks of a permanent employee's start date. Recruitment activity was particularly successful over the summer and into the latter part of the financial year.

### **Dedicated Schools Grant**

3.13 The Directorate is forecasting an over spend on the Dedicated Schools Grant (DSG) of £5.375m:

- Early Years Block: £0.000m Balanced
- Schools Block: £0.083m Overspend
- High Needs Block: £5.292m Overspend

3.14 The latest High Needs position, a pressure of £5.292m, was presented to Schools Forum on the 17<sup>th</sup> March 2017. The meeting also discussed the draft SEND Sufficiency Strategy and Financial Plan which will address the remaining deficit and future level of provision.

3.15 The forecast deficit carry forward will be partially mitigated in 2017/18 following the decision to transfer £3m of funding from the Schools Block into the High Needs Block. This will leave an estimated £2.3m revised deficit position which will need to be met from an expected re-basing, and uplift for Rotherham, of the High Needs Budget from 2018/19 following implementation of the new High Needs National Funding Formula.

### **Adult Services (+£4.130m forecast overspend) & Housing (-£841k forecast underspend)**

3.16 The Directorate is currently forecasting an overspend of £3.289m across the two main functions of Adult Care and Housing after mitigating actions agreed by the Directorate Management Team. This position also reflects the allocation of the £1 million Social Care contingency budget to Adult Social Care as approved by Cabinet on 12<sup>th</sup> December 2016. This latest forecast shows a reduction in overspend of £223k compared to that reported in December.

3.17 Adult Care Services are currently forecasting an overall overspend of £4.130m after mitigating actions. The main budget pressures continue to be in respect of Direct Payments and Managed Accounts, Residential and Domiciliary care across all client groups.

3.18 The main budget pressure within the Directorate continues to be the increased demand for Direct Payments and Managed Accounts (£3.1m). This forecast pressure includes the full year impact in 2016/17 of the 29% increase in clients receiving a Direct Payment in 2015/16. The increase in client base is due to a mixture of demographic pressures and clients moving from a domiciliary care contract. In total this has seen 180 new clients in 2015/16, plus an additional net increase of 24 (+1.9%) new clients since April 2016.

- 3.19 A task group established to review Direct Payments is still in place and continues to analyse high cost care packages to ensure they are appropriately aligned to client need and to review the processes and procedures associated with assessment to ensure they are fit for purpose. An action plan is being developed by senior managers to address the ongoing issues, which includes reviewing Managed Accounts and capacity within the service to carry out the reviews. Assumptions around the financial impact of this are reflected in the forecast outturn.
- 3.20 There are also pressures on the residential and nursing care budgets across all client groups as a result of an increase in the average cost of placements and lower than forecast 'Continuing Health Care' income contributions against the approved budget (forecast overspend of £2.4m across all client groups). The Assistant Director of Commissioning is providing oversight on the review of Learning Disability high cost placements.
- 3.21 There is also a forecast budget pressure of £1.2m in respect of the provision of Domiciliary Care across all client groups due to an increase in the number of clients (119) and an 11% increase in the number of commissioned and delivered hours plus a recurrent income pressure on fees and charges (£300k).
- 3.22 The above forecast overspends are being partially reduced by projected underspends within Learning Disability Day Care Services and Supported Living provision due to higher than anticipated staff turnover and underspends on contracts (-£1.2m) and higher than anticipated staff turnover across social work teams (-£590k). Further underspends are forecast within Enabling and Older People Day Care and Community Support (-£256k) due to vacancies and savings on transport plus a review of the training programme delaying some training into 2017/18 (-£85k). There are also underspends within Commissioning and Performance (-£124k) due to vacancies pending the implementation of a new structure and higher than anticipated staff turnover within Safeguarding services (-£233k).
- 3.23 Neighbourhood services' (Housing) latest forecast is an underspend of -£841k mainly due to the recruitment to staff vacancies being put on hold pending the outcome of a review of the Neighbourhood Partnerships service plus further additional income from the Furnished Homes scheme. The overall forecast also includes an underspend of £41k in respect of the Member's Community Leadership Budget which may be requested for carry-forward into 2017/18 in line with previous years.

#### **Adult Care & Housing – Recovery Strategy Update**

- 3.24 The demand for residential placements is reducing however budget pressures remain due to the increasing cost of care packages. However, the demand for domiciliary care and direct payments is increasing. There are also underlying budget pressures from unachieved budget savings from previous years, for example, Continuing Health Care funding and a reduction in the level of client contributions to services after financial assessment. A number of management actions have been put in place to reduce the forecast overspend within the Adult Care and Housing Directorate.

- 3.25 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 remains operational. Weekly budget meetings are held with senior managers to review in detail the budget forecasts, monitor demographic pressures and identify further savings opportunities and mitigate the pressures. All spend is now being authorised by Heads of Service and above. Further progress continues on the delivery of the Adult Services Development Programme to improve the outcomes for service users and this is largely on track to deliver the 2016/17 approved savings included in the budget setting process.
- 3.26 Other management actions include the introduction of a Practice Challenge Group (PCG) which meets bi-weekly to review and challenge all care assessments prior to discussion with users and carers.
- 3.27 Further investment was approved by Council in December for a brokerage team and additional resources to review Direct Payments and Managed Accounts, which should lead to further reductions in expenditure in the new financial year.

#### **Public Health (Forecast balanced outturn)**

- 3.28 The forecast outturn is to spend to budget at this stage including a transfer to the Public Health Reserve. This forecast outturn takes into account the Government's 2016/17 reduction in grant funding which has largely been mitigated through the use of the balance on the Public Health grant reserve.

#### **Regeneration and Environment Services (-£1.544m forecast underspend)**

- 3.29 The Regeneration and Environment Directorate Management Team have reviewed the forecast outturn position following the February monitoring cycle. The Directorate is now reporting a forecast underspend of -£1.544m. This is a further improvement of £267k on the position reported in December and now includes a forecast pressure on winter maintenance (+£141k). Previously this had only been reported as a risk.
- 3.30 Detailed information on the key forecast variances that make up the overall underspend of £1.544m is included in Appendix 1. This net underspend consists of a number of overspends and underspends; in summary, the main forecast overspends within the Directorate remain within Estates (£162k), Street Scene Services (£82k), Planning and Building Control (£63k), and Community Safety and Streetscene Corporate Accounts (£62k). These forecast overspends are fully mitigated by forecast underspends in other areas such as Facilities Management (-£711k), Rotherham Investment and Development Office (RIDO) (-£290k), Safer Neighbourhoods (-£265k), Facilities Services (-£218k), Theatres (-£130k) and the Business Unit (-£101k). Savings of £140k in Customer Services and Libraries (£167k) are fully mitigating the balance of savings that have not been realised in Culture and Customer Services in 2016/17.

- 3.31 The current Directorate forecast underspend includes a forecast pressure on the Winter Maintenance budget of +£141k. Without this pressure the Directorate would be forecasting an underspend of -£1.685m.

**Finance & Customer Services (-£573k forecast underspend)**

- 3.32 Overall the Directorate is forecasting an underspend of -£573k. This is an improvement of £153k since the December monitoring report and is largely as a result of the spend moratorium. The main pressures relate to a forecast overspend on statutory and planning notices (£45k) and unachievable income targets within central and planned print within the Business Unit.
- 3.33 The above Directorate pressures are fully mitigated by underspends within Electoral Services (-£25k), staffing underspends within Procurement due to vacant posts (-£111k), reduced pension charges and training budget underspends (-£23k), staffing savings from vacancies within Internal Audit (-£35k), Financial Services (-£140k), Customer, Information and Digital Services (CIDS) (-£56k) and an underspend in the Revenues and Benefits service from vacant posts and maximising flexibility in the use of grant funding (-£267k).

**Assistant Chief Executive (-£130k forecast underspend)**

- 3.34 Overall the Directorate is forecasting to deliver an underspend of -£130k; a further improvement of £33k since the December report. However, there are various forecast pressures and savings within this that should be noted. The main forecast pressure in Communications and Media of £112k is in respect of additional staff costs (£56k), subscription and system costs (£37k) and reduced income generation within the Design Studio (£19k). There are also increased staff cost pressures due to increased management support arrangements (£34k).
- 3.35 These pressures are fully mitigated by staff cost savings within Policy and Partnerships -£129k which includes additional one year funding from Local Government Association (LGA) -£31k and reduced costs relating to members including Member Allowances -£164k, vacant posts within the HR and Payroll service and from a number of management actions agreed across the Directorate to ensure spend is minimised where it is appropriate to do so.

**Corporate & Central Services (-£755k forecast underspend)**

- 3.36 The Corporate and Central services forecast assumes that a £755k underspend will be delivered, and will be used to help mitigate the Council's overall financial position.

This net forecast underspend includes key components:

- Non-delivery in 2016/17 of the budgeted savings in relation to changes in staff terms & conditions of £1m;
- Cost of legal investigations (£140k);
- A forecast £1.4m underspend on the capital financing budget as a result of the Council being able to reschedule a market loan, changing interest rate forecasts post-Brexit Referenda, and a reduced borrowing need in year;
- Less superannuation payments to the South Yorkshire Pensions Fund than budgeted creating a forecast saving of £338k this financial year;

- The cost of the Integrated Transport Authority and Coroners levies are less than budgeted by £244k; and
- £304k forecast reduction in the level for Education Support Grant from the Department for Education due to the increased number of schools now expecting to convert to academies by the year end. (The grant is scaled back each quarter as further schools convert).

**Housing Revenue Account (HRA) – (Forecast -£6.169m underspend)**

- 3.37 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 forecast for the HRA is a transfer to reserves of -£6.169m mainly due to delays in the strategic acquisitions programme (-£2.7m) until 2017/18. There is also a forecast underspend in respect of housing repairs (-£0.9m) in respect of empty homes due to faster void turnaround, supervision and management (-£0.5m) due to higher than expected staff turnover and underspends on non-pay budgets, lower than anticipated HRA capital financing costs (-£231k), and a forecast underspend on the provision for bad debts (-£296k). There is also forecast additional rental income due to more property acquisitions than budgeted plus a reduction in loss of income through void properties (-£950k) plus additional income from charges for services and facilities in respect of the Furnished Homes Scheme (-£0.4m).

**Capital Programme**

**Background**

- 3.37 The Council's Capital Strategy and Capital Programme (2016-2021) were approved by Council on the 2<sup>nd</sup> March 2016. Further updates to the Capital Programme were approved by the Cabinet/Commissioners Decision Making Meeting of the 11<sup>th</sup> April 2016 in relation to the Housing Investment Programme 2016/17 and the CYPS Capital Programme 2016-2018. In addition, Cabinet/Commissioners Decision Making Meeting of the 11<sup>th</sup> July 2016 approved carry forwards totalling £4.363m from 2015/16 into the 2016/17 Capital Programme. In year financial monitoring reports have included requests for variations to the Capital Programme which have been approved by Council.
- 3.38 The Council's Capital Strategy (2016-2021) has now been the subject of a review and refresh, with the Capital Strategy (2017-2022) approved by full Council on the 8<sup>th</sup> March 2017. Council approved a total Capital Strategy of £280.240m. This requires prudential borrowing of £49.636m to fund non-HRA schemes over the five year period, for which provision has been made in the revenue budget for the associated financing costs.

### Current Summary Position

- 3.39 The table below shows the estimated outturn position for the approved Capital Programme (2016-2017) by Directorate. This is showing a forecast underspend of £9.038m in 2016/17. The underspend in the Adult Care & Housing Directorate follows a review of current and future years HRA investment as a result of changes to Government policy leading to a reduction in available funding. Underspends in 2016/17 in the Regeneration & Environment, Children & Young People's Services and Finance and Customer Services Directorates will in the majority of cases be re-profiled into 2017/18. The key reasons for the underspends are identified in the Directorate commentaries below.

**Table 2: February Cumulative - Forecast Capital Outturn 2016/17**

Directorate	Current Year			
	Budget £	Forecast £	Variance £	
Children & Young Peoples Services	7,970,598	6,863,579	-1,107,019	
Adult Care & Housing	31,184,956	29,256,119	-1,928,837	
Regeneration & Environment	20,328,169	14,951,134	-5,377,035	
Finance & Customer Services	6,413,039	5,788,295	-624,744	
<b>Total</b>	<b>65,896,762</b>	<b>56,859,127</b>	<b>-9,037,635</b>	

### Directorate Programme Area Commentaries

#### Children and Young People's Services (CYPS) Capital Programme

- 3.40 The CYPS Capital Team's priorities for the available capital grant funding are;
- Schools to be kept safe, dry and warm for all its pupils;
  - Sufficient pupil places for a rising population.
- 3.41 There are two main grant funding streams available, the details of which are below:
- **School Condition Allocation** is a grant fund that is devolved to local authorities to improve the infrastructure of the school estate in line with the local asset management plans. It places the emphasis on the local authority to prioritise essential building condition work within their school estate; which includes primary schools, secondary schools, special schools, City Learning Centres and Children's Centres. The projects which will benefit from this grant funding over the period are the capital maintenance projects. A budget is allocated each year and the individual school priorities are assessed according to need and the priority of keeping schools safe, dry and warm.

- **Basic Need** grant funding enables local authorities to provide additional school places to cope with growing numbers. This grant is allocated by the Department for Education (DfE) over 3 years and is in recognition of the unprecedented increase in pupil numbers being experienced by many local authorities.

3.42 The CYPS programme forecast outturn for 2016/17 is £6.864m, which represents a forecast underspend of £1.107m. The key underspends within the Directorate are as follows. A re-profiling of expenditure on the Special Educational Needs provision of £450,000 into 2017/18, an underspend of £185,000 on the capitalisation of Schools PFI lifecycle expenditure, following the provision of information on actual spend by the PFI contractor and a re-profiling of expenditure of £125,000 on the Hutton Park scheme into 2017/18.

### **Adult Care and Housing (ACH) Capital Programme**

3.43 The key element of the ACH programme is the Annual Housing Investment programme to maintain decency, carry out stock improvements, aids and adaptations and new stock provision, energy efficiency and environmental works to our 21,000 Council homes. These properties currently meet Rotherham decent homes plus standards and we continue to improve access and reduce CO2 emissions.

3.44 There have been significant national policy changes since the original Housing Investment Programme was set for 2016-17. These include a rent reduction of 1% per year for the period 2016-17 to 2019-20 and the introduction of a High Value Property Levy. As a result of these changes, there has already been a significant reduction in forecast income to the HRA. The pressures on HRA budgets will increase further once the Council has been informed from government how the High Value Property Levy will be calculated. Based on information published to date this may result in a charge of up to £3.5m per annum.

3.45 The policy changes in the Housing and Planning Bill and Welfare reform bill, will potentially also increase Right to Buy sales. Although this will generate capital receipts, over the longer term income to the HRA will reduce. This will mean there are fewer resources to invest in Council housing throughout the borough. As a result the Housing Investment Programme for 2016-17 and 2017/18 has been reduced to reflect this. Alongside the review of capital costs the Housing Service are also embarking on a review of HRA revenue costs.

3.46 The Adult Care and Housing (ACH) Capital Programme 2016/17 forecast programme outturn is £29.256m, which represents a projected underspend of £1.929m. The majority of the underspend relates to Aids and Adaptations (£695,000), Strategic Acquisitions (£501,000), External Insulation (£238,000) and Major Voids (£265,000).

### **Regeneration and Environment**

3.47 The key themes for capital expenditure within the Regeneration and Environment (R&E) Directorate include:



- Investment in Highways infrastructure projects and maintenance. This includes £2m investment in 2016/17 in the Borough's unclassified roads network, as part of a programme to permanently repair 50km of the network, building on the £3m investment in 2015/16 with works being clearly targeted at maximising the improvement to the durability and condition of the network.
- Works focussed on maintaining the operational functionality of Council-owned buildings such as office spaces, schools, markets, libraries and museums. This includes works to CYPs properties (£900,000).

3.48 The R&E forecast programme outturn is £14.951m, which represents an underspend of £5.377m. The majority of this spend will be re-profiled into 2017/18. The underspends are across the programme as a whole, the main underspends being as follows.

- Issues with the SCR approval processes in respect of the Sustainable Transport Exemplar Programme (STEP 2), have led to delays in projects commencing. A forecast underspend of £732,000 on the programme in 2016/17 will be carried forward into 2017/18.
- The £499,000 allocation for Brinsworth Library will be re-profiled into 2017/18.
- A number of projects within the Corporate Property Unit have not yet commenced. These include the Maltby Library Relocation (£275,000), Rother Valley Country Park Replacement Heating (£250,000) and further works at Bailey House (£295,000).
- In addition, there has been a saving on the acquisition of Forge Island of £277,000 as the result of the letting of the demolition contract, the cost of which was significantly reduced by income from the salvage of materials. Further, properties at Riverside Precinct have not yet been acquired.

### **Finance and Customer Services**

3.49 The Finance and Customer Services programme 2016/17 forecast outturn is £5.788m, which represents a forecast underspend of £625,000. Projects within this Directorate relate to the Council's ICT and Digital Strategy. The underspend relates to the Computer Refresh Programme (£440,000) and the Replacement of Server Equipment (£145,000). Both of these budgets will be re-profiled into 2017/18. The forecast outturn position includes £2.3m of transformational expenditure, funded by capital receipts, using the Government's capital receipts flexibilities.

3.50 The following additional Projects are not yet included in the Capital Programme:

- Acquisition of Advanced Manufacturing Park Technology Centre – A paper to approve Sheffield City Region funding for this acquisition is due to go to a meeting of the Combined Authority on the 22<sup>nd</sup> March. Subject to this approval and finalisation of the due diligence being undertaken by this Council, the acquisition, fully funded by grant, is expected to take place by the 31<sup>st</sup> March 2017.

- Capitalisation opportunities – It is currently anticipated that £1.2m of Highways expenditure will be capitalised. This will be finalised as part of the closedown of the Council's accounts. Other capitalisation opportunities that are not currently reflected in the monitoring position may also be considered as part of the year end process.

### Funding of the Capital Programme

- 3.51 The table below shows the current forecast outturn position for the funding of the approved Capital Programme (2016/17) by Directorate. This reflects the forecast underspend of £9.038m in 2016/17.

**Table 3 February forecast outturn for Capital Funding**

Funding Stream	Current Year			
	Budget £'000	Forecast £'000	Variance £'000	
Grants And Contributions	17,629	16,223	-1,406	
Major Repairs Allowance	20,739	19,906	-833	
Prudential Borrowing	14,376	10,841	-3,535	
Revenue Contribution	5,797	4,739	-1,058	
Usable Capital Receipts	7,356	5,150	-2,206	
<b>Total</b>	<b>65,897</b>	<b>56,859</b>	<b>-9,038</b>	

### Collection Fund

- 3.52 The Collection Fund is the technical term for the statutory fund into which Council Tax and Business Rates income and costs are accounted for. It is forecast that the budgeted level of Council Tax and Business Rates will both be achieved.

## 4. Options considered and recommended proposal

- 4.1 With regard to the current forecast revenue overspend, significant management actions have been implemented (as referred to in paragraph 2.7) and the impact of these will be included in future financial monitoring reports to Cabinet.
- 4.2 It is inevitable that, to the extent that expenditure cannot be reduced in year or be legitimately capitalised, there will be an impact on the Council's reserves.

## **5. Consultation**

- 5.1 Budget Managers, Holders and Operators across the Council and the Strategic Leadership Team (SLT). Regular budget challenge meetings are taking place to review the forecast positions for each Directorate before they are finalised with the aim of improving the Council's overall forecast position. These involve each Directorate Management Team, the relevant Cabinet Members, the Cabinet Member for Finance and the Assistant Director of Finance.
- 5.2 The continuing approach to treasury management has been discussed with the Council's External Treasury Management Advisors, Capita Asset Services, who have confirmed that this is a prudent approach given current market conditions.

## **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.

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

- 7.1 There is currently a projected overspend of £2.017m and specific financial details and implications of this overspend and plans to deal with it are set out within section 3 of this report. It is imperative that robust controls remain in place to minimise the required call on reserves.
- 7.2 The Council needs to deliver savings and cost reductions of £24m in 2017/18 and around a further £42m in the following two financial years.. .

## **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 Adults Social care and also refers to investments in those services.

## **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 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 2015/16 accounts or identified in-year to date is not included in this report.
- 13.3 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.
- 13.4 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.
- 13.5 The Council's 2016/17 Budget included a requirement to fund the first £2m of severance costs from in-year capital receipts. The actual level of capital receipts for 2016/17 for the first eleven months of 2016/17 is £2.320m. It is unlikely that there will be further significant capital receipts in the final month of 2016/17. The in-year receipts are planned to be used to help mitigate some of the forecast overspend in this report and to reduce the extent to which the Council needs to use reserves to deliver a balanced financial outturn for 2016/17.

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

Pete Hudson – Chief Finance Manager

Approvals Obtained from:-

Strategic Director of Finance and Customer Services:- Judith Badger

Assistant Director of Legal Services:- Dermot Pearson

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**DIRECTORATE** Children and Young People's Services  
**Budget Monitoring Period:** Forecast Outturn as at February 2017

Service description	Forecast:		Nature of under/overspend: (eg. Staffing, Supplies & Services, income, etc)	Reason(s) for forecast under/overspend
	Overspend (+) £'000	Underspend (-) £'000		
Child Sexual Exploitation team (EVOLVE)	9		Staffing, Grant income	Costs of initial team, including agency staff to check and screen enquiries from ongoing/active investigations. Costs of agency staff & interims over & above the slippage on vacant posts (£252k). This has broadly been offset by income from DfE bid for Immediate Need Funding (£243k)
First response	34		Staffing, supplies & services	Costs of agency staff & interims over & above the slippage on vacant posts
Locality Social Work teams	70		Direct payments	Pressure on Direct Payments from an increase in numbers and from clients who have more complex educational and disability needs
Children's Rights Team, Safeguarding Board, Operational Safeguarding Unit		-8	Staffing, supplies & services	Slippage on vacant posts partially offset by costs of agency staff
Directorate and Social Care Management	129		Staffing, supplies & services	Interim costs and additional temporary recruitment of staff, recruitment agency costs and additional management support costs
Children in Care staffing, Fostering allowances, Fostering placements, Adoption placements	2,837		Placements, allowances, supplies & services	Residential Out of Authority placements (£1,847k), Independent Fostering Placements (£840k). These forecasts allow for LAC numbers to be at 500 as at March 2017 and provide for more higher cost 16+ placements (£150k). Any increase above the current estimate of 500 or the transfer of existing placements to a more expensive provision will result in a further pressure on social care budgets.
Education, Health and Care assessment and processing, Special Educational Needs and Disability (SEND)		-269	Placements	Social care contribution towards Complex Needs placements. The realignment of costs has resulted in savings.
Rockingham PDC, School Music Service, School Effectiveness, School planning, admission and appeals	160		Income	Reduced income assumptions from traded activities
Training budget		-35	Staffing, supplies & services	Reduction in use of training development budget to mitigate overspend position
Residential homes		-750	Various	Savings expected to achieve in year including the saving from the closure of St Edmunds. To be used to offset pressure on LAC placements budgets
Early Help Localities, Children's Centres		-258	Staffing, supplies & services	In year savings against Children's Centres. Forecast savings due to vacancy management
Locality Social Work (staff), Children in Care (consultation & publicity)		-89	Staffing, supplies & services	In year mitigations, vacancy freeze and savings on consultation & publicity expenditure
Early Years		-100	Various	Review of expenditure transferred to Early Years DSG Block
	3,239	-1,509		
	1,730			

Service	Forecast:		Nature of under/overspend: (eg. Staffing, Supplies & Services, income, etc)	Reason(s) for forecast under/overspend
	Overspend (+) £'000	Underspend (-) £'000		
<b>Adult Social Care</b>				
Adults General		-9	Supplies & Services	Employment contracted extended to end December 2016 plus additional recharge for management support offset by planned training deferred until 2017/18 and savings from recruitment to senior management posts.
<b>Older People</b>				
Independent Residential Care	610		Third Party Payments	Budget pressure due to reduction in Care Act funding, plus Continuing Health Care budget shortfall (£260k). Number of placements continues to reduce since April, however, average net cost per client is increasing.
Direct Provision residential Care	18		Supplies & Services	Income pressure as beds have been converted to intermediate care provision and are no longer eligible to be charged to clients plus reduction in full cost paying clients.
Enabling/Domiciliary Care	1,069		Third Party Payments	Continued increase in average weekly cost of Domiciliary Care due to additional demand (+119 clients, +12%), impact of national living wage plus recurrent budget pressure in respect of income from fees and charges (charges are based on financial assessments and currently 58% of clients do not pay towards the cost of their care).
Assessment & Care Management		-550	Staffing & Income	Non recurrent Health Funding brought forward from 2015/16 plus higher than anticipated staff turnover, fully reflects the restructure.
Direct Payments	1,771		Third Party Payments	Full year impact of 46% increase in clients in 2015/16, reduced by non recurrent Better Care Funding (£500k). Increase in client base is due to a mixture of demographic pressures and clients moving from a Domiciliary Care Contract, in total this has seen 168 new clients. Action being taken to review packages & reduce overall costs.
Extra Care/Day Care/Transport		-175	Staffing & Income	Higher than anticipated staff turnover. Forecast additional Income from the increase in charges from 1 January 2017 plus savings on review of non essential spend.
Client Community Support Services		-18	Staffing	Higher than anticipated staff turnover & delayed implementation of Advocacy Contract plus review of non essential spend.
<b>Learning Disabilities</b>				
Supported Living		-523	Staffing	Higher than anticipated staff turnover & Carers costs lower on Shared Lives schemes due to lower than anticipated take up.
Residential Care	560		Third Party Payments & Income	Includes anticipated outcome of the review of high cost placements, the current forecast overspend is based on actual expenditure and activity less the calculated impact of service review and an increase in the level of Continuing Health Care Income recoverable by the service. Additional investment has been agreed to fund the demographic pressures in respect of the cost of transitional placements from Children's (£250k). Also included is the non achievement of the budget saving on in-house residential and respite care (£183k).
Day Care		-240	Staffing	Current Transport provision £110k pressure offset by higher than anticipated staff turnover plus efficiency savings on non essential spend. Service under review as part of Adults Development Programme including consultation with service users and carers. Additional investment has been agreed to fund the demographic pressures in respect of the cost of transitional placements from Children's (£100k).
Direct Payments		-180	Third Party Payments	Full year impact of 30% increase in clients in 2015/16 offset by additional budget allocation. Additional 25 service users since April 2016 (+11%).
Domiciliary Care/ community support		-8	Third Party Payments	Decline in demand for community support services
Health Authority Supported Living		-491	Third Party Payments	Savings from the change in provision from residential care to supported living schemes.
Assessment & Care Management	99		Staffing	Additional cost of agency staff to undertake review of high cost care packages
<b>Mental Health</b>				
Independent Residential Care	749		Third Party Payments	Full year impact of high cost placements in 2015/16, including transfer of cost of a Rotherham resident placement by a Neighbouring Authority and loss of Continuing Health Care funding for another placement.
Direct Payments	406		Third Party Payments	Full impact of 12% increase in demand in 2015/16 plus loss of one -off funding from Public Health.
Day Care/Community Support		-17	Staffing & Third Party	Contract Efficiency Savings & Higher than anticipated staff turnover
Assessment & Care Management		-140	Staffing	Higher than anticipated staff turnover
<b>Physical &amp; Sensory</b>				
Direct Payments	1,166		Third Party Payments	Full impact of 3% increase in demand in 2015/16 plus additional increase of 14 clients since April 2016 (+4.5%).
Independent Residential Care	518		Third Party Payments	Full year impact of significant increase in client numbers in 2015/16 (12 placements - 5 new clients plus loss of CHC for 7 clients ).
Domiciliary Care	50		Third Party Payments	Initial decrease in client numbers (-7%) but steady increase starting to emerge from September onwards, also an increase in the average cost of package.
Day Care/Equipment/Advice & Information		-250	Third Party Payments/Supplies and	Reduction in demand for Independent Day Care including transport plus savings from alternative provision of some day care services
<b>Safeguarding</b>		-233	Staffing & income	Higher than anticipated staff turnover & additional income from partners and fee income from administration of Court of Protection
<b>Supporting People</b>	72		Supplies and Services	Forecast shortfall in achieving 2016/17 budget savings on service contracts.
<b>Commissioning &amp; Performance</b>		-124	Staffing, Supplies & Services	Higher than anticipated staff turnover & savings on advocacy contract.
<b>Housing</b>				

Strategic Housing Investment	6		Staffing	Small forecast overspend due to lower than anticipated staff turnover
Housing Options		-676	Staffing/Income	Delay in recruitment to vacant post plus increase in fee income in respect of Furnished homes scheme
Central		-9	Supplies and Services	Review of non essential spend plus small savings on insurance and pension costs
Neighbourhood Partnerships		-162	Staffing	Recruitment to staff vacancies on hold pending review of Area Assembly and Community Cohesion services plus underspend on Community Leadership Fund pending request to carry forward
<b>Total</b>	<b>7,094</b>	<b>-3,805</b>		
<b>Net Under/Overspend</b>	<b>3,289</b>			

DIRECTORATE

Regeneration & Environment

Budget Monitoring Period:

Forecast Outturn as at February 2017

Service	Forecast:	Nature of under/overspend:	Reason(s) for forecast under/overspend
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	Overspend (+) £'000	Underspend (-) £'000	(eg. Staffing, Supplies & Services, income, etc)	
<b>Business Unit</b>				<b>Service Total (-£101k) underspend</b>
Business Unit		-101	Staffing	Reduced training budget spend particularly in relation to the Health & Safety training programme -£79k. Reduced non-pay spend due to the moratorium -£19k. Small saving on pension costs -£3k.
<b>Community Safety &amp; Street Scene</b>				<b>Service Total (-£300k) underspend</b>
Network Management		-54	Staffing, Supplies and Services & Income	Street Lighting -£63k mainly from reduced energy bills following improvement works, additional Parking income -£17k, and staff savings due to vacant posts and some deferred expenditure in Streetworks -£12k. There are some small pressures totalling +£38k across the rest of Network Management. <b>Winter Maintenance is shown below.</b>
Street Scene Services	82		Staffing, Supplies and Services & Income	Corporate Transport Unit has an overspend +£135k, due to delayed implementation of the savings proposals within the Corporate Transport Unit (CTU) +£43k, and Home to School Transport +£81k due to changes in demand. The net position on Cleansing and Grounds Services is an underspend of -£53k. This is made up of staff savings on the overheads account -£24k, Cleansing Services +£32k on Street Cleansing environment, based on the average of work undertaken to date on graffiti and fly tipping, this is being mitigated by savings across the rest of the Cleansing budgets -£55k. Grounds Maintenance small saving -£6k. A review of waste services is being undertaken therefore reporting a break even position.
CSS Corporate Accounts	62		Staffing	Staff cost pressure in relation to the delay in implementing a staffing restructure plus additional management support costs.
Community Safety		-64	Staffing	Staff savings and additional one-off grant income within Community Safety.
Business Regulation	23		Staffing	The service has operated for a large part of the year with significant vacancies, approval to fill vacant posts has been agreed so this will be non-recurrent. A review of income forecasts together with additional legal costs have caused an increased pressure resulting in a net +£23k overspend this month.
Safer Neighbourhoods		-265	Staffing & Supplies and Services	Predominantly staff budget savings through vacant posts.
EP & Health & Safety		-84	Staffing	Vacant posts and reduced in year spending in Emergency Planning (-£25k) and in Health & Safety (-£60k).
<b>Culture, Sport &amp; Tourism</b>				<b>Service Total (-£360k) underspend</b>
Green Spaces	48		Premises & Income	Key pressure on Green Spaces is under recovery of income at RVCP, which is being partly mitigated across the rest of Green Spaces.
Sports Development		-4		Savings made on non pay budgets are mitigating small pressures on staffing and income.
Leisure Facilities	0	0		
Trees & Woodlands		-33	Staffing & Income	Staff savings -£14k, non-pay -£11k and -£8k over recovery of income.
Landscape Design	4		Income	Income projections have been amended to reflect changes made causing delays delivering service.
Leisure, Tourism & Green Spaces - General Management		-24	Staffing	A decision taken to capitalise some Green Spaces expenditure has freed up some revenue funding allocated for this purpose, showing an improved position.
Tourism & Marketing		-76	Staffing	Staff saving due to vacant posts, -£56k, which allows recruitment of a consultant to undertake a key piece of work related to Rotherham Show. Additional savings are due to an Events Budget not delivering a full programme in year. A request for carry forward budget is recommended.
Libraries		-167	Staffing & Supplies and Services	Staffing underspends whilst being in the consultation period -£67k and savings on non pay budgets -£100k, including a reduced spend on books and materials forecast at this stage in the financial year.
Cultural Services Management	213		Supplies and Services	This account is now showing the balance of the savings for 2016/17 which have not yet been allocated across Culture and Customer Services.
Customer Services		-140	Staffing, Supplies & Services and Income	Staff savings -£130k, a review of non pay budgets -£48k and income forecasts have been updated to reflect reduced funding from HRA and grants +£38k.
Heritage Service		-2		A small variance on budget is currently reported, this is dependent on HLF monies.
Theatres		-130	Staffing, Supplies and Services & Income	Vacant posts for part of the year and a small over recovery of income.
Museum, Galleries & Archives		-33	Staffing & Supplies and Services	Mainly due to staff savings by non filling of vacant posts, with reduced spend on non pay budgets resulting from recent reviews.
Culture, Sport & Tourism Management		-16	Staffing & Supplies and Services	Staff savings due to post holder commencing employment mid-October, partially offset by additional management support costs, and some unbudgeted staff costs.
<b>Planning, Regeneration &amp; Transportation</b>				<b>Service Total (-£923k) underspend</b>
Estates	162		Staffing & Income	Estates Team under recovery of income +£283K which is a direct result of the current vacant Principal post and resulting inability to secure external work and an increase in non-fee earning work. The under recovery of income is partially off set by the vacancy -£58K and underspending on non pay -£63K.



Facilities Management		-711	Premises & Income	Land and Property Bank -£294k due to the reduced estate, and Facilities Management Team -£105k staff vacancies, Corporate Property Portfolio -£194k underspend. An approval to capitalise some works is now reflected on premises related costs -£157k. A pressure due to unrealised savings on Community Buildings +£39k due to the delay in the planned closure programme.
Building Design and Corporate Projects	10		Staffing & Income	Staff saving -£43k, and small non pay pressure +£3k with +£50k forecast under recovery of income, which has been revised to reflect known work and probable work to be instructed.
Corporate Environmental Team	14		Staffing & Supplies and Services	£7K overspend Carbon Reduction Commitment - payment higher than budgeted, £4k staff cost pressure, £3K overspend subscriptions.
Children's Capital Team		-43	Staffing	Income from Academy Schools for building officers support.
Corporate Property Management	39		Staffing	Staff cost pressure ,increased insurance costs and unfunded costs (+£30k) regarding Dearne Valley Eco-Vision Project.
CYPS Property		-22	Premises related costs	High levels of reactive maintenance and increased costs of building cleaning, offset by savings on closed properties and reduced forecast on caretaking costs.
R&E Property	21		Premises related costs	Increased costs due to reactive works.
ACH Property	10		Premises related costs	Increased costs due to reactive works.
Regeneration/Economic Development		-14	Income	Economic Development +£73k, due to Westgate Chambers now expected to remain with RMBC until March 17 therefore costs have been forecast to year end (£23K pressure) also included is (+£31K) re-payment to HCA Riverside Precinct (+£22K) unachievable rental income budget. Forge Island (+£7K) overspend Legals for purchase. RERF -£87K under after capitalisation of (£85K) Pit House West site investigations and cessation of any further expenditure.
Managed Workspace (Business Centres) Management	23	-7	Staffing	Represents the value to be transferred to the reserve.
Markets	33		Staffing & Supplies and Services & Income	Increased costs on Employer Liability Insurance and contribution to increased management support costs.
Planning & Building Control	63		Supplies & Services and Income	Overspend primarily due to higher than expected CEC charges, Estates Team Fees and non pay costs +£17k, staffing costs +£23k and improved income -£6k partly mitigating the total pressure
Rotherham Investment & Development Office (RIDO)		-290	Income	Under recovery of income +£20k for both Planning & Building Control has been reduced this month. Non pay costs are over budget by +£100k. These are being partially mitigated by some staff savings -£57k.
Transportation	37		Staffing and income	DMT Star Chamber 3/8/16 - decision taken to adjust the forecast to use reserves and funding from Department of Business, Energy and Industrial Strategy (BEIS).
Facilities Services		-218	Staffing and income	Highways +£56K pressure due to under recovery of fees due in turn to vacancy and sickness. Position improved from last month due to release of fees from A618/A57 scheme. Transportation net -£19k variance improved by £64K due to revised income forecast. Income forecast includes amounts to be capitalised relating to work undertaken by AW (£42K).
School Crossing Patrol		-30	Staffing	Living wage increase lower than anticipated. Charges set on basis of higher living wage. The School Catering Service overspend is expected to be offset by use of the reserve and the figures reflect this adjustment.
<b>Total</b>	<b>844</b>	<b>-2,528</b>		Service making use of relief staff and minimal cover, on a risk assessment basis, rather than recruiting to vacant posts, in anticipation of future years savings.
<b>Net Under/Overspend (excludes Winter)</b>	<b>-1,685</b>			

Clarification on how the pressure for Winter Service should be reported has been provided, and the figure will now be reported within R&E, as from February 2017.

The current forecast above budget is £141k.

<b>R&amp;E Revised Under/Overspend</b>	<b>-1,544</b>	<p>expected to be at this point in the calendar year.</p> <p>Comparative data from the last 5 years suggests a further £236,467 will be spent in Feb/Mar, however spend is highly weather dependent - for example in 2012/13 an additional £590k was spent during Feb/Mar.</p> <p>With a budget of £459k, the projected call on Central resources is forecast to be £141,000</p>
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DIRECTORATE

Finance & Customer & Corporate Services

Budget Monitoring Period:

Forecast Outturn as at February 2017

Service	Forecast:	Nature of under/overspend:	Reason(s) for forecast under/overspend
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	Overspend (+) £'000	Underspend (-) £'000	(e.g., Staffing, Supplies & Services, income, etc)	
Legal Services		-8	Staffing & Supplies & Services	Additional pressures on non staffing costs - printing/postages/staff advertisement offset by overachieved income and vacancy control.
Elections		-25	Staffing & Supplies & Services	Staff cost pressure £16k, projected overspend on postages £16k and overspend on registration canvassing £6k, projection for unbudgeted by-election £34k, offset by additional bid for grant to offset additional costs on the Individual Electoral Registration -£24k and underspend on Municipal election due to shared May election -£73k
Statutory Costs	45		Supplies and services	Forecast overspend due to volume of statutory notices/planning notices and Local Plan Inquiry.
Business Unit	18		Staffing, Supplies & Services & Income	Unachievable income target relating to Central Print and Planned Print partly offset by lower than budgeted costs for printing £65k, underspend in staffing due to vacant posts/maternity leave/reduction to contracted hours -£21k, renegotiation of contract rates for post room resulting in projected saving of -
CIDS		-56	Staffing	Forecast underspend due to vacancy control.
Procurement		-97	Staffing, Supplies & Services & Income	Underspend on salaries due to vacancies within the team less cost of advertising -£111k, costs associated with service review £25k additional income relating to System Management Fee -£5k and grant towards Improvement and Development -£6k
Financial Services		-155	Staffing, Supplies & Services & Income	Underspend on staffing due to vacancy control -£140k, lower than anticipated pension charges (former employees) -£16k and underspend on training budget -£7k, projected overspend on supplies & services budgets including postages and insurance £8k.
Revenues & Benefits		-267	Staffing, Supplies & Services & Income	Forecast underspend due to vacancy control -£236k, overspend on non staffing budgets throughout the accounts £30k, lower than anticipated one-off grant allocations £14k, and lower than anticipated costs relating to the Cost of Collection account -£75k.
Internal Audit		-34	Staffing, Supplies & Services & Income	Staff underspend due to vacant posts -£35k and unbudgeted income and recharges -£29k, pressures within contracted services £30k
Strategic Dir of F&CS	6		Supplies & Services	Pressures on printing, training
<b>Total</b>	<b>69</b>	<b>-642</b>		
<b>Net Under/Overspend</b>		<b>-573</b>		

## DIRECTORATE

## Assistant Chief Executive

## Budget Monitoring Period:

Forecast Outturn as at February 2017

Service	Outturn Variance 2016/17		Nature of under/overspend: (e.g., Staffing, Supplies & Services, income, etc)	Reason(s) for forecast under/overspend
	Overspend (+) £'000	Underspend (-) £'000		
Communications and Media	112		Staffing & Supplies & Services, income	Unfunded Systems & Subscription costs £37k, staff pressures due to maternity leave/contract extension £56k. There is also an under achievement on income from Design studio £19k.
Democratic Services		-122	Staffing, supplies & services, income & Members allowances	Additional staff cost pressure £29k, estimated under achieved Town Hall Catering income £13k, pressures on supplies & services budgets £5k, offset by savings on members allowances and national insurance/pension payments and projected underspend on room hire/hospitality/travel/development costs for members -£164k, projected underspend on Town Twinning Events -£5k.
Human Resources (HR) & Payroll - Corporate Services		-2	Staffing, supplies & services, income	There are staff pressures due to interim management arrangements, maternity cover costs and costs relating to Trade Union staff, cost of advertising Head of HR post totalling £76k, a loss of income from schools £52k. However these pressures are offset by forecast additional income on the council's salary sacrifice schemes and recharges on staff advertisement -£118k and a delay in the Employee survey and underspends against supplies and services -£12k.
HR & Payroll - Service Centre		-35	Staffing, supplies & services, income	Loss of traded income from schools and VAT reclaim from mileage receipts £14k and loss of income due to drop in demand for DBS checks £13k. Pressures on the printing/postages and contracted services budgets including costs for system upgrade/training £90k. This is offset by underspends on salaries due to vacant posts, maternity leave and staff working less than contracted hours -£152k.
Policy and Partnerships		-129	Staffing, supplies & services, income	Staff underspend due to vacant posts -£87k, and use of additional 1 year funding from the Local Government Association (LGA) -£31k, projected underspend on Infr & Corporate Initiatives budget -£11k.
Chief Executives Office	12		Staffing, Supplies & services	Additional pressures relating to printing, subsistence, transport costs
Management Support	34		Staffing	Additional staff pressure due to management support arrangements.
<b>Total</b>	<b>158</b>	<b>-288</b>		
<b>Net Under/Overspend</b>		<b>-130</b>		

Public Report  
Cabinet and Commissioners' Decision Making Meeting

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## **Summary Sheet**

### **Council Report**

Cabinet and Commissioners' Decision Making Meeting – 10 April 2017

#### **Title**

Non Domestic Rates – New Discretionary Relief Categories from 2017-18

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

Not a Key Decision but this report is on the Forward Plan

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

Judith Badger, Strategic Director of Finance and Customer Services

#### **Report Author(s)**

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, Strategic Finance –

Tel: 01709 822019 Email: [anne.ellis@rotherham.gov.uk](mailto:anne.ellis@rotherham.gov.uk)

#### **Ward(s) Affected**

All

### **Summary**

The Government announced changes to specific business rates reliefs for 2017-18 in the 2016 Budget and Autumn Statement. This report sets out details of the proposed changes affecting rural rates relief and local newspaper offices. The Government has asked that Councils use their discretionary relief powers under section 47(3) of the Local Government Finance Act 1988 to:

- award 100% relief to rural business rate payers with effect from April this year, resolving an anomaly in the relief system; and to
- award a temporary discount to offices used by local newspapers, where the office space is used wholly or mainly for journalists and reporters.

The Government have stated that they will reimburse the Council for the actual cost of granting these additional reliefs.

In addition, information has been circulated by the Government in respect of a new 100% mandatory business rates relief for Telecom fibre optic infrastructure. Although this is planned to take effect from April 2017, details of the changes have yet to be confirmed in legislation and relief will therefore be backdated to the start of the financial year once details are known and the legislation is in place.

### **Recommendations**

1. That discretionary relief powers be used to award 100% relief to rural ratepayers with effect from 1 April 2017.
2. That a temporary discount be awarded to eligible local newspapers for the 2017-18 and 2018-19 years, subject to State Aid rules.
3. That, pending confirmation in legislation, the Government's intention to allow 100% relief for Telecom fibre optic infrastructure from April 2017 be noted.

### **List of Appendices Included**

None

### **Background Papers**

Department for Communities and Local Government – Business Rates Information Letter (3/2016)

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

This report has been considered by the relevant Cabinet Member and the Member is supportive of the recommendations.

### **Council Approval Required**

No

### **Exempt from the Press and Public**

No

## **New Applications for Discretionary Rate Relief Top-Up**

### **1. Recommendation**

- 1.1 That discretionary relief powers be used to award 100% relief to rural ratepayers with effect from 1 April 2017.
- 1.2 That a temporary discount be awarded to eligible local newspapers for the 2017-18 and 2018-19 years, subject to State Aid rules.
- 1.3 That, pending confirmation in legislation, the Government's intention to allow 100% relief for Telecom fibre optic infrastructure from April 2017 be noted.

### **2. Background**

- 2.1 Existing regulations under section 47 (3) of the Local Government Finance Act 1988 allow Local Authorities to grant discretionary relief to business ratepayers. The Council is asked to use these powers in respect of two government proposals to grant relief from April this year, for which the Council will be fully reimbursed. Details of the proposals are set out below.

#### **2.2 Rural Rate Relief**

- 2.2.1 At the 2016 Autumn Statement last November, the Government confirmed that rural rate relief will double from 50% to 100% from 1 April 2017.
- 2.2.2 The Rural Rate Relief scheme was introduced to help protect the last retail outlets and similar services in designated rural settlements with a population of less than 3,000. Under the scheme the following businesses are entitled to 50% mandatory relief:
  - The only post office, the only general store or a food shop with a rateable value of up to £8,500
  - The only public house or petrol station with a rateable value of up to £12,500.
- 2.2.3 Under current legislation, the rural rate payers receive 50% mandatory Rural Rate Relief but are unable to claim Small Business Rates Relief. All properties which qualify for Rural Rates Relief in 2016/17 would have previously been eligible for 100% Small Business Rates Relief. The Government have introduced changes from 2017/18 to address this recognised legislative anomaly that has penalised a small group of ratepayers.
- 2.2.4 Currently 9 rural businesses in Rotherham qualifying for 50% mandatory rural rate relief including Post Offices, General Stores and Public Houses have been identified - however in future others may also be eligible for this relief.

- 2.2.5 The Government's intention is to amend primary legislation to require Local Authorities to grant 100% mandatory relief to take effect from 1 April 2018. However, before this comes into force Local Authorities are expected to use their local discretionary powers to grant 100% relief to eligible ratepayers from 1 April 2017.
- 2.2.6 Guidance issued to Local Authorities in January 2017 confirms that the Government will give full compensation for the cost of granting the additional relief; therefore there is no additional cost to the Council.

## **2.3 Local Newspapers**

- 2.3.1 At the 2016 Budget, the Government announced the introduction of a new temporary business rates discount for 2 years from 1 April 2017 for local newspapers. The Government states that it is committed to supporting a strong and vibrant local press and believes that they are an important source of information and a vital part of a healthy democracy.
- 2.3.2 The relief will provide a discount of up to £1,500.00 per year on a temporary basis for the 2017-18 and 2018-19 financial years, for office space occupied by local newspapers where the office space is used wholly or mainly as office premises for journalists and reporters. This is limited to one discount per local newspaper title and per hereditament, and is subject to State Aid De-Minimis limits. For most organisations the De-Minimis threshold is 200,000 euros (around £176,000) over the current financial year and the previous 2 financial years.
- 2.3.3 Local Authorities are asked to use their local discretionary powers to grant this discount to eligible ratepayers and it is proposed that the Council does this. However, as the usage of qualifying hereditaments as office space for journalist and reporters is not separately identifiable on the rating list and in light of State Aid De- Minimis rules, it is proposed that the Council grant relief upon receipt of application from ratepayers. One potential ratepayer in Rotherham has been identified who would be advised of the application process.
- 2.3.4 Guidance issued to Local Authorities in January 2017 confirms that the Government will give full compensation for the cost of granting this discount, therefore there is no additional cost to the Council.

## **2.4 Rate Relief on Telecom Fibre Optics**

- 2.4.1 The 2016 Autumn Statement also included the announcement that the Government will provide a new 100% rates relief for new full- fibre broadband infrastructure for a five year period from 1 April 2017 to support the roll out of new full-fibre broadband infrastructure and future 5G communications to homes and businesses.

2.4.2 The new relief will require changes to primary legislation which are not yet in place and it is anticipated that this legislation will include enabling the relief to be backdated to April 2017. A future report will be provided to Cabinet when further information and guidance is published.

### **3. Key Issues**

3.1 The Government is asking Local Authorities to use their powers under Section 47 (3) of the Local Government Finance Act 1988 to grant Discretionary Relief in respect of two Government proposals:

- 100% relief to rural ratepayers with effect from 1 April 2017; and
- a temporary discount for local newspapers of up to £1500.00 a year, for 2 years from 1 April 2017.

3.2 A future report will be brought to Cabinet once further details and guidance about the proposals for relief for full –fibre broadband infrastructure and 5G communication is published and the implications for the Council can be assessed.

3.3 The revaluation of business premises has recently been completed and will take effect from April 2017. The revaluation has re-assessed the rateable value of properties and hence their rates liability. The financial information in this report has been estimated based on the draft valuation list which was released in September 2016.

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

4.1 As the Government has made a commitment to fully compensate authorities for the cost of granting discretionary relief to rural ratepayers and to local newspapers, there is no additional cost to the Council and it is therefore recommended that Cabinet uses its Discretionary Relief powers to:

- award 100% relief to rural ratepayers with effect from 1 April 2017; and to
- award a temporary discount to eligible local newspapers for the 2017-18 and 2018-19 years, subject to State Aid rules.

### **5. Consultation**

5.1 This report has been considered by the relevant Cabinet Member and the Member is supportive of the recommendations.

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

6.1 The changes to rural rate relief will apply from April 2017. The relief for local newspapers is temporary and will end in March 2019. The relief for Telecom Fibre Optic infrastructure is expected to be backdated to April 2017 subject to Government legislation which are expected to be released with the regulations later this year.

**7. Financial and Procurement Implications**

- 7.1 The estimated cost of the rural rate relief is £10,926.00 for 2017-18. The discount for the potentially eligible local newspaper is up to £1,500.00 for the 2017-18 year. However as 100% of the cost of the additional reliefs will be met by Government there are no financial implications of the proposals for the Council. Details of how the relief for Fibre optic telecoms infrastructure will be funded are expected to be released with the regulations later this year.

**8. Legal Implications**

- 8.1 No direct implications from this 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 indicated that it will fully fund proposed increases in rates relief for rural businesses and local newspaper offices and it is expected that it will do the same in relation to fibre optic telecoms infrastructure. The proposals with respect to rural businesses and local newspapers are expected to apply to relatively few properties and businesses in Rotherham, meaning the cost of the reliefs is relatively small. However as the legislation is not yet fully in place in relation to telecom fibre optics, there is a small risk that the Council will not be fully compensated.

**14. Accountable Officer(s)**

Approvals Obtained from:-

Graham Saxton, Assistant Director, Financial Services  
Dermot Pearson, Assistant Director, Legal Services  
Head of Procurement - Not Applicable

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Public Report  
Cabinet and Commissioners' Decision Making Meeting

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## Summary Sheet

Cabinet and Commissioners' Decision Making Meeting – 10 April 2017

### Title

Review of the Council's Petitions Scheme

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

Yes, this is a key decision and has been included on the Forward Plan

### Strategic Director Approving Submission of the Report

Shokat Lal, Assistant Chief Executive

### Report Author

James McLaughlin, Democratic Services Manager  
01709 822477 or james.mclaughlin@rotherham.gov.uk

### Ward(s) Affected

All wards

### Summary

The Council adopted a petitions scheme in May 2010 in accordance with the Local Democracy, Economic Development and Construction Act 2009. This scheme was subject to a subtle changes following the review of Standing Orders in 2014. However, a more fundamental review of the scheme is required as part of the wider review of governance in the Council and this report sets out opportunities to amend the scheme to improve its operation and its wider understanding amongst Members, officers and the public.

### Recommendations

1. That the existing Petitions Scheme be replaced with guidance on petitions (as set out in Appendix B)
2. That a log of petitions be maintained on the Council's website detailing the nature of the petition, the directorate referred to, the response provided to the lead petitioner and the action taken.
3. That a period of up to 15 minutes be allocated at the beginning of Council meetings for members of the public to formally present their petitions to the Mayor.

4. That associated constitutional changes be incorporated within the wider review of Standing Orders being undertaken by the Association of Democratic Services Officers.

**List of Appendices Included**

Appendix A – Current Petition Scheme

Appendix B – Draft Petition Guidance

**Background Papers**

Report to Council – 21 May 2010 – ‘Local Government Reform – duty to respond to petitions: commencement and Council scheme’

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

Constitution Working Group – 17 March 2017

Council – 19 May 2017

**Council Approval Required**

Yes

**Exempt from the Press and Public**

No

## **Review of the Council's Petitions Scheme**

### **1. Recommendations**

- 1.1 That the existing Petitions Scheme be replaced with guidance on petitions (as set out in Appendix B)
- 1.2 That a log of petitions be maintained on the Council's website detailing the nature of the petition, the directorate referred to, the response provided to the lead petitioner and the action taken.
- 1.3 That a period of up to 15 minutes be allocated at the beginning of Council meetings for members of the public to formally present their petitions to the Mayor.
- 1.4 That associated constitutional changes be incorporated within the wider review of Standing Orders being undertaken by the Association of Democratic Services Officers.

### **2. Background**

- 2.1 The Local Democracy, Economic Development and Construction Act 2009 introduced a duty for local authorities to adopt a scheme setting out how it would manage and respond to petitions submitted as calls for action. The legislation also introduced a requirement for local authorities to host a system for citizens to submit e-petitions to increase participation in local democracy.
- 2.2 The requirements of the duty set out that the Council had the flexibility to determine the details of the scheme subject to meeting the following minimum requirements:
  - Anyone who lives, works or studies in Rotherham, including under 18's, can sign or organise a petition and trigger a response;
  - Petitions must be acknowledged within a time period specified by the Council;
  - Among the many possible steps that the Council may choose to take in response to a petition, the following steps must be included in the scheme:
    - Taking the action requested in the petition;
    - Considering the petition at a meeting of the Council;
    - Holding an inquiry;
    - Holding a public meeting;
    - Commissioning research;
    - A written response to the petition organiser setting out the Council's views on the request in the petition; and
    - Referring the petition to scrutiny.
  - Petitions with a significant level of support trigger a debate of the full council. The Council will determine this threshold locally but it must be no higher than 5 per cent of the local population;

- Petitions with a requisite level of support, set by the Council, trigger a senior local government officer to give evidence at a meeting of the authority's overview and scrutiny committee. The committee may also require the relevant Cabinet Member, or other member as appropriate to attend; and
  - Petition organisers can prompt a review of the Council's response if the response is felt to be inadequate.
- 2.3 In May 2010, the Council adopted a petition scheme which included all of the provisions required by statute. The current scheme is appended to this report (Appendix A). The petitions scheme was reviewed by Members in 2014 as part of a wider review of Standing Orders.
- 2.4 The Localism Act 2011 repealed Chapter 2 of Part 1 of the Local Democracy, Economic Development and Construction Act 2009, which made petitions schemes a statutory requirement for local authorities. The Localism Act specifically removed:
- the need for the Council to make a scheme for the handling of petitions which are made to the authority (with the exception of those petitions made under another enactment, such as one asking for a referendum on an elected mayor).
  - the need for the Council to be able to accept petitions electronically.
  - the need for Council to comply with its own petition scheme.
  - the need to publish the Councils petition scheme on its website.
  - the need to acknowledge petitioners, tell petitioners what we intend to do with their petitions or place their petitions on the Councils website.
  - the need for the Council to do one of the list of the required steps when considering a petition.
  - the need for the Council to have thresholds to determine how to process petitions, for those thresholds to be reasonable and the requirement for petitions reaching those thresholds to be debated at Council and or Overview and Scrutiny.
  - the power of review by the Secretary of State, to review the Council's scheme if we do not receive any petitions that the Council has to debate.
  - the specified reasons for the rejection of a petition

### **3. Key Issues**

- 3.1 The petition scheme has been reviewed once since it was adopted by the Council. It is timely to review the scheme in the context of the wider review of the Constitution and following anecdotal feedback from Members and officers regarding the lack of awareness and understanding of the provisions of the scheme.

3.2 The key aspects of the petitions scheme are:

- 2000 signatures are needed for a petition to be debated at a Council meeting
- Where a petition is debated at a Council meeting, the lead petitioner has five minutes to address the meeting and a further 15 minutes is allocated for councillors to debate the call for action within the petition.
- 750 signatures are needed to require a Member or a senior officer to give evidence to Overview and Scrutiny

3.3 There has not been an occasion since the adoption of the petitions scheme in Rotherham where a petition has been debated at a Council meeting or where a Member or senior officer have been required to give evidence to Overview and Scrutiny. The fact that neither threshold has been met does not itself imply that there is an issue with the scheme, but has led to some questions in respect of the value of petitions.

3.4 Petitions schemes were introduced in statute because the Government had identified that local people felt that they could not influence decision making or get things done in their local area. The Government White Paper *Communities in Control* very much focused on the need to provide formal routes for calls for action to be submitted and responded to. Whilst the statutory provision no longer exists, the need to give local people the opportunity to make a call for action through a petition remains an important pillar of robust local democracy.

3.5 The advancement of social media and digital technology has changed the way that residents interact with the Council and councillors. Whilst traditional methods of petitioning remain for organised groups, many individuals lobby for action or change through social media campaigns, directly lobbying councillors and partner organisations. This trend has not reduced the number of petitions, but it should be recognised that petitions are not the only avenue for valid concerns or calls for action to be raised with the Council or councillors.

3.6 The formal provisions of the existing petitions scheme cover what was previously required by the law, but neither the scheme or the Council's Constitution adequately set out what the authority will do when it receives a petition that does not meet the threshold for a debate at Council. Conventional practice is that a petition will be referred to the relevant Strategic Directorate for consideration and a response to be sent to the lead petitioner and ward councillors, where appropriate. This practice works in the sense that a petitioner receives a response, but the process fails to acknowledge the democratic call for action, aside from limited reporting of the receipt of petitions to Council meetings, and the potential for debate on matters of policy, which would capture the public interest in an issue and consequently invigorate Council meetings.

- 3.7 In order to attach greater value to petitions and calls for action, consideration should be given to how the Council can demonstrate how it encourages and responds to petitions. Presently, the minutes of Council meetings detail the receipt of petitions, but there is no follow up to detail what has happened as a result of the petition or call for action. Some authorities publish a log of petitions received and report on the action taken in response. This capability exists within the existing Modern.Gov software that manages the democratic content on the Council's website. To demonstrate the value of petitions, it is proposed that this software be better utilised to detail:
- The receipt of a petition
  - The department referred to
  - The response provided
  - The action taken
- 3.8 Other local authorities dedicate a period of time at the beginning of Council meetings for members of the public to hand in their petitions to the Mayor or Chairman of the Council. This is not a practice currently in operation in Rotherham and is one which may again contribute to improving confidence in the Council. The reality of any such approach is that the Mayor would receive the petition from the lead petitioner and give an assurance that the petition would be referred to the relevant Strategic Directorate for response. This would require little effort, but would demonstrate that the Council is open to receiving calls for action from its residents.
- 3.9 The petitions scheme itself is a detailed document which is not particularly user friendly. Any member of the public wanting to consult it for guidance on how to submit a petition or understand its provisions would currently find it difficult to locate and then subsequently not be clear in respect of what actions would be necessary to comply with the scheme. Consideration should therefore be given to replacing the existing scheme with guidance written in plain English and easily accessible on the Council's website. Draft guidance is appended to this report (Appendix B).
- 3.10 The Constitution's provisions in respect of the handling of petitions are set out in Standing Orders 8A and 8B. If the Council is minded to dispense with the current petitions scheme and introduce guidance, more detailed Standing Orders in respect of petitions will be required. This report is not concerned with recommending constitutional amendments, but rather with reviewing the current practice of how petitions are handled by the Council. Any associated amendments to Standing Orders can be incorporated within the external review of the Constitution which is being undertaken by the Association of Democratic Services Officers.

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

- 4.1 As the statutory provisions concerning the operation of a petitions scheme have been repealed, the Council has the discretion to manage petitions in any way it considers appropriate, including having no provision at all. Given that strengthening governance and public trust and confidence in the Council are key areas of the authority's improvement journey, the option of removing provision for petitions is not recommended.

- 4.2 This report has identified that the Council's approach to handling petitions can be improved in a procedural sense and also in terms of the wider trust and confidence held in the Council by the residents of the borough. It is recommended that the current petitions scheme be replaced by guidance which provides clearer advice to citizens on how to submit a petition and what to expect after submission to the Council.

## **5. Consultation**

- 5.1 This report has been submitted to the Constitution Working Group for review. Members considered the thresholds, potential changes and minimum numbers, verification processes for e-petitions and the numbers that would determine what constituted a petition.
- 5.2 The Constitution Working Group recommended that the thresholds for petitions be set at:

20 signatures	For a call for action to be regarded as a formal petition and presented to the Mayor at Council
600 signatures	For an officer to be required to give evidence to Overview and Scrutiny
2,000 signatures	For a petition to be debated at a Council meeting

- 5.3 Members also welcomed the recommendation to include relevant Ward Members in the response to a lead petitioner. It was also recommended that the Chair of Overview and Scrutiny Management Board vacate the chair for any debate on a petition that might directly affect their ward.
- 5.4 It was considered appropriate to remove reference to calling a referendum within paragraph 15 of the existing Petitions Scheme.

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

- 6.1 If the preferred approach detailed in paragraph 4.2 were to be agreed by the Constitution Working Group and the Cabinet for recommendation to the Council, then the final decision will be made at the Annual Meeting on 19 May 2017. In order to give effect to the proposed change, amendments will be required to Standing Orders which would require the approval of Council. These amendments will be proposed as part of the wider review of Standing Orders being undertaken by the Association of Democratic Services Officers and on the recommendation of the Constitution Working Group.
- 6.2 Accountability for implementing the decision will rest with the Assistant Director of Legal Services and the Democratic Services Manager, who will also be responsible for the ongoing operation of the petitions process.

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

- 7.1 There are no financial or procurement implications associated with this report.



## **8. Legal Implications**

8.1 The legal implications are detailed within the main body of the report.

## **9. Human Resources Implications**

9.1 There are no Human Resources implications associated with 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 Public Authorities must ensure that decisions are made in such a way which minimises unfairness, and without a disproportionately negative effect on people in respect of nine protected characteristics: age, disability, gender reassignment, marriage and civil partnership, race, religion or belief, sex and sexual orientation. It is important that Councillors are aware of this duty before they take any decision.

11.2 Enabling petitions to be submitted both as paper documents and electronically through the Council's website enables people from all groups and backgrounds to petition the Council about matters which concern them.

## **12. Communications Implications**

12.1 Highlight any communications implications arising from your report, and outline any communications advice provided.

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

13.1 If the proposals within the report require input or action from other directorates or partner organisations in the Borough, you should set out specifically what the implications are and what consultation has taken place.

## **14. Child Centred Borough Implications**

14.1 There are no implications which directly impact on the Council's ambition to become a Child Centred Borough.

## **15. Risks and Mitigation**

15.1 There are no strategic or specific risks associated with this report.

## **16. Accountable Officers**

Assistant Director of Legal Services – Dermot Pearson  
Democratic Services Manager – James McLaughlin

Approvals Obtained from:-

	<b>Named Officer</b>	<b>Date</b>
Strategic Director of Finance & Customer Services		
Assistant Director of Legal Services		
Head of Procurement (if appropriate)		
Head of Human Resources (if appropriate)		

Report Author:

James McLaughlin, Democratic Services Manager  
01709 822477 or james.mclaughlin@rotherham.gov.uk

This report is published on the Council's website or can be found at:-  
<http://moderngov.rotherham.gov.uk/ieDocHome.aspx?Categories=>

### Scheme for handling Petitions

1. The council welcomes petitions and recognises that petitions are one way in which people can let us know their concerns. All petitions sent or presented to the council will receive an acknowledgement from the council within 10 working days of receipt.
2. This acknowledgement will set out what we plan to do with the petition. We will treat something as a petition if it is identified as being a petition, or if it seems to us that it is intended to be a petition.
3. Paper petitions can be sent to:

**Democratic Services  
Rotherham Town Hall  
Moorgate Street  
Rotherham  
S60 2TH**

4. Or be created, signed and submitted [online](#).
5. Petitions can also be presented to a meeting of the council. These meetings take place approximately every **six weeks**, dates and times can be found [here](#). If you would like to present your petition to the council, or would like your councillor or someone else to present it on your behalf, please contact **James McLaughlin, Democratic Services Manager** on **(01709) 822477** at least 10 working days before the meeting and they will talk you through the process. **A petition to be presented to the Council will require the support of 2,000 or more signatories.** If your petition has received signatures **equivalent to 5% or more of the population of the Borough** it will also be scheduled for a council debate and if this is the case we will let you know whether this will happen at the same meeting or a later meeting of the council.

### What are the guidelines for submitting a petition?

6. Petitions submitted to the council must include:
  - a clear and concise statement covering the subject of the petition. It should state what action the petitioners wish the council to take
  - the name and address and signature of any person supporting the petition.
7. Petitions should be accompanied by contact details, including an address, for the petition organiser. This is the person we will contact to explain how we will respond to the petition.
8. The contact details of the petition organiser will not be placed on the website. If the petition does not identify a petition organiser, we will contact signatories to the petition to agree who should act as the petition organiser.

9. Petitions which are considered to be vexatious, abusive or otherwise inappropriate will not be accepted. In the period immediately before an election or referendum we may need to deal with your petition differently – if this is the case we will explain the reasons and discuss the revised timescale which will apply. If a petition does not follow the guidelines set out above, the council may decide not to do anything further with it. In that case, we will write to you to explain the reasons.

### **What will the council do when it receives my petition?**

10. An acknowledgement will be sent to the petition organiser within 10 working days of receiving the petition. It will let them know what we plan to do with the petition and when they can expect to hear from us again. It will also be published on our website.
11. If we can do what your petition asks for, the acknowledgement may confirm that we have taken the action requested and the petition will be closed. If the petition has enough signatures to trigger a council debate, or a senior officer giving evidence, then the acknowledgment will confirm this and tell you when and where the meeting will take place. If the petition needs more investigation, we will tell you the steps we plan to take.
12. If the petition applies to a planning or licensing application, is a statutory petition (for example requesting a referendum on having an elected mayor), or on a matter where there is already an existing right of appeal, such as council tax banding and non-domestic rates, other procedures apply. Further information on all these procedures and how you can express your views is available here **[insert links]**
13. We will not take action on any petition which we consider to be vexatious, abusive or otherwise inappropriate and will explain the reasons for this in our acknowledgement of the petition.
14. To ensure that people know what we are doing in response to the petitions we receive the details of all the petitions submitted to us will be published on our website, except in cases where this would be inappropriate. Whenever possible we will also publish all correspondence relating to the petition (all personal details will be removed). When you sign an e-petition you can elect to receive this information by email. We will not send you anything which is not relevant to the e-petition you have signed, unless you choose to receive other emails from us.

### **How will the council respond to petitions?**

15. Our response to a petition will depend on what a petition asks for and how many people have signed it, but may include one or more of the following:
  - taking the action requested in the petition
  - considering the petition at a council meeting

- holding an inquiry into the matter
- undertaking research into the matter
- holding a public meeting
- holding a consultation
- holding a meeting with petitioners
- referring the petition for consideration by the council's overview and scrutiny committee\*
- calling a referendum
- writing to the petition organiser setting out our views about the request in the petition

\*Overview and scrutiny committees are committees of councillors who are responsible for scrutinising the work of the council – in other words, the overview and scrutiny committee has the power to hold the council's decision makers to account.

16. In addition to these steps, the council will consider all the specific actions it can potentially take on the issues highlighted in a petition. The table below gives some examples.

Petition Subject	Appropriate Steps
Alcohol related crime and disorder	If your petition is about crime or disorder linked to alcohol consumption, the council will, among other measures, consider the case for placing restrictions on public drinking in the area by establishing a designated public place order or, as a last resort, imposing an alcohol disorder zone. When an alcohol disorder zone is established the licensed premises in the area where alcohol related trouble is being caused are required to contribute to the costs of extra policing in that area. The council's response to your petition will set out the steps we intend to take and the reasons for taking this approach.
Anti-social behaviour (ASB)	As the elected representatives of your local area, as social landlord and licensing authority, the council plays a significant role to play in tackling anti-social behaviour. <b>The council, in conjunction with our partners in the local crime and disorder partnership have set out how we deal with issues of anti-social behaviour; you can find more</b>

	<p><b>details here.</b></p> <p>When responding to petitions on ASB, we will consider in consultation with our local partners, all the options available to us including the wide range of powers and mechanisms we have to intervene as part of our role as social landlord and licensing authority. For example, we will work with the neighbourhood policing team in the affected area to identify what action might be taken including what role CCTV might play, consider identifying a dedicated contact within the council to liaise with the community and neighbourhood partners on issues of ASB in the area in question and, where appropriate, we will alert the crime and disorder reduction partnership and crime and disorder overview and scrutiny committee to the issues highlighted in the petition.</p>
Under-performing schools	<p>We will consider, in consultation with local partners, all the options available to us when working with schools to secure their improvement. For example, on our behalf, the school improvement partner will play a pivotal role, challenging and brokering support for poorly performing schools. Where a school is under performing we will consider whether it is appropriate in the circumstances to issue a warning notice outlining expectations and a timeframe for the school to improve its performance standards. Other measures available to us, where schools fail to comply with a warning notice or are in an Ofsted category of notice to improve (requiring significant improvement) or special measures including; appointing additional governors, establishing an interim executive board, removal of the school's delegated budgets, requiring the school to enter into a formal contract</p>

	or partnership or, only if the school is in special measures, closure.
Under-performing health services	We will work with local health partners to consider the matter raised in the petition including, where appropriate, exploring what role Healthwatch might have in reviewing and feeding back on the issue (Healthwatch's role to find out what people want in terms of local health services, monitor those services and to use their powers to hold them to account). The <b>Health Select Commission</b> will also be alerted to the petition and where the matter is sufficiently or potentially serious, the issue will be referred to them to consider for review.

17. If your petition is about something over which the council has no direct control (for example the local railway or hospital) we will consider making representations on behalf of the community to the relevant body. The council works with a large number of [local partners](#) and where possible will work with these partners to respond to your petition. If we are not able to do this for any reason (for example if what the petition calls for conflicts with council policy), then we will set out the reasons for this to you. You can find more information on the services for which the council is responsible [here](#).
18. If your petition is about something that a different council is responsible for we will give consideration to what the best method is for responding to it. This might consist of simply forwarding the petition to the other council, but could involve other steps. In any event we will always notify you of the action we have taken.

### Full council debates

19. If a petition contains **2000** signatures it will be debated by the full council unless it is a petition asking for a senior council officer to give evidence at a public meeting. This means that the issue raised in the petition will be discussed at a meeting which all councillors can attend. The council will endeavour to consider the petition at its next meeting, although on some occasions this may not be possible and consideration will then take place at the following meeting. The petition organiser will be given **five minutes** to present the petition at the meeting and the petition will then be discussed by councillors for a maximum of **15 minutes**. The council will decide how to respond to the petition at this meeting. They may decide to take the action the petition requests, not to take the action requested for reasons put forward in the debate, or to commission further investigation into the matter, for example by a relevant committee. Where the issue is one on which the council

executive are required to make the final decision, the council will decide whether to make recommendations to inform that decision. The petition organiser will receive written confirmation of this decision. This confirmation will also be published on our website.

### Officer evidence

20. Your petition may ask for a senior council officer to give evidence at a public meeting about something for which the officer is responsible as part of their job. For example, your petition may ask a senior council officer to explain progress on an issue, or to explain the advice given to elected members to enable them to make a particular decision.
21. If your petition contains at least **750** signatures, the relevant senior officer will give evidence at a public meeting of the council's Overview and Scrutiny Management Board. Senior staff that may be called upon to give evidence includes all of the Council's Senior Leadership Team. You should be aware that the Overview and Scrutiny Management Board may decide that it would be more appropriate for another officer to give evidence instead of any officer named in the petition – for instance if the named officer has changed jobs. The Overview and Scrutiny Management Board may also decide to call the relevant councillor to attend the meeting. Board members will ask the questions at this meeting, but you will be able to suggest questions to the chair of the Board by contacting **James McLaughlin, Democratic Services Manager (01709) 822477 or [james.mclaughlin@rotherham.gov.uk](mailto:james.mclaughlin@rotherham.gov.uk)** up to three working days before the meeting.

### E-Petitions

22. The council welcomes e-petitions which are created and submitted through our [website](#). E-petitions must follow the same guidelines as paper petitions **set out in paragraphs 6 – 9 of the Scheme for handling petitions**. The petition organiser will need to provide us with their name, postal address and email address. You will also need to decide how long you would like your petition to be open for signatures. Most petitions run for six months, but you can choose a shorter or longer timeframe, up to a maximum of 12 months.
23. When you create an e-petition, it may take five working days before it is published online. This is because we have to check that the content of your petition is suitable before it is made available for signature.
24. If we feel we cannot publish your petition for some reason, we will contact you within this time to explain. You will be able to change and resubmit your petition if you wish. If you do not do this within 10 working days, a summary of the petition and the reason why it has not been accepted will be published under the 'rejected petitions' section of the website.
25. When an e-petition has closed for signature, it will automatically be submitted to the Democratic Services Manager. In the same way as a paper petition, you will receive an acknowledgement within 10 working days. If you would like to present your e-petition to a meeting of the council, please contact James



McLaughlin, Democratic Services Manager (01709 822477 or [james.mclaughlin@rotherham.gov.uk](mailto:james.mclaughlin@rotherham.gov.uk)) within 10 working days of receipt of the acknowledgement.

26. A petition acknowledgement and response will be emailed to everyone who has signed the e-petition and elected to receive this information. The acknowledgment and response will also be published on this website.

### **How do I 'sign' an e-petition?**

27. You can see all the e-petitions currently available for signature [here](#)
28. When you sign an e-petition you will be asked to provide your name, your postcode and a valid email address. When you have submitted this information you will be sent an email to the email address you have provided. This email will include a link which you must click on in order to confirm the email address is valid. Once this step is complete your 'signature' will be added to the petition. People visiting the e-petition will be able to see your name in the list of those who have signed it but your contact details will not be visible.

### **What can I do if I feel my petition has not been dealt with properly?**

29. If you feel that we have not dealt with your petition properly, the petition organiser has the right to request that the council's Overview and Scrutiny Management Board review the steps that the council has taken in response to your petition. It is helpful to everyone, and can improve the prospects for a review if the petition organiser gives a short explanation of the reasons why the council's response is not considered to be adequate.
30. The Overview and Scrutiny Management Board will endeavour to consider your request at its next meeting, although on some occasions this may not be possible and consideration will take place at the following meeting. Should the committee determine we have not dealt with your petition adequately, it may use any of its powers to deal with the matter. These powers include instigating an investigation, making recommendations to the council executive and arranging for the matter to be considered at a meeting of the full council.
31. Once the appeal has been considered the petition organiser will be informed of the results within 5 working days. The results of the review will also be published on our website.

## Guidelines for submitting a petition

### 1.1 Petitions to the Council must include:

- A clear and concise statement covering the subject of the petition. It should state what action the petitioners wish the Council to take.
- The subject matter of the petition must relate to a function of the Council, or its partner authorities if the petition relates to an improvement in the economic, social or environmental well being of the District which a partner authority could contribute to. Petitions may also relate to matters which are sub-regional and cross-authority.
- The petition should contain the name, address and signature of at least 20 people who either are resident, work or study in the borough of Rotherham. This includes under 18 year olds.

1.2 Petitions should be accompanied by the contact details of the lead petitioner, including an address and/or telephone/email details. This is the person the Council will contact to explain the process for considering petitions. The contact details of the lead petitioner or any of the petitioners will not be published by the Council. If the petition does not identify a lead petitioner, we will contact signatories to the petition to agree who should act as the lead petitioner.

1.3 If the petition does not follow the guidelines set out above a letter will be sent to the lead petitioner explaining that the guidelines have not been met and that the petition has been forwarded to the appropriate Strategic Director for consideration.

## 2. How the petition will be dealt with

2.1 The petition will normally be acknowledged in writing within 5 working days of receipt although there may be a delay if it is not clear from the petition who the lead petitioner is.

2.2 The lead petitioner will need to confirm how he/she would prefer the petition to be dealt with and assistance will be provided by Democratic Services to help the lead petitioner decide which is the most appropriate route. Petitions will be progressed in one of the following ways:

### **Officer (relevant Strategic Director)**

On receipt the petition will be forwarded to the relevant Strategic Director who has responsibility for the subject matter of the petition. The Strategic Director will nominate a Named Senior Officer to deal with the petition and the Named Senior Officer will contact the lead petitioner within 3 weeks to inform them of what action will be taken on the petition. As a lead petitioner you will be informed within the 3 week period if action has already been taken on the matter before the petition was received, or is in the process of being taken.

The Named Senior Officer will consult with the councillor who is the Member of the Cabinet holding the relevant portfolio for the service area, and if the

subject matter of the petition is concerned with a particular locality, the ward councillors, to determine the action to be taken. The lead petitioner will be notified of the outcome in writing. However, it may be appropriate for the Named Senior Officer to take a report to a meeting of the Cabinet or another council committee. The lead petitioner and local ward councillors will be informed of the date of the meeting with an invitation to attend. After the meeting the Named Senior Officer will confirm the outcome to the lead petitioner, local ward councillors and any other relevant Member in writing within 10 working days.

### **Meetings of Full Council**

Petitions can be presented to a meeting of Council. All 63 of the Councillors on the Metropolitan Borough Council of Rotherham are Members of Council, so attending one of these meetings will provide the opportunity for the views in the petition to reach all Councillors.

The ordinary meetings of Council are held approximately every six weeks, and as a limit of 5 petitions are considered at each meeting, the lead petitioner should contact Democratic Services at the earliest opportunity. If there are more than 5 petitions then it will be necessary to consider the petitions that were received latest at the next meeting. At the Council meeting, a representative of the petitioners may speak on the subject matter of the petition for 5 minutes after presenting their petition to the Mayor. Council will not debate the petition but can refer the petition to the appropriate committee, panel or officer for response. Further details can be obtained by contacting Democratic Services on 01709 822054 or emailing [petitions@rotherham.gov.uk](mailto:petitions@rotherham.gov.uk).

### **Full Council debates**

If a petition contains more than 2,000 signatures it will be debated at a meeting of Council. Normally the petition will be considered at the next ordinary meeting of the Council, although on some occasions this may not be possible and consideration will then take place at the following meeting. A representative of the petitioners will be given 5 minutes to present the petition at the meeting and the petition will then be discussed by councillors for a maximum of 15 minutes. The Council will then decide how to respond to the petition at this meeting. They may decide to take the action the petition requests, not to take the action requested for the reasons put forward in the debate, or to commission further investigation into the matter, for example by a relevant committee. Where the issue is one on which the Council's Cabinet is required to make the final decision, the Council will decide whether to make recommendations to inform that decision. The petition organiser will be sent written confirmation of this decision within 10 working days. This confirmation will also be published on the Council's website.

### **Calling an Officer to account**

A petition may ask for a senior council officer to give evidence at a public meeting about a service for which the officer is responsible as part of their job. For example, the petition may ask a senior council officer to explain progress

on an issue or to explain the advice given to elected members to enable them to make a particular decision.

If the petition contains at least 600 signatures, then the relevant senior officer will give evidence at the Overview and Scrutiny Management Board. A relevant senior officer would be the Chief Executive or a Strategic Director or Assistant Director. The officer called to give evidence may be supported by other officers who have been involved in the matter. If the officer named in the petition is unavailable – for instance if the named officer has changed jobs – the Overview and Scrutiny Management Board may need to decide to call another senior officer. The Overview and Scrutiny Management Board may also decide to call a relevant councillor to attend the meeting such as the member of the Cabinet who holds the portfolio for the service mentioned in the petition.

A report will be presented to a meeting of the Overview and Scrutiny Management Board setting out the background to the matter. The lead petitioner will be able to attend the meeting to present the petition for up to 5 minutes. At the meeting the senior officer will be questioned by the Committee members. If the public is to be excluded during any part of the meeting under the provisions of Part 5A of the Local Government Act 1972 this will be set out in the attendance notification to the lead petitioner. The Committee will then make recommendations in accordance with the Council's delegation scheme. It may be necessary for the Committee to defer making the recommendations to a future meeting, for instance, if further information is requested. When the Committee has finalised its recommendations written notification will be sent to the lead petitioner within 10 working days and be published on the Council's website

### **3. Matters excluded from the Petitions Scheme**

3.1 A petition cannot be dealt with through this scheme if it addresses or includes:

- a planning or licensing application for which other arrangements are in place.
- Matters subject to prescribed statutory requirements, e.g. an elected mayor.
- Matters where there is already an existing right of appeal, such as council tax banding and non-domestic rates, where other procedures apply.
- Repetitive or vexatious correspondence
- Potentially libellous, false or defamatory statements.
- Material which is commercially sensitive
- Material generated by local political parties
- The names of individuals in relation to criminal accusations or information which easily identifies an individual
- Statements which contravene equalities and anti-discrimination legislation

- Matters subject to appeal processes or legal actions, e.g. enforcement action.
  - Refers to a particular official of a public body
  - Material which is vexatious, abusive or is deemed otherwise inappropriate
- 3.2 If the petition contains any of the above the lead petitioner will be informed of the reason for not accepting the petition in writing.
- 3.3 If the petition is about a matter over which the Council has no direct control your petition will be forwarded to the relevant organisation. However, if the petition relates to a partner organisation the Council will consider making representations on behalf of the community to the relevant body. The Council works with a large number of local partners and where possible will work with these partners to respond to your petition. The lead petitioner will be informed of any action the Council has taken to progress the petition.

Please consult with Democratic Services if clarification is required.

#### **4. The Council's response to petitions**

- 4.1 The Council's response to a petition will depend upon what the petition is asking for and which of the options is taken for dealing with the petition, but the response will include one or more of the following:
- Writing to the lead petitioner and relevant Ward Councillors setting out the Council's views about the request in the petition
  - Taking the action requested in the petition
  - Commissioning research on the matter
  - Holding a consultation
  - Holding a meeting with petitioners
  - Holding a public meeting
  - Undertaking a referendum in a locality
  - An inquiry
  - Referring the petition for consideration by the Cabinet or relevant Scrutiny Committee (committees responsible for scrutinising the work of the Council and holding the decision makers to account)
  - Discussing the petition with other relevant organisations
  - Publish notification on the Council's website on how the petition is being dealt with.

#### **5. Review**

- 5.1 If the lead petitioner feels that the Council has not dealt with the petition properly, the lead petitioner has the right to make a request to the Assistant Director of Legal Services that the Council's Overview and Scrutiny Management Board review the steps that the Council has taken in response to the petition. The lead petitioner will be asked to provide a short explanation

in writing of the reasons why the Council's response is not considered to be adequate.

- 5.2 The Overview and Scrutiny Management Board will endeavour to consider the request at its next meeting, although on some occasions this may not be possible, and consideration will take place at the following meeting. The lead petitioner will be invited to attend the Committee and make verbal representations for up to 5 minutes. Should the Committee determine that the petition has not been dealt with adequately it may instigate an investigation and make recommendations to the relevant officer or the Council's Cabinet.
- 5.3 The Overview and Scrutiny Management Board may also decide that the authority's response to the petition should be discussed at a meeting of the Council.
- 5.4 Once the appeal has been considered the lead petitioner will be informed of the result within 10 working days.

## **6. E-petitions**

- 6.1 The council welcomes petitions which are created and submitted through our website. E-petitions must follow the same guidelines as paper petitions as outlined above. The petition organiser will need to provide us with their name and email address. You will also need to decide how long you would like your petition to be open for signing.
- 6.2 When you create an e-petition, it may take five working days before it is published online. This is because we have to check that the content of your petition is suitable before it is made available for the public to sign. If we feel we cannot publish your petition for some reason, we will contact you within this time to explain why. You will then be able to change and re-submit your petition if you wish.
- 6.3 When an e-petition has closed for signing, it will automatically be submitted to Democratic Services in the same way as a paper petition, you will receive an acknowledgement within five working days. It will ask you how you prefer to progress the petition in line with the Council's petition scheme. Assistance will be provided to help you decide which is the most appropriate route.

Public Report

Cabinet and Commissioners' Decision Making Meeting

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## Summary Sheet

### Council Report

Cabinet and Commissioners' Decision Making Meeting – 10 April 2017

### Title

Update on the delivery of specialist housing

### 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 Adult Care and Housing

### Report Author(s)

Jane Davies, Interim Strategic Housing and Investment Manager

### Summary

Rotherham's 2016-19 Housing Strategy was approved by Cabinet in February 2016, and includes a chapter on 'specialist housing' with the key objectives focused on the housing needs of older people. Although these objectives remain relevant, there have been a number of significant developments since the production of the Housing Strategy including:

- Increased pressure on Council budgets and a more urgent requirement to reduce Adult Social Care expenditure.
- A general movement away from the term 'specialist housing', in favour of consideration of homes that are designed in such a way that people can continue to live there as they develop support needs, or as their needs change. The home therefore adapts with the person through minor modifications, rather than people needing to move out, or the home requiring major adaptations.
- A more ambitious housing growth programme with recently secured financial resources from government to deliver a range of new tenures.
- Consideration of the needs of a wider cohort including people with physical and learning disabilities.
- The government's proposed introduction of Local Housing Allowance caps for supported housing is causing great uncertainty in the market with providers considering new development financial viability and long term sustainability.

A more focused set of strategic objectives has therefore been developed for specialist housing, to complement and enhance the Housing Strategy, and this is presented to Cabinet for approval. Appendix 1 sets out outcomes, objectives and a detailed action plan.

The report demonstrates the key contribution housing can make to improving people's health and wellbeing, preventing people from requiring residential care, and savings on adult social care expenditure.

The Council has ambitious housing growth plans, to achieve the overall target of 900 new homes each year and it is essential that appropriate targets for housing for adults with support needs are established, across a range of tenures and types, to ensure the needs of Rotherham's residents can be met now and in the future.

### **Recommendation**

That the revisions to the strategic objectives and action plan within the Housing Strategy 2016-19, included at appendix 1, be approved.

### **List of Appendices Included**

Appendix 1 – Strategic objectives and action plan for the delivery of specialist housing

### **Background Papers**

The Rotherham Place Plan  
Rotherham's Housing Strategy 2016-19

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

Presentation to Health Select Committee Sub-Group on 24<sup>th</sup> November 2016

### **Council Approval Required**

No

### **Exempt from the Press and Public**

No



## **Update on the delivery of specialist housing**

### **1. Recommendations**

- 1.1 That the revisions to the strategic objectives and action plan within the Housing Strategy 2016-19, included at appendix 1, be approved.

### **2. Background**

#### **2.1 Rotherham's Housing Strategy**

- 2.1.1 Rotherham's 2016-19 Housing Strategy was approved by Cabinet in February 2016. The fifth chapter focuses on 'specialist housing' with the key objectives being to:

- Ensure older people have access to excellent information and advice about housing options
- Develop and maintain a clear understanding of the current and future housing needs of older people in Rotherham
- Support older people to live independently for as long as they choose
- Ensure a range of homes are available that are suitable for older people
- Ensure delivery of accommodation for children and young people identified in the Sufficiency Strategy for Looked After Children
- Develop a clear programme of specialist housing for other groups (this includes both learning and physical disability) and ensure alignment with the Housing Growth Plan

- 2.1.2 These objectives were developed following consultation with staff, residents and partners, driven by an awareness of Rotherham's changing demographics, and largely aligned with the outcomes of a multi-agency task group which had worked on an older people housing delivery plan during the preceding 18 months.

#### **2.2 Key developments since the publication of the Housing Strategy**

- 2.2.1 Although these objectives remain relevant, there have been a number of significant developments since the production of the Housing Strategy:

- The recruitment of a new Strategic Director and much closer, more integrated working between Housing teams and Adult Care teams.
- Increased pressure on Council budgets and a more urgent requirement to reduce Adult Social Care expenditure.
- An increased focus on prevention and the need to deliver services differently, arising from the Care Act 2014.
- Development of Market Position Statements for learning disabilities and older people.
- A decision within the Adult Care and Housing directorate not to focus primarily on 'housing for older people', and instead broaden the scope to housing for all adults with support needs.
- A general movement away from the term 'specialist housing', in favour of consideration of homes that are designed in such a way that people can

continue to live there as they develop support needs, or as their needs change. The home therefore adapts with the person through minor modifications, rather than people needing to move out, or the home requiring major adaptations.

- The agreement of the Rotherham Place Plan.
- A more ambitious housing growth programme with recently secured financial resources from government to deliver a range of new tenures.
- A new governance framework for asset management that ensures a more holistic and efficient approach is taken to identifying and meeting accommodation requirements.

2.2.2 A more focused set of strategic objectives has therefore been developed for specialist housing, to complement and enhance the specialist housing chapter of the Housing Strategy, and this is presented to Cabinet for approval.

2.2.3 Appendix 1 sets out:

- The key issues
- The evidence
- Key actions to achieve these outcomes with accountability, timescales and progress updates

2.2.4 **The required outcomes:**

- a. Clear understanding of need, shared across teams within Adult Care and Housing.
- b. Excellent information and advice on the housing options available for people with support needs.
- c. A range of accommodation options available in Rotherham to provide choice, quality and opportunities for people with support needs to continue to live independently.
- d. Clear targets in place within housing growth plan to reflect demographic changes.
- e. A reduction in the number of people living in residential care or out of borough due to a lack of suitable accommodation.
- f. More people supported to maintain independent living, in a way that demonstrates good value for money for the Council.
- g. More flexible short stay accommodation focused on complex needs and help with timely discharge from hospital.
- h. Council housing stock that meets the needs of its residents and supports people to live independently.
- i. Homes available across a range of tenures to suit all needs and circumstances.
- j. A full equalities impact assessment to ensure the needs of all communities are taken into account.

2.2.5 This document focuses on delivery of the Housing Strategy. However this should be read in conjunction with other key publications including the new Market Position Statement for Adults and Older People, which provides detailed statistical evidence and information about the wider transformational programmes being led by Adult Care and is due to be published on the Council website shortly.

### 3. Key Issues

- 3.1 The new strategic objectives seek to address nine key issues as set out in appendix 1. Additional detail is provided below.
- 3.2 Rotherham has an objectively assessed need for 900 new homes each year, which represents a 50% increase on delivery rates in recent years. It is important that through the Council's ambitious housing growth plans, the needs of Rotherham's changing demographic profile are met:
- The most recent national population data shows that Rotherham's population has grown and that people are living longer. Rotherham's population is expected to grow by around 3% by 2025 with the over 65's seeing the biggest rise (currently 19.3% are over 65, and this is expected to increase to 21.7% by 2025). The proportion of people aged over 75 will increase nine times faster than the borough average.
  - The gap in healthy life expectancy is much greater at 5.4 years for men and 5.3 years for women. On average, a Rotherham male can expect to live 19.2 years with ill health (15.2 years nationally) and a female 22.6 years with ill health (19.2 years nationally).
  - Older people in Rotherham are 30% more likely to have a seriously limiting long term condition or disability than the national average. Those aged 65-74 are 46% more likely to be affected.
  - There are currently 4595 adults accessing care, support and long term services, with the majority of support for working age people being in relation to learning disabilities and mental health support. It is estimated that 36% of adults with learning disabilities are living with their parents.
- 3.3 The Council has a key role to play in delivering social rented housing that meets the needs of Rotherham's residents, and allows them to maintain independent living. Through the Housing Revenue Account strategic acquisition and growth programme, utilising Government grant funding, and making the best use of Council land and assets, the number of affordable rented homes suitable for adults with support needs will increase year on year. Improvements will also be made to the Council's existing stock for example by remodelling redundant neighbourhood centres into new homes, revitalising outdated former sheltered housing schemes, and the use of assistive technology.
- 3.4 However, this is also important for tenures other than the social rented sector. Through its strategic enabling role the Council can encourage private sector and housing association partners to build homes for sale and rent on the open market and via shared ownership arrangements. Shared ownership allows people to buy a share of the property and pay rent / service charge on the un-owned portion, and can offer a good, affordable alternative to standard home ownership. Consultation with residents has demonstrated an appetite for shared ownership and the Council is working with a developer to provide this on the Braithwell Road site in Maltby as part of a broader mix of housing tenures proposed to be delivered. The Council will also encourage developers to consider private retirement housing for sale and shared

ownership on a range of other key developments, including Waverley, Bassingthorpe and the town centre.

- 3.5 Through the Shared Ownership and Affordable Housing programme administered by the Homes and Communities Agency, the Council will work in partnership to deliver over 100 new shared ownership homes and a number of these could be designed specifically for adults with support needs. The locations and delivery mechanisms for the shared ownership homes are currently being planned.
- 3.6 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; 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.
- 3.7 These new homes will help to prevent people from requiring residential or nursing care, thereby resulting in significant savings to Adult Care and Health budgets.
- 3.8 Extra care housing (ECH) can provide an alternative to residential care. In ECH schemes, residents have the benefit of independence / their own front door, but also access to a range of facilities and services including care, which can be delivered flexibly according to a person's changing needs. This is different from sheltered housing which typically offers a warden service but no care provision. Three ECH schemes currently exist in Rotherham, delivered via partnership between the Council and Together (formerly Chevin) housing association: Oaktrees (Stag), Bakersfield Court (Herringthorpe) and Potteries (Swinton). These collectively comprise 115 units which are all occupied. Officers are undertaking research and benchmarking visits with other local authorities to analyse the ECH financial model and determine whether further schemes would be viable in Rotherham. As part of this consideration will be given to the viability of a large mixed tenure extra care retirement village.
- 3.9 One of the key issues affecting the financial viability of ECH and other supported housing models, is the recent legislative change to housing benefits for supported housing tenants. Whereas currently, housing benefit generally covers the additional costs of supported housing over and above core rent, from 2018 supported housing tenants will receive the equivalent private rented sector housing benefit rate (Local Housing Allowance). Government recently issued a consultation on the means by which financial support to bridge the resultant 'affordability gap' will be administered and Rotherham Council submitted a response to this in February 2017, which highlighted concerns about the affordability of supported housing, and the stark geographical variations in terms of the impact of these changes.
- 3.10 This change has led to uncertainty across the sector and a hiatus in the development of new supported housing in a number of areas. However despite this, when a Housing Developer Summit was held in Rotherham in October 2016, a number of ECH and other specialist providers demonstrated

an appetite to continue to work with the Council to identify partnership opportunities to deliver supported housing in Rotherham, whilst recognising the risks from further legislation changes.

- 3.11 If as a result of the research being undertaken, ECH is considered to be financially viable in the context of Rotherham's local demographics and income levels, officers will identify suitable sites, based on evidence of need in the locality, and conduct soft market testing to develop proposals for Cabinet's future consideration.
- 3.12 Providing an alternative offer for people who are living in homes that may be too large and otherwise unsuitable for their needs, will help to reduce the Council's expenditure on aids and adaptations. This will also free up (typically) three bedroom houses, thus helping families who need these homes, and stimulating the wider housing market.
- 3.13 The development of new housing schemes will have a wider economic impact, providing social value through employment and training opportunities.
- 3.14 Enabling people to stay living in or close to their community as their support needs develop / change, will help to ensure balanced and sustainable communities.

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

- 4.1 Consideration was given to producing a separate accommodation strategy for adults with support needs. However this could lead to a disjoint with the overall Housing Strategy and other key documents. It is therefore recommended that the revised set of strategic objectives be adopted and reported on as part of the overall Housing Strategy monitoring process.

#### **5. Consultation**

- 5.1 Extensive consultation was carried out with older people in Rotherham during 2015, particularly on ECH provision, and the views of approximately 300 individuals were taken into account. Residents said they want to see more ECH in Rotherham, as well as more smaller scale sheltered housing schemes in local communities.
- 5.2 Over 2000 individuals, Council teams and partner organisations were consulted during the development of the overall Housing Strategy 2016-19 and clear priorities for residents emerged about the importance of more housing that is suitable for people with support needs.
- 5.3 The 'where do you want to live?' survey (2012) and Strategic Housing Market Assessment (2015) clearly demonstrated the need for more housing suitable for older people and people with disabilities.
- 5.4 A presentation was delivered to the Health Select Commission sub-group composed of Elected Members on 24th November 2016, and their views have been taken into account in drafting detailed plans, and will continue to be reflected in consultation plans and future proposals / reports to Cabinet.

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

- 6.1 The proposed action plan is included in appendix 1. Progress will be overseen by the new Housing and Regeneration Programme Delivery Board and officers group, and regular updates will be provided to the Adult Care and Housing Directorate Leadership Team.

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

- 7.1 A detailed financial appraisal will be conducted of the extra care housing model, and if a proposal for new ECH is presented to Cabinet the report will include a clear business case with financial and procurement implications.
- 7.2 An allocation of £10m has been made in the Council's approved Capital Strategy (2017-22) for an extra care housing scheme.

## **8. Legal Implications**

- 8.1 The Care Act 2014 and accompanying regulations and guidance set out how housing can support a more integrated approach to meeting the at-home care and support needs of older and vulnerable people. The actions identified in appendix 1, particularly around improving advice and information and supporting people to live independently, contribute to meeting the requirements of the Care Act.
- 8.2 The contractual delivery arrangements for new shared ownership homes (funded by the Shared Ownership and Affordable Housing grant), and legal implications for the Council, are currently being explored. Shared ownership purchases involve legal transactions and documents that are more complicated than outright ownership or tenancies. If the Council decides to directly deliver shared ownership rather than in partnership with an external provider, this will result in legal and financial risks, and there would be a resource implication for Legal Services.

## **9. Human Resources Implications**

- 9.1 The tasks set out in the action plan will be carried out within existing staff resources. Additional project management resources will be required in the future if new extra care or supported living projects are identified.

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

- 10.1 This report includes a range of measures to improve and increase housing options for people with support needs.
- 10.2 The Council wants 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. The Council wants a Rotherham where vulnerable adults, such as those with disabilities and older people and their carers, have the necessary support within their community.

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

- 11.1 The needs of all communities will be taken into account in developing design briefs and referrals criteria for new housing schemes. This will include BME communities, people with disabilities and LGBT communities, and a full equalities impact assessment will be carried out.

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

- 12.1 The main benefits of this proposal are for Adult Care and the health services. Progress will be discussed with colleagues in other departments and agencies via Rotherham's Strategic Housing Forum.

## **13. Risks and Mitigation**

- 13.1 The Government's decision to cap rents at the local housing allowance rate presents a challenge to ECH, supported living and sheltered housing, and has stalled developments across the country during the period of ongoing uncertainty regarding the future funding of supported housing. Despite this, a number of housing associations and private developers have expressed a keen appetite to work with the Council on delivering supported accommodation and work will continue to explore the optimum delivery models.
- 13.2 There are risks associated with the rent model for people with learning disabilities, with respect to exempt accommodation.
- 13.3 If the Council does not take action to increase the number of homes that are suitable for adults with support needs, there is a wider risk that people will continue to live in homes that do not meet their needs, increasing the likelihood of their requiring hospitalisation, major adaptations, major adaptations or residential care in the future and continuing to exert pressure on Adult Care budgets.

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

Tom Bell, Assistant Director, Housing and Neighbourhood Services

Nathan Atkinson, Assistant Director, Strategic Commissioning, Adult Care and Housing

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 – Strategic objectives for the delivery of specialist housing

Ref.	Issues to address	Evidence	Required outcomes	Key actions to achieve outcomes
1.	<p>Many people are living in homes that are unsuitable for their needs. This could potentially lead to:</p> <ul style="list-style-type: none"> <li>-Financial exclusion if homes are too large, expensive to heat and run</li> <li>-Loneliness and isolation</li> <li>-People only leaving their home at a point of crisis increasing the likelihood of hospitalisation or residential care</li> <li>-Unnecessarily high expenditure on aids and adaptations</li> </ul>	<p>-10% of council tenants are under-occupying homes</p> <p>-10.5% of all residents are living in fuel poverty</p>	<p>(A) Clear understanding of need, shared across teams within Adult Care and Housing</p> <p>(B) Excellent information and advice on the housing options available for people with support needs</p> <p>(J) A full equalities impact assessment to ensure the needs of all communities are taken into account</p>	<p>Use all available data and mapping tools to develop a thorough understanding of the areas of the borough where provision is required for each cohort of adults with support needs.</p> <p>Develop a guide to housing options for people with current or future support needs and link this to real time information on property availability.</p> <p>Conduct a full equalities impact assessment to ensure the needs of all communities are taken into account.</p>
2.	<p>There is an insufficient supply of suitable homes for people with current or future support needs to move to</p>	<p>-Increasing waiting list for extra care housing</p> <p>-2,500 applicants on the Council's housing register with 'priority' housing status because their current accommodation does not meet their needs</p>	<p>(C) A range of accommodation options available in Rotherham to provide choice, quality and opportunities for people with support needs to continue to live independently.</p>	<p>Investigate various models including extra care housing, supported living and assistive technology, and ascertain which models would be financially sustainable in Rotherham.</p> <p>Identify opportunities within existing housing development programmes to increase the provision of homes for people with support needs</p> <p>Identify new sites and partnering arrangements to deliver homes for people with support needs based on cohort data and customer preference</p>



Ref.	Issues to address	Evidence	Required outcomes	Key actions to achieve outcomes
3.	Demographic changes in Rotherham mean the gap between need and provision will increase	See section 3.2 of main report	(D) Clear targets in place within housing growth plan to reflect demographic changes	Use all available data and mapping tools to develop a thorough understanding of the areas of the borough where provision is required for each cohort of adults with support needs and develop housing growth targets, based on projected changes.
4.	The Council is under pressure to deliver services differently due to financial pressures. One of the key ways of doing this is to reduce the number of people living in residential care. Other accommodation models can deliver better outcomes in terms of maintaining independence.	Over 1200 people are living in residential care  Increasing waiting list for ECH	(E) A reduction in the number of people living in residential care or out of borough due to a lack of suitable accommodation  (F) More people supported to maintain independent living, in a way that demonstrates good value for money for the Council	Publish a Market Position Statement for Adults and Older People covering 2017/18 to engage with providers to identify requirements for different models of accommodation  Investigate various models including extra care housing, supported living and assistive technology, and ascertain which models would be financially sustainable in Rotherham.  Identify opportunities within existing housing development programmes to increase the provision of homes for people with support needs  Identify new sites and partnering arrangements to deliver homes for people with support needs
5.	There is a need for more flexible short stay accommodation focused on complex needs.	6 short stay units at Shaftesbury House in high demand	(G) More flexible short stay accommodation focused on complex needs and help with timely discharge from hospital	Review current provision of intermediate care in Rotherham  Increase the number of short stay units available to flexibly meet a range of needs
6.	The Council has ambitions housing growth plans and land / resources to deliver, but no clear targets for 'specialist housing'		(D) Clear targets in place within housing growth plan to reflect demographic changes	Use all available data and mapping tools to develop a thorough understanding of the areas of the borough where provision is required for each cohort of adults with support needs and develop housing

Ref.	Issues to address	Evidence	Required outcomes	Key actions to achieve outcomes
				growth targets, based on projected demographic changes.
7.	Improvements are required to the Council's housing stock to ensure the needs of all tenants can be met now and in the future	<p>-The Council owns approximately 20,000 homes, 27% of which provide level access accommodation.</p> <p>- Profiling of council tenants shows that 30% of all tenants live with a disability. However, more than half of council tenants are aged 55 and above and 50% of those consider themselves to have a disability.</p>	(H) Council housing stock that meets the needs of its residents and supports people to live independently	<p>Through the strategic acquisitions programme, target properties that are suitable for adults with support needs</p> <p>Work in partnership to build new homes that are suitable for adults with support needs</p> <p>Identify opportunities to remodel existing stock into homes that are suitable for adults with support needs</p>
8.	There is a limited offer of homes available for sale or shared ownership, for adults with support needs	<p>-Many older people own their home outright and would consider purchasing a home on the open market that is more suitable for their needs</p> <p>-Bungalows are comparatively expensive to purchase and other types and tenures of homes are needed</p>	(I) Homes available across a range of tenures to suit all needs and circumstances	<p>Work in partnership to delivery shared ownership homes for older people and adults with learning disabilities through the Shared Ownership and Affordable Housing Programme</p> <p>Continue to encourage private developers and housing associations to develop retirement housing for sale and shared ownership on a range of council and privately owned sites across the borough.</p>

## Action plan

Ref.	Action	Milestones	Lead Team(s)	Timescale
1.	Use all available data and mapping tools to develop a thorough understanding of the areas of the borough where provision is required for each cohort of adults with support needs and develop housing growth targets, based on projected demographic changes.	<p>Analyse data held by Adult Care</p> <p>Analyse area-based tenant / resident profiles held by Strategic Housing</p> <p>Produce summary of need in each area</p> <p>Apply projected demographic changes to understand how these needs will change over time</p> <p>Develop housing growth targets</p> <p>Develop interactive GIS maps</p>	<p>Adult Care Commissioning</p> <p>Strategic Housing</p> <p>Strategic Housing</p> <p>Adult Care Commissioning / Strategic Housing</p> <p>Housing Growth</p>	<p>Apr 17</p> <p>Apr 17</p> <p>May 17</p> <p>May 17</p> <p>Jun 17</p>
2.	Develop a guide to housing options for people with current or future support needs.	<p>Develop web-based guide to housing options and signposting service</p> <p>Brief RMBC staff</p> <p>Roll out briefing to partner organisations</p> <p>Publish and promote guide</p> <p>Refresh guide and briefing every six months</p>	<p>Strategic Housing / Housing Options / Adult Care Commissioning / Communications</p>	<p>May 17</p> <p>Jun 17</p> <p>Jul 17</p> <p>Jul 17</p> <p>Ongoing</p>
3.	Publish a Market Position Statement (MPS) for Adults and Older People to engage with providers to deliver different models of accommodation	Publish MPS	Adult Care Commissioning	April 17

Ref.	Action	Milestones	Lead Team(s)	Timescale
4.	Investigate various models including extra care housing, supported living and assistive technology, and ascertain which models would be financially sustainable in Rotherham.	<p>Establish ECH project team</p> <p>Conduct benchmarking visits with other authorities currently delivering ECH</p> <p>Analyse financial viability of ECH in Rotherham and produce summary report</p> <p>If potentially viable, identify key sites in Rotherham to develop ECH and produce proposals for Cabinet's consideration</p> <p>Through MPS, engage with partners to deliver supported living accommodation</p> <p>Review the Rothercare service and identify opportunities to deliver enhanced services</p>	<p>Strategic Housing to coordinate, involving Adult Care, Corporate Property and Finance teams</p> <p>Adult Care Commissioning</p> <p>Adult Care</p>	<p>Mar 17</p> <p>Mar-May 17</p> <p>May-Jun 17</p> <p>Jul-Aug 17</p> <p>Mar 18</p> <p>Sept 17</p>
5.	Identify opportunities within existing housing development programmes to increase the provision of homes for people with support needs	<p>Confirm specialist provision in site clusters programme</p> <p>Deliver specialist bungalows for social rent across a range of sites via Shared Ownership and Affordable Housing Programme</p> <p>Promote and facilitate the inclusion of homes for adults with support needs in the following major developments:</p> <ul style="list-style-type: none"> <li>-Bassingthorpe Farm community</li> <li>-Waverley community</li> <li>-Town centre residential programme</li> <li>-Chester Hill / Whinney Hill developments</li> </ul>	<p>Housing Growth</p> <p>Housing Growth</p> <p>Housing Growth</p>	<p>Mar 17</p> <p>3 year programme to 2020</p> <p>2018 Onwards</p>

Ref.	Action	Milestones	Lead Team(s)	Timescale
6.	Identify new sites and partnering arrangements to deliver homes for people with support needs	Via monthly Asset Management Officer Groups, identify opportunities to deliver new schemes on various assets in Rotherham (Council and other public sector owned assets)	Adult Care, Strategic Housing and Investment, Corporate Property Unit, Finance teams	Commencing 17 onward
7.	Review current provision of intermediate care in Rotherham	Review current provision of intermediate care in Rotherham	Corporate Property Unit, Adult Care, TRFT and CCG, Propco	Mar 18
8.	Increase the number of short stay units available to flexibly meet a range of needs	Review demand statistics for Shaftesbury House short stay units and estimate need levels / identify locations for additional units	Strategic Housing / Housing Options / Adult Care	Jul 17
9.	Through the strategic acquisitions programme, target properties that are suitable for adults with support needs	<p>Purchase five additional bungalows suitable for adults with support needs</p> <p>Identify bungalows for sale on the open market for acquisition where this would provide a value for money option to increase suitable stock in areas of greater need</p> <p>Acquire properties that are suitable for conversion into Supported Living accommodation</p>	<p>Housing Growth</p> <p>Strategic Housing</p> <p>Strategic Housing / Investment Team / Adult Care / Housing Options</p>	<p>Apr 18</p> <p>Sept 2017 onward</p> <p>Sept 17 onward</p>
10.	Work in partnership to build new homes that are suitable for adults with support needs	<p>Complete two new Brayshaw Bungalows</p> <p>Increase the number of new build homes built through the Shared Ownership and Affordable Housing Programme</p>	<p>Contract and Service Development / Mears</p> <p>Housing Growth</p>	<p>May 17</p> <p>Ongoing to Apr 20</p>
11.	Identify opportunities to remodel existing stock into homes suitable for adults with support needs	Complete remodelling of redundant neighbourhood centres into level access accommodation for adults with support needs	Investment Team	Apr 19

Ref.	Action	Milestones	Lead Team(s)	Timescale
		Consult the tenants of Shaftesbury House on various options to enhance the services and support available	Strategic Housing / Housing Growth	May 17
		Report to Cabinet on proposal for Shaftesbury House	Strategic Housing	Jul 17
12.	Work in partnership to delivery shared ownership homes for older people and adults with learning disabilities through the Shared Ownership and Affordable Housing Programme	Consider optimum delivery / management arrangements for this type of accommodation	Housing Growth / Adult Care / Finance	Aug 17
		Re-designate some of the existing grant funded shared ownership units as shared ownership for older people and for people with learning disabilities		Aug 17
13.	Continue to encourage private developers and housing associations to develop retirement housing for sale and shared ownership on a range of council and privately owned sites across the borough.	Develop document articulating intelligence around needs / income levels for each area, tenures, and funding opportunities	Housing Growth	Sep 17
		Communicate this to all key developers and housing associations	Housing Growth	Sep 17
14.	Conduct a full equalities impact assessment to ensure the needs of all communities are taken into account.	Develop a consultation plan	Strategic Housing	Sep 17
		Conduct a full equalities impact assessment		

Public Report with Exempt Appendices  
Cabinet and Commissioners' Decision Making Meeting

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**Summary Sheet**

**Council Report:**

Cabinet and Commissioners Decision Meeting – 10 April 2017

**Title**

Munsbrough Tender Report

**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)**

Mark Nearney – Contract Service and Development Manager

Russell Foster – Quantity Surveyor

Kerry Brentnall – Programme Manager

**Summary**

The purpose of this report is to seek Cabinet approval for RMBC to accept and proceed with the winning tender for external works for 200 properties at Munsbrough, Rotherham.

The tender submission covers essential external upgrade works and repairs to domestic properties, including roof, fascia and fall pipe renewals, re-pointing of brickwork, installation of new bin stores and repairs to concrete/metal balustrades to various properties at Munsbrough, Rotherham.

Following formal evaluation the preferred tender was submitted by **Geo Houlton & Sons Ltd**, dated 23<sup>rd</sup> December 2016. Details of all the bids submitted and reviewed are listed in Appendix A.

The tendered work covers essential capital investment improvements ensuring the buildings remain safe and sustainable.

**Recommendations**

1. That the tender submitted by Geo Houlton & Sons Ltd, dated 23<sup>rd</sup> December 2016 (see Appendix A) be accepted and approved.
2. That an increase to the budget, as detailed in Appendix B, be approved.

**List of Appendices Included**

Appendix A – (exempt) Commercial tender submissions



Appendix B – (exempt) Commercial information for the Munsbrough report

The main report is not exempt. An exemption applies to **Appendix A and B** 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 1972 is requested, as this report contains sensitive commercial information with regards to the Council's contracts.

**Background Papers**

Report to Cabinet and Commissioners' Decision Making Meeting(11 April 2016): Housing Investment Programme 2016/17 (which identified this scheme)

Report to Cabinet and Commissioners' Decision Making Meeting (10 July 2016): The Lanes (which obtained approval to defer the Munsbrough scheme and associated budget to 2017/18)

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

This report has not been considered by any other committee or panel.

**Council Approval Required**

No

**Exempt from the Press and Public**

While the main report is a public item, exemption for the appendices are 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 they contain sensitive commercial information with regards to the Council's contracts.

It is considered that the public interest in maintaining the exemption would outweigh the public interest in disclosing the information, as the Council's and Contractor's commercial interests could be prejudiced by disclosure of commercial information.

## **Munsbrough Tender Report**

### **1. Recommendations**

- 1.1 That the tender submitted by Geo Houlton & Sons Ltd, dated 23rd December 2016 (see Appendix A) be accepted and approved.
- 1.2 That an increase to the budget, as detailed in Appendix B, be approved.

### **2. Background**

- 2.1 The site is in a residential area to the north of Rotherham town centre.
- 2.2 The properties are a mixture of houses, bungalows and flats, all of traditional construction, approximately 40 years old. The main streets identified to receive these works include:
  - Acorn Croft
  - Elm Grove
  - Fenton Way
  - Munsbrough Rise
  - St Marys View
  - Ash View
  - Wagon Road
  - Woodside Walk
  - Brierley Walk
- 2.3 Over the past three years the volume of responsive repairs being raised for the properties/neighbourhood identified in this report have increased significantly thus becoming problematic and costly to repair through the Responsive Repairs Service. The Investment Team scrutinised this information with current stock condition data, the number and cause of resident complaints and local officer knowledge, and concluded that improving this estate should be prioritised within the HRA Investment Plan. The scheme was then assessed and verified by the Council's Corporate Property Unit (CPU) and was put out to tender.
- 2.4 This project was procured using the YORbuild2 framework. YORbuild2 is a regional framework for Yorkshire & Humber for which Rotherham Council is one of the four lead authorities. The framework was approved at the Cabinet/Commissioners' Decision Making Meeting on 18<sup>th</sup> January 2016 (item 10). There are seven different value Lots in the framework with ten contractors in each Lot. The evaluation method for a place on the framework was Price/Quality (50/50). Suppliers from the YORbuild2 framework were invited to place bids via Yortender, Rotherham MBC's e-tendering portal.
- 2.5 The form of contract is the NEC3 Option A. NEC3 is a suite of construction contracts intended to promote the ethos of partnering and collaboration between the client and main contractor. This contract will be open book with all contractor and sub-contractor costs available for the Council to verify.

### **3. Key Issues**

- 3.1 Delivery of this scheme will contribute to the Corporate Plan priority of 'A strong community in a clean, safe environment', and to the Housing Strategy 2016-19 objective to 'continue to improve the quality of our social housing through investment, building or acquiring new stock'.
- 3.2 The works will improve value for money for the Council's Housing Revenue Account business plan, since expenditure on responsive repairs will reduce and the overall lifespan of the stock will be extended.

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

- 4.1 The only option considered for this scheme was to carry out the identified investment, as set out in the HRA Investment Plan. If this work was not undertaken assets would fall into disrepair which would have an impact on the health and wellbeing of residents, and increase the Council's expenditure on repairs as well as affecting its reputation.
- 4.2 The most competitive tender is Geo Houlton & Sons Ltd (see Appendix A). The tendered figure has been checked and found to be arithmetically correct. The scheme was tendered to ensure best value and submissions were assessed based on price. The Authority has always had a satisfactory outcome from works carried out by this contractor.

### **5. Consultation**

- 5.1 A number of consultation meetings have taken place between the local Neighbourhood Officers and Technical Officers.
- 5.2 A scheme consultation meeting was held with the Ward Members on 26<sup>th</sup> September 2016 to discuss and agree the proposals for the estate. All members were in agreement that this investment was a priority for the locality.
- 5.3 Given the nature of the works there will inevitably be disruption to residents, and excellent communication will be of paramount importance whilst delivering this scheme.
- 5.4 A letter drop will be organised for all residents informing them of the proposed work, intended programme and future consultation meetings.
- 5.5 Further resident meetings are to be scheduled after tender approval. This will include a "Meet the Contractor" open day, where the full scheme works will be explained and residents will be able to raise any questions or concerns to Housing representatives, Technical Officers and the Contractor. Family members will be welcomed and reasonable arrangements will be made to meet anyone who may be unable to attend the scheduled meetings.

- 5.6 Consultation has also been undertaken with the leaseholders who reside within the scheme boundary in compliance with Section 20 of the Landlord and Tenant Act 1985. This will enable RMBC to recover appropriate financial contributions from leaseholders for the works undertaken to their flats in accordance with the terms of their lease.

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

- 6.1 The proposed programme for the work, subject to approval, is to commence on site in May 2017, for a period of 39 weeks, with a proposed completion date of February 2018. A delay in the time scale for the approval could have an impact on project delivery not being achieved during the 2017/18 financial year.

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

- 7.1 The project fees plus specialist design costs and contingency provides the total scheme costs (see Appendix B). Scheme costs include the following items:

- Tender Cost
- Provisional Sum (Tenant Liaison)
- Professional Fees
- Building Control Fees
- Legal Fees
- Contingency

- 7.2 The Housing Investment Programme 2016/17 Report, approved by Cabinet on 11<sup>th</sup> April 2016, identified a set sum of funding (see Appendix B) to undertake the investment. The scheme was moved to 2017/18 to ensure essential statutory leasehold consultation is undertaken.

- 7.3 As part of this scheme a funding sum was allocated to this project from the Housing Revenue Account (HRA). The total scheme cost (see Appendix B) is higher than the estimated budget due to additional work and extra properties being added into the scheme following full site assessment. It is recommended that an additional budget allocation be provided, as identified in Appendix B, for this scheme, by reallocating resources within the existing approved Housing Investment Programme budget for 2017/18.

- 7.4 Suppliers from the YORbuild2 framework were invited to place bids via Yortender, Rotherham MBC's e-tendering portal. The form of contract will be the NEC3 Option A. NEC3 is a legally compliant suite of construction contracts intended to promote partnering and collaboration between the contractor and client.

## **8. Legal Implications**

- 8.1 A contract between the Council and the contractor will be drafted and endorsed. As the projected contract sum is greater than £100,000, the contract will be made under Seal. This will provide 12 years' protection for dealing with any latent defects.

**9. Human Resources Implications**

9.1 None identified

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

10.1 As stated in the contract documentation, the suppliers and sub-contractors have an obligation to report any concerns about the treatment of vulnerable adults and children that they may witness in the course of their work. Any concerns must be reported to the Rotherham Multi Agency Safeguarding Hub (MASH). This project has been risk assessed as a standard Level 1.

**11. Equalities and Human Rights Implications**

11.1 There are no known negative impacts identified as a consequence of taking forward the recommendations identified within this report

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

12.1 The delivery of investment works will further enhance the efforts being made to create and maintain a sustainable affordable housing offer within an area that is in demand and will support the long-term availability of quality, well-maintained homes. This investment will reduce the requirement for general repairs expenditure in future years.

**13. Risks and Mitigation**

13.1 Risk of project overspend: To mitigate this, a Contingency sum of 5% of the contract sum has been included within the scheme costs to safeguard against any matters arising. If no cost implication matters arise, the contingency will not be spent. The scheme is being managed by the CPU Team, and the competitive tender element returned what officers consider to be a realistic tender price for the project.

13.2 Risk of underperformance by the contractor: The contractor is experienced in carrying out works of this scale under the YORbuild framework. The Authority has always had a satisfactory outcome from works carried out by this contractor.

13.3 The risk of not carrying out this work is the increasing cost for the Council on responsive repairs expenditure, and the risk of a delay to the decision to accept this Tender is that capital spend is unlikely to be achieved during 2017/18.

**14. Accountable Officer(s)**

Tom Bell, Assistant Director of Housing and Neighbourhood Services.

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

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of the Local Government Act 1972.

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of the Local Government Act 1972.

Document is Restricted



Public Report  
Cabinet and Commissioner Decision Making Meeting

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**Council Report**

Cabinet and Commissioner Decision Making Meeting – 10 April 2017

**Title**

Neighbourhood Planning: Neighbourhood Area Application from Maltby Town Council

**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**

Damien Wilson, Strategic Director, Regeneration & Environment

**Report Author**

Rachel Overfield, Planning Officer, Planning, Regeneration and Transport

**Ward(s) Affected**

Maltby

**Summary**

Maltby Town Council has notified the Council of their intention to produce a neighbourhood plan covering the Parish of Maltby. It is proposed that the Council approves the application from Maltby Town Council as a relevant neighbourhood planning body and the designation of Maltby Parish as a Neighbourhood Area.

**Recommendations**

1. That the neighbourhood area application from Maltby Town Council as the relevant neighbourhood planning body be approved.
2. That the Parish of Maltby be designated as a Neighbourhood Area.

**List of Appendices Included**

None

**Background Papers**

National planning guidance on neighbourhood planning:  
<https://www.gov.uk/guidance/neighbourhood-planning--2>

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

No

**Council Approval Required**

No

**Exempt from the Press and Public**  
No

**Title**

Neighbourhood Planning: Area Application from Maltby Town Council

**1. Recommendations**

- 1.1 That the neighbourhood area application from Maltby Town Council as the relevant neighbourhood planning body be approved.
- 1.2 That the Parish of Maltby be designated as a Neighbourhood Area.

**2. Background**

- 2.1 The Localism Act 2011 introduced a new right for communities to draw up a neighbourhood plan. A neighbourhood plan sets out policies in relation to the development and use of land in the whole or any part of a particular neighbourhood area. When adopted, neighbourhood plans become part of the Council's statutory development plan (alongside the Local Plan) and the policies contained within them apply in the determination of planning applications within the neighbourhood area.
- 2.2 Government planning policy confirms the primacy of the Local Plan. The National Planning Policy Framework sets out that neighbourhood plans must be in general conformity with the strategic policies of the Local Plan. Neighbourhood plans should reflect these policies and neighbourhoods should plan positively to support them. Neighbourhood plans should not promote less development than set out in the Local Plan or undermine its strategic policies.
- 2.3 A neighbourhood area application is the first step in the process, as work on a neighbourhood plan can only begin when the neighbourhood area has been designated by the Council. Approval of the neighbourhood area and commencement of neighbourhood planning will empower local residents to have more of a say about developments in their area. To date the Council has approved one other neighbourhood area application, for Dinnington St John's Parish.

**3. Key Issues**

- 3.1 The application is made by Maltby Town Council for the whole of the Parish of Maltby. Applications for neighbourhood plans are subject to a prescriptive process set out in central Government regulations. In this case, where a parish/town council applies for the whole of the area of the parish to be designated as a neighbourhood area, the local planning authority must designate the whole of the area applied for.

- 3.2 The current application is a preliminary step in the preparation of a neighbourhood plan. Assuming the neighbourhood plan goes on to be developed, the Council must take decisions at key stages in the process within the time limits that apply and fulfil duties to provide advice or assistance to Maltby Town Council.
- 3.3 A neighbourhood plan, once it comes into force, will form part of Rotherham's statutory development plan. Policies in the neighbourhood plan will be taken into account when the Council determines planning applications within the Parish.
- 3.4 The Council can apply for retrospective funding from central Government to support neighbourhood plans under preparation in its area.

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

- 4.1 Applications for neighbourhood plans are subject to a prescriptive process set out in central Government regulations. In this case, where a parish/town council applies for the whole of the area of the parish to be designated as a neighbourhood area, the local planning authority must designate the whole of the area applied for. As such, there are no other options to consider.

#### **5. Consultation**

- 5.1 Previously, the Council was required to publicise and consult on neighbourhood area applications, as was the case for Dinnington. Changes to the regulations in October 2016 removed this requirement, for cases where a neighbourhood area corresponds with a parish boundary. There is therefore no requirement for the Council to undertake public consultation on Maltby Town Council's neighbourhood area application.

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

- 6.1 The table below sets out the key dates relating to the neighbourhood area application process.

Notice from Maltby Town Council	12 December 2016
Decision	10 April 2017 (Cabinet decision)

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

- 7.1 The cost to the Council to date has been officer time in supporting and processing the neighbourhood area application; this has been carried out within existing budgets. Assuming the neighbourhood plan goes on to be developed there will be further costs, such as independent examination of the plan and a local referendum on its adoption.

- 7.2 To meet these costs, the Council can apply for retrospective funding from central Government to support neighbourhood plans under preparation in its area. The basic level of funding is £25,000 which is paid after completion of named stages in plan progression. The first payment of £5,000 is made following designation of the neighbourhood area. However, initial estimates of costs associated with processing the application and supporting preparation of the neighbourhood plan indicate that the grant may be insufficient. If a shortfall arises, it will create a pressure on existing budgets. It is not possible to accurately predict this shortfall at present, as for example the costs of independent examination will vary depending on the complexity of the neighbourhood plan.
- 7.3 If the application is granted, Maltby Town Council will lead on the neighbourhood plan's production and not the Council. The Town Council can apply directly for central Government funding and/or technical assistance in preparing a neighbourhood plan. Currently, groups preparing a neighbourhood plan can apply for a grant of £9,000, while those groups facing more complex issues may be eligible for a further £6,000.
- 7.4 Rotherham's Community Infrastructure Levy (CIL) was adopted by the Council on 7 December 2016; the charge is due to come into force in April 2017. Parish and town councils are entitled to a proportion of CIL income arising from development in their parish. The default proportion is 15 per cent. Parish and town councils that have a neighbourhood plan in place will receive a higher proportion of 25 per cent. Central Government's intention is that CIL income is spent on infrastructure. Where a neighbourhood plan is in place the parish will have a higher proportion of that income to spend locally in line with their own priorities. As a consequence the Council will have slightly less to spend on Borough-wide infrastructure priorities.

## **8. Legal Implications**

- 8.1 The Neighbourhood Planning (General) and Development Management Procedure (Amendment) Regulations 2016 require the local planning authority to exercise their powers under Section 61G of the 1990 Act and designate the whole of the area of a town/parish council as a neighbourhood area.
- 8.2 Under the Town and Country Planning Act 1990, the Council has a statutory duty to assist communities in the preparation of neighbourhood development plans and to take plans through a process of examination and referendum.

## **9. Human Resources Implications**

- 9.1 No direct implications arise from this report.

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

- 10.1 No direct implications arise from this report. The neighbourhood plan will have to be in general conformity with the Local Plan and therefore will not pose a risk to the Council's overall priorities.

**11. Equalities and Human Rights Implications**

- 11.1 No direct implications arise from this report. The neighbourhood plan will have to be in general conformity with the adopted Local Plan Core Strategy, which was itself informed by an Equalities Impact Assessment.

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

- 12.1 No direct implications arise from this report. However, there will be a requirement for relevant officers in other directorates to assist with neighbourhood planning work, for instance from Legal Services, Neighbourhood Partnerships and Electoral Services. An officer working group has been set up to co-ordinate the Council's work on neighbourhood planning.

**13. Risks and Mitigation**

- 13.1 The Council may be open to legal challenge should the application not be treated in accordance with the relevant legislation. Legal advice has been sought as necessary to minimise this risk.

**14. Accountable Officer(s)**

Damien Wilson, Strategic Director, Regeneration & Environment

Approvals Obtained from:

Strategic Director of Finance and Corporate Services:  
Jon Baggaley, Finance Manager

Assistant Director of Legal Services:  
Sumera Shabir, Planning Solicitor

Head of Procurement (if appropriate): N/A

## Summary Sheet

### Council Meeting:

Cabinet and Commissioners Decision Meeting – 10<sup>th</sup> April 2017

### Council Report:

Cabinet/ Commissioner Decision Making Meeting

### Title:

Commissioning Intentions for Jointly Commissioned Services with Rotherham  
Clinical Commissioning Group (CCG) – Community Occupational Therapy Services

### 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)

Karen Smith, Joint Commissioning Officer, Adult Care and Housing

### Ward(s) Affected

All Wards

## Executive Summary

The Community Occupational Therapy (COT) service is a jointly commissioned service between the Council and the Rotherham Clinical Commissioning Group (CCG), via a pooled budget arrangement under a Section 75 agreement covering the Better Care Fund (BCF).

The COT Service is currently delivered under a block contract agreement by The Rotherham Foundation Trust (TRFT). The current contract expires on 31<sup>st</sup> March, 2017.

The service provides assessments for adults, older people and children who are permanently or substantially disabled and their carers. The overall cost of COT services in 2016/17 is £746,000 per annum, with the Council contributing £372,000 towards the service and the CCG contributing £374,000 per annum. The Council is the lead commissioner for this service and is accountable to the Health and Well Being Board and the Better Care Fund Executive Group.

A formal review has recently been completed by the Council and CCG in order to:

- (a) Ensure that the service is meeting the needs of customers and their carers
- (b) Reduce the waiting times for assessment
- (c) Reduce the number of customers being referred to the service by signposting them to alternative services at the first point of contact



- (d) Carry out analysis of performance data to predict demand and capacity of service
- (e) Carry out analysis and evaluation of customer and carer satisfaction rates and outcomes
- (f) Examine whether the service promotes Value for Money.

The review demonstrated that the COT service was carrying out assessments for low level/single need customers and that resources need to be diverted towards providing assessments to support complex needs (e.g. moving and handling techniques to support carers, prescribing major adaptations). In addition to this, it was identified that Assistant Practitioners/OT Assessment Officers (formerly known as Technical Officers/Social Services Officers) could be upskilled to carry out assessments for level access showers, straight stair-lifts and ramps and that the level of paperwork completed was onerous and needed to be streamlined.

It is, therefore, recommended that the contract for the Community Occupational Therapy Service be extended for one further year to allow alignment with the Adult Care Development Programme (including the BCF Work Programme) and the evolving Specialist Housing Strategy. Within the extended period to April 2018, providers will be expected to achieve all recommendations highlighted in the COT review report and to work with the Council and the CCG to implement new models of service delivery.

The Lead Commissioner arrangements for the Community Occupational Therapy Service are proposed to be assigned to the Clinical Commissioning Group (CCG) as they have the largest financial stake and greater capacity to lead this activity. The Better Care Fund Section 75 agreement with Rotherham CCG allows for the assignment of the Lead Commissioner responsibilities, which has been approved by the Better Care Fund Executive Group.

Extension of the current contracts for a period of up to 12 months will ensure that services can be redesigned, will allow time for the purpose and nature of future preventative services to be agreed in line with the Council's and CCG's Transformation programmes, Corporate Plan, Health and Wellbeing Strategy and the Better Care Fund Plan 2017/19. It will also ensure appropriate commissioning actions are taken to streamline services and ensure funding streams are appropriately placed prior to commencing a competitive tender process.

### **Recommendations**

1. That the Clinical Commissioning Group be designated as Lead Commissioner for the Community Occupational Therapy Service.
2. That the proposal to extend the contract for the Community Occupational Therapy Service for a period of up to 12 months from the 1 April 2017, for the reasons identified in Section 3 of this document, be noted.

### **List of Appendices Included**

None

### **Background Papers**

None

**Consideration by any other Council Committee, Scrutiny or Advisory Panel**  
No

**Council Approval Required**  
Yes

**Exempt from the Press and Public**  
No

**Title:** Commissioning Intentions for Jointly Commissioned Services with Rotherham Clinical Commissioning Group (CCG) – Community Occupational Therapy Services

**1. Recommendation**

- 1.1 That the Clinical Commissioning Group be designated as Lead Commissioner for the Community Occupational Therapy Service.
- 1.2 That the proposal to extend the contract for the Community Occupational Therapy Service for a period of up to 12 months from the 1 April 2017, for the reasons identified in Section 3 of this document, be noted.

**2. Background**

- 2.1 The Community Occupational Therapy (COT) service is a jointly commissioned service between the Council and the Rotherham Clinical Commissioning Group (CCG), via a pooled budget arrangement under a Section 75 agreement to facilitate the Better Care Fund (BCF)
- 2.2 The COT Service is currently delivered under a block contract agreement by The Rotherham Foundation Trust (TRFT). The current contract expires on 31<sup>st</sup> March, 2017.
- 2.3 The service provides assessments for adults, older people and children who are permanently or substantially disabled and their carers.
- 2.4 The overall cost of the COT services in 2016/17 was £746,000 per annum, with the Council contributing £372,000 towards the service and the CCG contributing £374,000 per annum. The Council is the lead commissioner for this service and is accountable to the Health and Well Being Board and the BCF Executive Group.
- 2.5 There are 3 FTE OT Assessment Officers (formerly known as Social Services Officers) employed by the Council and funded from the adult care budget. These posts are currently part of the COT service and carry out assessments for customers with low/moderate needs who require equipment and minor adaptations and perform the same duties as The Rotherham Foundation Trust Assistant Practitioners (formerly known as Technical Officers). The costs of these posts amounted to £93,350 in 2016/17.
- 2.6 The client groups served are as follows:
  - Older People (65 years and over)
  - Adults with Physical Disabilities (18 to 64 years)
  - Mental Health (18 to 64 years)
  - Learning Disabilities (18 to 64 years)
  - Children's (0 to 17 years)
- 2.7 The service is commissioned to assess 3,500 customers (plus or minus 5%) which amounts to between 3,325 and 3,675 assessment per annum. The service completed 3,294 assessments in 2015/16 and 2,133 between April

and November 2016 (8 months), which amounts to a predicted 3,200 assessments for 2016/17. Therefore, this is slightly under the target set for 2016/17.

- 2.8 From April 2015 to November 2016, the COT service carried out a total of 171 assessments for children and a total of 176 home visits. 34 children were in the age group 0 to 4 years, 56 aged between 5 to 9 years, 59 aged between 10 to 15 years and 22 aged between 16 to 17 years.
- 2.9 The service has struggled to meet the increasing demand due to the number of contacts received in Year 1 which amounted to 3,491 which increased to 4,056 in Year 5 of the contract, thus resulting in the OT backlog increasing. This amounts to a 16% increase in the referral rate or 565 additional customers per annum. This increase in referral rates is predominantly due to the increasing demographics of older people (42,700 in Year 1 of the contract [2011/12] to 50,800 in Year 5 of the contract [2016/17], with a further predicted increase to 54,200 by the year 2020)<sup>1</sup>. The commissioning of the social care prescribing service has also impacted on the referral rate to the COT service over the last two years in terms of an additional pathway for referrals to the service.
- 2.10 In 2015/16 there were a total of 550 contacts terminated – 71 admitted to hospital, 192 terminated by customer, 105 by carer, 127 by adult care, 58 died and 1 moved to another area. The majority of these customers where their assessment has been terminated will have received some telephone input/support from the COT service to provide information and advice around alternative services available in the community to provide support.
- 2.11 The average waiting times for assessment significantly increased to 51.06 days in April 2016, against an agreed maximum target of 95% of assessments carried out within a maximum of 28 calendar days. An OT backlog group was established in June 2017 as the number of customers waiting for an assessment had increased to a total of 599, with a maximum of 22 weeks for a qualified OT assessment and 10 weeks for an Assistant Practitioner (AP)/OT Assessment Officer (OTAO) assessment.
- 2.12 The OT Backlog Group and Joint Commissioning Performance Group, consisting of key stakeholders from the Council and CCG, collectively agreed the following actions to reduce the OT backlog:
  - (a) Single Point of Access and Housing Repairs teams to directly issue low level types of equipment
  - (b) Upskilling APs/OTAOs to carry out assessments for level access showers, ramps (up to 2 steps) and straight stairlifts, under the close supervision of a suitably qualified OT
  - (c) Streamlining the number of referral forms completed by amalgamating the minor fixings and minor adaptations forms.
  - (d) Reduced the amount of inputting on the assessment document within the Liquidlogic case management system according to individual needs/complexities.

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<sup>1</sup> Projecting Older People Population Information System - POPPI

Further actions identified within the review will be completed during the months of April to July 2017 as follows:

- (a) Allocate 1 x WTE OT post to the Single Point of Access team on a 3 months trial period to assist with signposting customers to alternative services
- (b) Work more closely with adult social care to look at new care packages with the aim of reducing costs
- (c) To continue to work in partnership with the Learning Disability Occupational Therapy team to assess clients living at Cranworth and find suitable alternative accommodation, including the provision of equipment and adaptations to support complex needs
- (d) Develop an options appraisal to inform future commissioning arrangements

- 2.12 Following the implementation of these agreed actions, the OT backlog has now reduced to 147 in March 2017, with a maximum waiting time for assessment standing at 8 weeks for a qualified OT and 3.5 weeks for an AP/OTAO assessment. It is predicted that the COT will be able to achieve all contractual targets by May 2017, as the service is continually reducing the backlog by around 60 to 70 assessments per month.
- 2.13 The outcomes from services provided to the client groups served by the Programme demonstrate its usefulness and effectiveness in preventing onward progression into health and social care. It is a cornerstone of Rotherham's integration and BCF Programme, critical for compliance with Care Act principles around devolution of decision-making to customers, and achieving a diverse and rich care and support marketplace.
- 2.14 Given the need to fundamentally change the Adult Care offer and to move forward to the service working more closely together, the service delivery model will need to develop and change and it would not be prudent to tie the Council into new three year block contract arrangements at this time.
- 2.15 It is proposed instead that the contracts for the services be extended for one further year to allow alignment with the Adult Care Development Programme (including the BCF Programme), the Children and Young People Service (CYPS)-led Transitions Review and the evolving Housing Strategy. In the extended period to April 2018, providers will be expected to work with the Council and the CCG to implement new models of service delivery.
- 2.16 This will also ensure appropriate commissioning actions are taken to streamline services and ensure funding streams are appropriately placed prior to any consideration of a tender process taking place.

### **3. Key Issues**

- 3.1 The proposals contained in this paper contribute towards the statutory functions of Adult Care and the 4 aims of the Rotherham Joint Health and Well-Being Strategy (2015/19) which includes:

- (a) All children get the best start in life
  - (b) Children and young people achieve their potential and have a healthy adolescence and adulthood
  - (c) All Rotherham people enjoy the best possible mental health and wellbeing and have a good quality of life
  - (d) Healthy life expectancy is improved for all Rotherham people and the gap in life expectancy is reducing
- 3.2 The service also contributes to the jointly agreed metrics of the Better Care Fund (2017/19) and the Rotherham CCG Annual Commissioning Plan (2016/19) in reducing permanent admissions to residential and nursing care and avoidable hospital admissions. The BCF metrics scorecard reveals that the number of admissions to residential care (by end of November 2016) rate is significantly lower than the target and the performance for non-elective hospital admissions is currently under target and within contract plans.
- 3.3 The service also contributes to the Adult Social Care Outcomes Framework (ASCOF2B) in enabling customers to remain in the community for longer than may be possible if they did not receive the input from the COT service.
- 3.4 The service contributes towards the Rotherham Community Transformation programme which aims to achieve savings and efficiencies, whilst service the local community with the same standard of care.
- 3.5 Reductions to budgets and changes to funding streams make the future of the current services uncertain and the purpose and nature of future preventative services needs to be agreed and aligned with the Council's and CCG's transformation programmes.
- 3.6 Failure to appropriately assess service provision, analyse need/demand and suitably manage risk/impact to customers will lead to inappropriate services that bring further cost implications to the Council through Adult Care, CCG, Children and Young People's services and Housing.
- 3.7 A new service model needs to be developed to address projected increased need, but this needs to be delivered within the same financial envelope in 2018/19. The current model of provision may not be affordable in the future in terms of delivering on key performance targets such as responding to assessments within 28 calendar days. A future options appraisal will need to consider how these issues are addressed so that we can meet the needs of the local population in a timely manner.
- 3.8 The recent review has highlighted a potential cost pressure associated with the service of £141,098 per annum relating to the management and contribution costs. Rotherham CCG, as part of their 2017/18 NHS Standard Contract with TRFT, have requested a comprehensive review of the community services management and contributions funding across community services to determine whether this is actual or perceived.
- 3.9 A soft market testing exercise was carried out between August and October 2016 which revealed that the market for specialist OT services currently is

under-developed and there is a risk no suitable provider is identified to deliver the new service model within the existing financial envelope. For example, all COT services within the Yorkshire and Humber region (Sheffield, Barnsley, Doncaster, Derbyshire, Bradford, Leeds, Calderdale) are provided by NHS Foundation Trusts or Councils.

- 3.10 Extending the contract for a period of one year from April 2017, will allow for a further review of the current service model, which is part of the BCF work programme. This will also allow for commissioners to understand projected future needs by 2018/19.

#### **4. Care Act and BCF Implications**

- 4.1 The key drivers of the Better Care Fund plan is to move towards integrated commissioning and the development of integrated health and social care services, through the use of either pooled budgets and/or partnership agreements.
- 4.2 The BCF long-term plan sets out the vision that health and social care teams will work in an increasingly integrated way under a common set of objectives. Commissioning plans will be aligned to the Health and Well Being Strategy to achieve maximum efficiencies, maintain service quality and also to drive forward the prevention agenda. The COT service will become part of the whole system commissioning model to ensure that the service becomes person centred, promotes value for money and is able to provide integrated care which supports people with complex needs to remain independent in the community.
- 4.3 The introduction of the Care Act has resulted in an increase in demand for OT assessments as carers have a legal entitlement to an assessment and for information, advice and support and also the impact of the social care prescribing service playing their preventative role in the community.
- 4.4 The COT service will be expected to arrange and make available services that prevent, delay or reduce the need for higher levels of care and support. The Act places responsibility of identifying people in the local area who might have care and support needs that are not being met which will also increase the workload of therapy staff.

#### **5. Recommended Proposal**

- 5.1 Our recommendation is to assign the Lead Commissioner arrangement for the Community Occupational Therapy Service to the Clinical Commissioning Group (CCG).

The Better Care Fund Section 75 agreement with Rotherham CCG allows for the assignment of the Lead Commissioner responsibilities, which has met with approval from the Better Care Fund Executive Group. Therefore, there is a need to change commissioning arrangements and the requirement to develop a new service specification prior to tender.



The Clinical Commissioning Group will publish a Voluntary Ex-Ante Transparency (VEAT) notice in the Official Journal of the European Community (OJEU).

Cabinet approval	Paper to Cabinet outlining the intentions	Karen Smith/ LA and CCG Commissioning Team	April 2017
CCG to complete VEAT Notice	VEAT Notice to be published on OJEU website	CCG Commissioning Team	April 2017
Continue to monitor and oversee actions contained within the COT review report to ensure the backlog achieves and remains with contractual obligations	Closely monitor performance data through the Joint Commissioning Performance Group and BCF Executive Group	Karen Smith/ CCG Commissioning and LA Performance Team	April to July 2017
Analysis of current provision (increased need/demand/gap analysis)	Closely monitor performance data through the Joint Commissioning Performance Group and BCF Executive Group	Karen Smith/ CCG Commissioning and LA Performance Team	April to July 2017
Consultation with service users, current providers and partners	Focus groups, face to face interviews, surveys	Karen Smith/ RMBC Performance Team	April to September 2017
Carry out an options appraisal to inform commissioning arrangements for joint funding of services with the CCG, including options to tender the service. A new service model will need to be developed within the same financial envelope.	Considering reconfiguration of existing model or procurement	Karen Smith/ LA and CCG Commissioning Team	August to September 2017
New service specification and contract developed	Review of current provision and develop new service specifications	Karen Smith/ LA and CCG Commissioning Team	September 2017
Implementation of new model	Dependent on outcomes of options appraisal	Karen Smith/ LA and CCG Commissioning Team	October to March 2017

This recommendation allows the Council and CCG the opportunity to carry out a thorough consultation programme with the existing provider (TRFT) and other key stakeholders, including customers and carers, comparator authorities and other interdependencies which would ensure that a robust

commissioning exercise is completed to provide the best model of service delivery which is fit for the future, sustainable and promotes value for money.

The Council and the CCG will develop a new service specification which will incorporate a proposed new model of provision which will focus on delivering on the Care Act's "Prevent, Reduce and Delay" agenda and will closely tie in with the re-ablement, assistive technology and equipment offer so that this becomes a more preventative type service, rather than a re-active service in future. The new service specification will be signed and agreed by the Better Care Fund Executive Group.

## **6. Consultation**

- 6.1 Consultation needs to be finalised with existing providers, current and previous customers and partners to identify any gaps in the current provisions prior to building the new specifications.
- 6.2 A tender that includes Council and The Rotherham Foundation Trust employees requires a period of formal consultation with Trade Unions and staff as this process may result in a TUPE transfer to a new provider. Early notification of this service going out to tender needs to be communicated to Trade Unions and staff.

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

- 7.1 The timescales for this piece of work will be around 12 months in order to facilitate a successful conclusion.

## **8. Financial and Procurement Implications**

- 8.1 The current total annual contract values for the COT contract is £746,000 for 2016/17, which is financed by the Better Care Fund under a Section 75 pooled budget arrangement with the CCG.
- 8.2 There are 3 x FTE OT Assessment Officers employed by the Council funded from the adult care budget. These posts are currently part of the COT service and carry out assessments for customers with low/moderate needs who require equipment and minor adaptations and perform the same duties as the TRFT Assistant Practitioners. The costs of these posts amounted to £93,350 in 2016/17.
- 8.3 Consideration needs to be given as to whether all funding will come under one service specification and contract. This would give the contract a total value of £839,350 per annum which would cover both the Council and The Rotherham Foundation Trust elements of the service.

## **9. Legal Implications**

- 9.1 To assign the Lead Commissioner arrangements for the Community Occupational Therapy Service to the Clinical Commissioning Group (CCG). The Better Care Fund Section 75 agreement with Rotherham CCG allows for

the assignment of the Lead Commissioner responsibilities, which has been approved by the Better Care Fund Executive Group.

- 9.2 The Clinical Commissioning Group will publish a Voluntary Ex-Ante Transparency (VEAT) notice in the Official Journal of the European Community (OJEU)
- 9.3 To mitigate the above risks, in 2017/18 there will be a full review and options appraisal for reconfiguration or tender of the process based on a robust benchmarking and engagement with customers/carers exercise

## **10. Human Resources Implications**

- 10.1 The proposal affects Council employees (as well as TRFT employees) as there are 3 FTE OT Assessment Officers posts that are part of the COT service carrying out the same function as the Rotherham Foundation Trust Assistant Practitioners by providing assessments for equipment and minor adaptations.
- 10.2 If the existing contracts are not extended, the proposal will have redundancy or TUPE implications for the current providers (The Rotherham Foundation Trust and the Council) should both elements of the service be decommissioned or the service is awarded to an alternative provider following the competitive tender.

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

- 11.1 The Community Occupational Therapy Service will work with children from 0 to 17 years and vulnerable adults from age 18 upwards.
- 11.2 Failure to appropriately assess service provision, analyse need/demand and suitably manage risk/impact to customers will lead to inappropriate services that bring further cost implications to the Council through Adult Care, CCG, Children and Young People's services and Housing.

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

- 12.1 There is a need for careful consideration to be given to services as this will have a direct impact on the Housing Directorate (adaptations function), CCG, The Rotherham Foundation Trust and Rotherham, Doncaster and South Humber NHS Foundation Trust as the service provides assessments for all client groups.
- 12.2 There is a need to establish at an early stage with regard to future commissioning intentions from our partner organisations. This will have implications for any new service specification and/or tender process. The new service specification may need to include identifying suitable alternative therapy services to pick up on the workload. This process will include consultation with customers and their carers to determine an appropriate outcomes framework and new service model.

- 12.3 The contracts contribute towards the BCF Programme and Health and Wellbeing Strategy with Rotherham CCG.
- 12.4 The BCF Programme contributes to statutory provision of services to meet the Council's duty of complying with the Care Act's "Prevent, Reduce and Delay" agenda.

### **13. Risks and Mitigation**

- 13.1 If the contracts terms are not extended the Adult Care Development/Transformation Team, the Council and Rotherham CCG will be unable to link successfully with partners and Directorate colleagues to deliver on their strategic programmes and achieve the efficiencies identified.
- 13.2 The current contract has a 6 month notice period which does not give us sufficient opportunity to carry out the level of work and timeframes required for an appropriate tender process, a robust customer and carer engagement exercise and benchmarking exercise, for the existing provider to complete all actions identified within the COT review report and to ensure that services are value for money and appropriately meet the needs of the people who access them in the future.

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

Approvals Obtained from:-

Strategic Director of Adult Care and Housing:	Anne-Marie Lubanski
Assistant Director of Strategic Commissioning:	Nathan Atkinson
Finance Manager:	Mark Scarrott
Principal Officer/Contracts Solicitor (Legal):	Ian Gledhill/Kavita Ladva
Senior Category Manager (Procurement):	Lorna Byne
Human Resources Business Partner:	Odette Stringwell

Karen Smith, Joint Contracts Officer, Adult Care and the CCG

Claire Smith, Head of Long Term Conditions and Urgent Care, CCG

Public Report  
Cabinet and Commissioners' Decision Making Meeting

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**Summary Sheet**

**Council Meeting:**

Cabinet and Commissioners Decision Making Meeting – 10 April 2017

**Title**

Review of Neighbourhood Working

**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 & Housing

**Report Author(s)**

Tom Bell, Assistant Director of Housing and Neighbourhood Service.  
Zafar Saleem, Neighbourhood Partnerships Manager.

**Summary**

Rotherham Council's Corporate Improvement Plan, "A Fresh Start", has a specific improvement theme of "strong, high impact partnerships". This includes "active ward Councillors working within neighbourhoods to build community and citizens' capacity".

The aim was to undertake a review which would herald the introduction of "a new model of citizen engagement and neighbourhood working linked to a review of Area Assemblies" to provide a focus on communities and introduce a new way of working.

The scope of the review comprised 3 elements:

1. creating a Council wide policy and approach to neighbourhood working
2. developing a multi-agency approach to neighbourhood working and
3. following the adoption of the new locality model, a review of the role and funding of the Neighbourhood Partnerships and Engagement Service.

A fourth connected element is agreeing a new "policy statement" on cohesion which is now also linked, in part, to the work of the Rotherham Together Partnership (RTP) and the new "Rotherham Plan" which will be launched in March 2017. This piece of policy work is being led by the Council's Head of Performance, Intelligence and Improvement. However, it is recognised that neighbourhood working plays a crucial role in contributing to this agenda whilst it is being developed.

An Elected Member Working Group was established, chaired by Councillor Yasseen, Cabinet Member for Neighbourhood Working and Cultural Services, comprising:

- Area Assembly Chairs/Vice Chairs
- A member of the Opposition Group and
- Supported by the Chief Executive and senior internal/external partners

There have been six meetings of the Elected Member Working Group. The first 4 were as follows:

- 11th July 2016 - scene setting and internal partner footprints.
- 26th July 2016 - external partner footprints.
- 24th August 2016- externally facilitated - pre-circulated desktop research and feedback from visits to other local authorities, and results of Member Survey – considered Vision/Working Principles.
- 5th September 2016 - approved a Vision/Working Principles.

The Elected Member Working Group then submitted a report to Cabinet on 10<sup>th</sup> October 2016. Cabinet approved the Vision/Working Principles put forward by the Working Group:

***“Putting communities at the heart of everything we do by***

- ***Councillors working with their communities on what matters to them,***
- ***Listening and working together to make a difference and***
- ***Supporting people from different backgrounds to get on well together . . . to help make people healthier, happier, safer and proud”***

Following Cabinet, there have been 2 further meetings of the Working Group:

- 18th October 2016 - considered three options for delivering the Vision
- 16th November 2016 - received officer presentation on a potential working model

At the meeting of the Working Group on 16th November 2016, there was support for a new neighbourhood working model which would result in the 21 electoral wards becoming the key building blocks for supporting Councillors in their community leadership role. A complimentary project has been initiated by the Council and Rotherham Together Partnership to examine locality working across the wider partnership. This presents an opportunity to bring together other stakeholders e.g. South Yorkshire Police (SYP), Health, voluntary and community sector, and other Council services to develop a holistic locality model.

The objective of this paper is to present a revised model of neighbourhood working, with more detail around ward level working, accountability and governance.

## **Recommendations**

- 1.1 That the recommendations for a new model of Neighbourhood Working be approved.

- 1.2 That the removal of the current Area Assembly governance framework be agreed.
- 1.3 That the dissolution of the Area Assembly coordinating Groups be agreed.
- 1.4 That approval be given to the approach for each ward to be able to locally agree how to conduct citizen engagement in a flexible and innovative manner. Wards can still choose to hold meetings e.g. in response to specific issues and can tailor the approach to best engage their citizens.
- 1.5 That flexible clustering to allow wards to work together based on geography and common interest, where needed, be approved.
- 1.6 That a quarterly update from each ward be submitted to the portfolio Cabinet Member for Neighbourhood Working and Cultural Services to provide oversight across the Borough.
- 1.7 That a requirement be introduced for ward plans to be produced and to publish outlining ward priorities and activities aligned to the Corporate Plan.
- 1.8 That a requirement be introduced for place profiles to be developed for each of the 21 wards detailing the demographics and community assets of the area; to be piloted in 4 wards.
- 1.9 That the Community Leadership Fund of £1,000 per elected member be continued, but be spent in line with ward plan priorities.
- 1.10 That the £30,000 currently allocated for Area Assembly Chairs from the Community Engagement budget in 2017/18 be distributed evenly to all 21 wards, which will equate to £1,428 per ward and that this budget be reviewed as part of the overall corporate budget setting process for 2018/19.
- 1.11 That Council be recommended to add £210k to the Capital Programme in 2017/18, to be funded from capital receipts, and that this budget be reviewed as part of the overall corporate budget setting process for 2018/19.
- 1.12 That £10,000 capital investment funding be allocated to each ward from the £210k total allocation and that utilisation of this be determined by ward priorities.
- 1.13 That decision making be delegated to wards with spend approved by the Assistant Director of Housing and Neighbourhood Services.
- 1.14 That officers be required to explore the potential to provide support to members to secure additional funding both internally and externally.
- 1.15 That an Annual Report on Neighbourhood Working be submitted to both the Improving Places Select Commission (IPSC) and Council.
- 1.16 That approval be given to a 12 month transitional plan to phase-in the new neighbourhood approach.



1.17 That the review of staffing structure supporting neighbourhood working be noted and decisions arising from the review be taken under existing delegated powers.

1.18 That the Council be recommended to amend the Constitution to:

- Remove the reference to area assemblies in the heading of Part III of the Constitution and delete Article 12 of the Constitution [Area assemblies and area assembly co-ordinating groups]
- Remove references to Area Assemblies and Area Assembly Co-ordinating Groups from the Executive Procedure Rules
- Delete Rule 16(6),(7) and (8) [Conflicts of interest – membership of area assembly co-ordinating groups and overview and scrutiny committee] and references to “Chairs of Area Assemblies” and all other references to “area assemblies” in the Overview and Scrutiny Procedure Rules
- Delete references to area committees in the Access to Information Procedure Rules
- Delete references to area committees and area assembly coordinating groups in the Standing Orders.
- Delete references to area committees in the Code of Conduct for Members and Co-opted Members
- Delete the reference to Chair of Area Assembly in the Members’ Allowances Scheme
- Remove references to area assemblies from the Scheme of Delegation for Members and Officers

### **List of Appendices Included**

Appendix 1 – Article 12

Appendix 2 and 2a - An example of a Manchester Council Ward Plan and Action Plan

Appendix 3 - the relevant section of Article 12 is produced in full

### **Background Papers**

RMBC Corporate ‘Fresh Start’ Improvement Plan, 26<sup>th</sup> May 2015

(RMBC Cabinet Report), 23<sup>rd</sup> June 2016

Cabinet Report, 10th October, 2016 Review of Neighbourhood Working

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

Overview and Scrutiny Management Board – 31 March 2017

Council – 19 May 2017

### **Council Approval Required**

Yes

### **Exempt from the Press and Public**

No

## **Review of Neighbourhood Working**

### **1. Recommendations**

- 1.1 That the recommendations for a new model of Neighbourhood Working be approved.
- 1.2 That the removal of the current Area Assembly governance framework be agreed.
- 1.3 That the dissolution of the Area Assembly coordinating Groups be agreed.
- 1.4 That approval be given to the approach for each ward to be able to locally agree how to conduct citizen engagement in a flexible and innovative manner. Wards can still choose to hold meetings e.g. in response to specific issues and can tailor the approach to best engage their citizens.
- 1.5 That flexible clustering to allow wards to work together based on geography and common interest, where needed, be approved.
- 1.6 That a quarterly update from each ward be submitted to the portfolio Cabinet Member for Neighbourhood Working and Cultural Services to provide oversight across the Borough.
- 1.7 That a requirement be introduced for ward plans to be produced and to publish outlining ward priorities and activities aligned to the Corporate Plan.
- 1.8 That a requirement be introduced for place profiles to be developed for each of the 21 wards detailing the demographics and community assets of the area; to be piloted in 4 wards.
- 1.9 That the Community Leadership Fund of £1,000 per elected member be continued, but be spent in line with ward plan priorities.
- 1.10 That the £30,000 currently allocated for Area Assembly Chairs from the Community Engagement budget in 2017/18 be distributed evenly to all 21 wards, which will equate to £1,428 per ward and that this budget be reviewed as part of the overall corporate budget setting process for 2018/19.
- 1.11 That Council be recommended to add £210k to the Capital Programme in 2017/18, to be funded from capital receipts, and that this budget be reviewed as part of the overall corporate budget setting process for 2018/19.
- 1.12 That £10,000 capital investment funding be allocated to each ward from the £210k total allocation and that utilisation of this be determined by ward priorities.
- 1.13 That decision making be delegated to wards with spend approved by the Assistant Director of Housing and Neighbourhood Services.
- 1.14 That officers be required to explore the potential to provide support to members to secure additional funding both internally and externally.

- 1.15 That an Annual Report on Neighbourhood Working be submitted to both the Improving Places Select Commission (IPSC) and Council.
- 1.16 That approval be given to a 12 month transitional plan to phase-in the new neighbourhood approach.
- 1.17 That the review of staffing structure supporting neighbourhood working be noted and decisions arising from the review be taken under existing delegated powers.
- 1.18 That the Council be recommended to amend the Constitution to:
- Remove the reference to area assemblies in the heading of Part III of the Constitution and delete Article 12 of the Constitution [Area assemblies and area assembly co-ordinating groups]
  - Remove references to Area Assemblies and Area Assembly Co-ordinating Groups from the Executive Procedure Rules
  - Delete Rule 16(6),(7) and (8) [Conflicts of interest – membership of area assembly co-ordinating groups and overview and scrutiny committee] and references to “Chairs of Area Assemblies” and all other references to “area assemblies” in the Overview and Scrutiny Procedure Rules
  - Delete references to area committees in the Access to Information Procedure Rules
  - Delete references to area committees and area assembly coordinating groups in the Standing Orders.
  - Delete references to area committees in the Code of Conduct for Members and Co-opted Members
  - Delete the reference to Chair of Area Assembly in the Members’ Allowances Scheme
  - Remove references to area assemblies from the Scheme of Delegation for Members and Officers

## **2. Background**

- 2.1 Rotherham Council’s Corporate Improvement Plan, “A Fresh Start”, includes a key theme, “strong, high impact partnerships”. The theme’s objective is to deliver “enhanced neighbourhood working to engage with communities on:
- Policy development and service change.
  - Community Safety.
  - Community Cohesion”
- 2.2 The action to address this objective is the *“Introduction of a new model of citizen engagement and neighbourhood working linked to a review of Area Assemblies”*.
- 2.3 To deliver this action, an Elected Member Working Group was established, chaired by Councillor Yasseen, Cabinet Member for Neighbourhood Working and Cultural Services, comprising:-

- Area Assembly Chairs/Vice Chairs.
- A member of the Opposition Group.
- Support by the Chief Executive and Senior Officers.

2.4 The Cabinet Member and officers attended a national conference which examined the “State of neighbourhood and locality working”, and undertook desktop research and visited 4 other local authorities operating different neighbourhood models.

2.5 The local authority visits were to:-

- Trafford MBC (Wednesday 15<sup>th</sup> June 2016).
- Barnsley MBC (Tuesday 21<sup>st</sup> June 2016).
- Derby CC (Wednesday 29<sup>th</sup> June 2016).
- Doncaster MBC (Friday 15<sup>th</sup> June 2016).

2.6 There have been 7 meetings of the Elected Member Working Group:

- Tuesday 21<sup>st</sup> June 2016
- Wednesday 24<sup>th</sup> June 2016
- Monday 11<sup>th</sup> July 2016
- Tuesday 26<sup>th</sup> July 2016
- Monday 5<sup>th</sup> September 2016
- Wednesday 16<sup>th</sup> November 2016
- Monday 27<sup>th</sup> February 2017

### **3. Key Issues**

3.1 The review sought to address a number of key issues originally raised by former Commissioner Manzie in the RMBC Corporate “Fresh Start” Improvement Plan (26<sup>th</sup> May 2015). These were to:

- Determine why working at a neighbourhood level is important
- Describe the outcomes of improved neighbourhood working
- Highlight the added value of a neighbourhood approach to locality Working

3.2 The expected outcomes of the review of neighbourhood working are to:

- Improve local democratic engagement and community leadership by describing the way in which Councillors, officers and partners will interact with the local community.
- Identify the support that could be expected by Elected Members from the Council and its key partners.
- Clarify the role of the Council and partners in addressing neighbourhood based issues.
- Determine how other services run by the Council and its partners can be tailored to and benefit from neighbourhood approaches.
- Highlight the role of the community, voluntary and faith sectors in supporting local based organisations to deliver services in neighbourhoods.

#### 4. Options considered and recommended proposal

- 4.1 Outlined below is a new model of Citizen Engagement and Neighbourhood Working, the current operational model and further details on a potential new model of neighbourhood working which it is intended will start in Summer 2017.
- 4.2 Currently the Council operates a model of citizen engagement through 7 Area Assemblies which were introduced in 2000. The Council implemented a structure where no executive or non-executive functions would be delegated to the area level. The role was simply to create a consultative process through open public meetings. The Area Assembly meetings are part of the Council Constitution. Article 12 prescribes that each Area Assembly shall hold at least 4 public meetings a year. The relevant section of Article 12 is produced in full at **Appendix 1**.
- 4.3 In 2006, the 7 Area Assembly meetings were complemented by 7 coordinating Groups comprising all ward members in the area plus partners and community representatives. The coordinating groups represented a shift from consultation to more action planning. The coordinating Groups, like the Area Assemblies, are part of the Council Constitution (the relevant section of Article 12 is produced in full at **Appendix 3**).
- 4.4 The results of the Area Assembly Chairs/Vice Chairs' survey in August 2016 and the Working Group in December 2016 revealed support for neighbourhood working but little support for the current Area Assembly meetings. Members suggested a more flexible, innovative approach with wards determining their own approach. Members were positive about what they had seen as good practice on visits to other local authorities. There was support for a focus on building on the strengths of the community as opposed to problem raising, shifting from a "You Said, We Did" approach to another based on "Local People, Local Solutions", with an emphasis on "co-production", exploring joint solutions to deliver a community assets based approach.
- 4.5 The working group revealed support for ward based working. However, the issue of ward clustering created a lot of discussion in November 2016. The new approach will continue to enable wards to work together where there is the opportunity for more natural clustering by geography or common interest.

For example:

- In 2017, members from different wards and Area Assemblies will be working together to work on other important issues e.g. HS2 and Bassingthorpe Farm, which covers Rotherham North and Wentworth South.
- All Members from the Keppel and Rotherham West wards are currently working with senior officers and the local community on an environmental issue, Watson's Tip. A public meeting was recently arranged by Councillors and officers which was attended by 180 people.

- Wickersley, Maltby and Hellaby Wards undertook a Suicide Prevention project. Various awareness raising and training sessions have taken place.
- 4.6 Removing the prescribed framework of Co-ordinating Groups and Area Assembly meetings will free up time and resource to support Members in their community leadership role to build community and citizen's capacity, an aspiration of the Corporate Improvement Plan.
- 4.7 The new way of working, whilst delivering the universal offer, will also take into account local priorities, which may include specific issues, for example, areas of deprivation, which will then influence a wider Council and partnership response.
- 4.8 Each ward would benefit from a named dedicated Neighbourhood Support Officer (*title of post may change*) who will link into the wider Council and partners as a connector to other front line services in the locality, to provide the right response at the right time with the right people.

This way of working is flexible and will evolve over time as knowledge, understanding and confidence of the approaches that will work best in each ward grows.

- 4.9 Recent examples of good practice will continue and be built upon in the new model include:
- Helping the Friends of Greasbrough Park to secure £41k funding which enabled them to renew the children's play area.
  - Supporting Clifton Learning Partnership to obtain Eastwood Village Community Centre on a long-term lease from the Council. They are now developing activities for children, families and the broader community (including CSE awareness) through Community Development and Family Support Workers recruited and trained from the local (Roma) community.
  - Supporting Thurcroft "Big Local" to make the most of the opportunities of their £1m Lottery Funding.
  - Working in partnership with the Asset Management Team to support the Wath Town Hall Group in their bid to obtain an asset transfer for the now disused Wath Town Hall.
  - Partnership work with local communities, businesses and the Council to deliver the "Wellgate Together Plan" which supports activities to develop a safer, cleaner and greener Wellgate.

**The Working Group Recommends that:**

- Area Assemblies will cease in their current governance framework.
- Area Assembly coordinating Groups are disbanded.
- Wards will determine how to conduct citizen engagement and can be flexible and innovative in their approach. Wards can still choose to hold meetings e.g. in response to specific issues and can tailor the approach to best engage their citizens.

- Wards are encouraged to work together based on geography and common interest without any prescribed ward clustering, for example, the 3 wards within the current area assembly framework could still choose to meet.

#### **Ward Based Place Plans**

- 4.10 The desktop research and visits to other local authorities showed that the Electoral Ward is an important building block with regards to neighbourhood working and relationships with communities.
- 4.11 The findings from areas such as Barnsley, Sheffield, Kirklees and Manchester showed how ward based working can sit within a broader organisational and planning framework. In Manchester, annual Ward Plans support wider delivery by documenting the issues affecting the ward and the detailed actions required to address them. The Plans are developed by Ward Co-ordinators in partnership with members and partners. Progress is reviewed at quarterly meetings. The Plans feed into three larger Place Plans covering the North, South and Central areas of the city (an example of a Manchester Council Ward Plan and Action Plan is attached at **Appendix 2 & 2a**).
- 4.12 At the Elected Member Working Group on 16th November 2016, officers presented a proposal to introduce ward based plans in Rotherham with links to the Council's Corporate Plan and the Rotherham Together Partnership (RTP) priorities, in particular
- The Corporate Plan priority relating to strong communities in a clean, safe environment and
  - The RTP's priorities relating to Bringing People Together (Let's get Rotherham Talking) and Welcoming Places (Let's get Rotherham Cleaning) plus
  - A further priority is being considered around Building Stronger Communities as part of the forthcoming Rotherham Plan
  - The current focus on locality working will also support and identify Members as key community leaders which will strengthen the delivery of the local offer to communities

#### **The Working Group Recommends that:**

- A quarterly update be submitted to the portfolio Cabinet Member for Neighbourhood Working and Cultural Services to provide oversight across the borough.
- Each of the 21 wards will be required to produce and publish a Ward Plan with agreed ward priorities and activities aligned to the Corporate Plan.
- Place profiles will be developed for each of the 21 wards providing demographics and the community assets of the area. However, initially, this new way of working will be piloted in 4 wards.

#### **The Ward Plans will:**

- Be informed by the place profile (local consultation and data)

- Influence the way other geographical funding streams are deployed e.g. Area Housing Panel funds
- Be informed via engagement with the local community e.g. Street surgeries, litter picks
- Be overseen by the Ward Councillors and Council Officers

An aggregated summary of the Ward Plans with narrative will be submitted to Improving Places Select Commission and Full Council as an Annual Report.

### **Devolved Budgets**

- 4.13 There have been a number of questions in relation to devolved budgets. As well as whether to have a devolved budget, there were questions in relation to the source, the amount and allocation.
- 4.14 The desktop research and visits to other local authorities showed that most have retained a devolved budget to enable a shift to “Local People, Local Solutions”. Budgets are used to build capacity, change delivery and create more sustainable solutions.
- 4.15 The results of the Area Assembly Chairs / Vice Chairs survey in August 2016 revealed significant support for a flexible devolved budget, enabling Councillors to focus on issues in their ward, but without being tied into Council services.
- 4.16 In the current 2016/17 financial year a one off Area Assembly budget of £280k had been allocated. This comprised of £140k General Fund (Revenue) and £140k General Fund (Capital). Each Area Assembly received £40k, equivalent to every ward receiving around £13k.
- 4.17 The figures in other areas vary greatly from £2.1m in Barnsley (equivalent to every ward receiving £100k) to £80k in Trafford (equivalent to every ward receiving £4k). Manchester have recently introduced a “Neighbourhood Investment” Fund (NIF) to support their revised neighbourhood working model. Each ward receives £20k. The NIF is available to communities.
- 4.18 The desktop research and visits to other areas showed that Derby, Oxford and Great Yarmouth focus on their most deprived neighbourhoods only. Sheffield’s devolved budget is entirely based on the Indices of Multiple Deprivation (IMD).
- 4.19 We will continue to explore opportunities around a range of different resources including external funding streams as well as maximising existing community and council services. This will be developed over the transitional period.
- 4.20 At present the Area Assembly coordinating Groups determine the priorities for spending the budgets allocated to their Areas. Disbanding them would require an alternative approach.
- 4.21 In Haringey, each ward receives a £10k devolved budget and run the budget as they see fit. For example, some wards run an annual application round, some commission projects in response to local need, some run “dragons den” type events to build up community involvement and many will run a combination of these. Budgetary decisions are delegated to an Assistant Director. In Barnsley,



and other areas, all three or 2 out of the 3 Ward Councillors must agree any proposal which is then signed off by an officer.

4.22 Neighbourhood Working through Ward Plans will also influence the way mainstream funding and resources are deployed to maximise the response for local ward based issues, for example, deprivation. This will be from other Council services as well as partnerships within the ward.

**The Working Group recommends that:**

- The Community Leadership Fund will continue to be allocated to Ward Members in line with their Ward Plans of £1k per member, which equates to £3k per ward and £63k in total.
- The £30K currently allocated for Area Assembly Chairs from the Community Engagement budget will be apportioned to Wards, this will equate to £1,428 per ward. This budget is set for 2017/18, but will be reviewed as part of the overall corporate budget setting process for 2018/19 with consideration of the South Yorkshire Average allowance.
- There will be a £10k capital investment in each ward, totaling £210k which would give total funding of £1,428 for each ward.
- Decision making is delegated to wards and will be validated by an Assistant Director to ensure due diligence to support Members in their role.
- Subject to approval of a Neighbourhood Working Devolved Budget 2017/18, a process will be established for Members to allocate funding, in line with agreed policies and procedures, accounting regulations and the principles of transparency and good governance.
- Officers will continue to identify any other sources of funding to assist implementing Ward Plans and this would be subject to a further proposal outlining options available.
- The overall budget for Neighbourhood Working is not anticipated to be reduced, but the revenue/capital split will be considered as part of the budget setting process for future years.
- Officers will explore the potential to provide support to members to secure additional funds, both internally and externally.

**Dedicated Ward Based Neighbourhood Support Officer**

- The current staffing structure within Neighbourhood Partnerships and Engagement Service (22 FTE posts, of which 4 are vacant) has been built around the Area Assembly model of working. Arrangements will be put in place to ensure staff are allocated to specific Wards, allowing 2.5 days per week of dedicated officer time to be given to each Ward. This will be to support Ward Members in their community leadership role and act as connector and enabler, under the new operating model.
- However, the model will be sufficiently flexible to allow movement of staff between wards to meet changing ward needs/demand e.g. where a ward has not used their full officer time allocation. This will be a transitional arrangement until a comprehensive review of the staffing

structure can be carried out. The terms of reference for the review will be to ensure 'form follows function' i.e. under the new neighbourhood working arrangements we have the right people in the right place to deliver the new operating model.

- The Council's work alongside Parish Councils will be strengthened under a Ward based approach to ensure citizens are confident we are working together putting people and places first. There are significant opportunities to be realised by working together on shared priorities and in not duplicating effort e.g. community buildings and land assets for new development.

4.23 The recommendations in this report create a number of expectations linked to accountability and governance:

- Every ward to produce and publish a Place Plan based on local consultation and data tracking. The Place Plan will be delivered through a minimum of at least 2 officer and member meetings per year and by making the Place Plan available on the Council website.
- A quarterly update will be submitted to the portfolio Cabinet Member for Neighbourhood Working and Cultural Services to provide oversight across the Borough.
- Every ward will have a devolved budget to support their Ward Plan delivery.
- The Cabinet Portfolio Holder for Neighbourhoods will lead and have oversight and accountability for the governance of this model.

4.24 In addition, the governance review recommended that an Annual Report in respect of Neighbourhood Working be submitted to full Council outlining what is working effectively and what is not, so that successes and lessons can be learned. The first Annual Report will be a review of the new operating model. The Annual Review will also look at the annual resource allocation and aid the case for future investment.

**The Working Group recommends that:**

- An annual report on neighbourhood working be submitted to both the Improving Places Select Commission (IPSC) and full Council.

## **5. Consultation**

5.1 Detailed consultation has taken place with Area Assembly Chairs and Vice Chairs. Community consultation will be incorporated into the ward plans during the transitional period.

## 6. Timetable and Accountability for Implementing this Decision

6.1 The proposed implementation timetable is as follows:

27 February 2017	Recommendations signed off by Elected Member Working Group
31 March 2017	OSMB Pre-Decision Scrutiny
10 April 2017	Cabinet and Commissioners' Decision Making Meeting
19 May 2017	Council

6.2 Subject to approval by Cabinet it is proposed that **transitional arrangements** be agreed for the new Neighbourhood Working model to allow a flexible and organic move towards ward based working over a 12 month period.

Areas of focus for the transitional period will be:

- Detailed statutory consultation will take place with staff on the proposed new way of working in Neighbourhoods resulting in a staffing restructure and implementation of the new model of working in September 2017.
- Agree and deliver community consultation to inform and develop the new neighbourhood approach.
- The governance arrangements for managing Neighbourhood Working budgets be clarified with Legal and Democratic Services and any associated model paperwork agreed with Legal, Finance and Audit.
- Wards plans be produced for each of the 21 wards.
- 4 Pilot Place Profiles will be produced for Wingfield, Boston Castle, Brinsworth and Catcliffe, and Rother Vale wards so that learning and evaluation can be built into the final model template for Place Plans.
- Provide links to partners e.g. police and other bodies e.g. Area Housing Panel, Case Identification Meetings.
- Parish and Town Councils to consider Place Plans where appropriate.

## 7. Financial and Procurement Implications

7.1 In 2016/17, the Council decided to allocate the Area Assemblies a one-off Devolved Budget of £280k. This was made up of £140k revenue and £140k capital, therefore, an allocation of £20k revenue and £20k capital to each Area Assembly.

7.2 In 2017/18, the revenue budget available is £30k Special Responsibility Allowance for Area Assembly Chairs from the Community Engagement Budget and £63k Community Leadership Fund. In addition, it is proposed that £10k capital investment be made in each ward for 2017/18, to be determined by ward priorities, totaling £210k, and that this be added to the approved Capital Programme. This funding is to be utilised from available capital receipts not already allocated. The apportionment is outlined in recommendations 1.1.10 and 1.1.12 of this report.

7.3 Future years' budgets will be considered as part of the 2018/19 budget setting process.

## **8. Legal Implications**

8.1 The recommendations in this report would require amendments to the Council's Constitution in order to remove references to Areas Assemblies, Area Assembly Co-ordinating Groups and Chairs of Area Assemblies from the Constitution. Amendments to the Constitution are a matter for the Council and the necessary recommendation to Council forms part of the recommendations of this report.

## **9. Human Resources Implications**

9.1 In terms of the original scope of this work, the third element referred to a fundamental review of the structure, role, skills mix and funding of the Neighbourhood Partnerships and Engagement Service. Currently each of the 7 Area Assemblies has a small team aligned to support the function. This breaks down to approximately 1 Neighbourhood Development Officer and one Neighbourhood Support officer per Area Assembly. The review will be undertaken in line with appropriate HR processes.

9.2 Members have requested that a named "Lead Officer" be appointed to support every ward 2.5 days per week. It is proposed that as part of the review outlined above all Elected Members will have a named single point of contact drawn from the Neighbourhood Partnerships service to support them in their community leadership role, and act as a connector, enabler and a link to other Council services.

9.3 It is recognised that the transition to a new model of working and structure will take time and therefore, an interim offer will be delivered through the current staffing structure until a full review of services can be undertaken.

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

10.1 The Elected Member Working Group received presentations on the locality plans and geographical service footprint from both Adult Care and Children and Young Peoples' directorates. The proposed Vision Statement and Principles support the Council's Corporate Plan priorities "Every child making the best start in life" and "Every adult secure, responsible and empowered".

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

- 11.1 The proposals to enhance and support neighbourhood working should improve the Council's ability to respond to the specific needs of Rotherham's increasingly diverse communities. The needs and requirements of the citizens, businesses and communities in each ward are different and the new approach allows the flexibility to respond to these needs by making the ward the building block for community engagement. Additionally the production of Place Plans will enable a targeted response to community concerns and priorities. An Equality Assessment will be completed in line with the Council's Equality & Diversity Strategy.

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

- 12.1 This review is part of a much wider strategic review of how the whole Council engages with its citizens and customers in localities, including a review of the Council's Estate.
- 12.2 In terms of the original scope of this work, the second element referred to developing a multi-agency approach to neighbourhood working.
- 12.3 Following a recent meeting of the RTP's Chief Executive Officers' Group (CEOG), work has begun to develop a locality working model based on a number of principles to be agreed by partner agencies. Workshops were held in February and March to explore, amongst other things, approaches to integrated place-based working with the objective of approving a model way of working by the end of March 2017.
- 12.4 Manchester is an example where ward based working supports wider delivery. Ward Plans feed into 3 larger multi-agency Place Plans covering the North, South and Central areas of the city.

## **13. Risks and Mitigation**

- 13.1 At present the Neighbourhood Partnerships and Engagement Service sits in the Adult Care and Housing Directorate. The service is funded 60%/40% Housing Revenue Account / General Fund respectively which is reflected in the Service Plan.
- 13.2 The Service Plan focusses on 4 areas:
1. improving tenant and resident engagement as part of the "Local Offer" to those living in Council accommodation
  2. leading on community development
  3. supporting the "crime and grime"/public realm agenda and
  4. leading on neighbourhood working arrangements.

- 13.3 Resourcing multi-agency locality working – in particular (2), (3) and (4) above - would be at risk if the Housing Revenue Account contribution to area based services was reduced but not replaced by other funding.

**14. Accountable Officer(s)**

Anne Marie Lubanski, Strategic Director of Adult Care & Housing

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 relevant

Head of HR: Odette Stringwell

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