



CABINET AND COMMISSIONERS' DECISION MAKING MEETING

Monday, 17 September 2018

10.00 a.m.

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

Cabinet Members:-

Leader of the Council
Deputy Leader of the Council,
Children's Services and Neighbourhood Working Portfolio
Adult Social Care and Health Portfolio
Cleaner, Greener Communities
Corporate Services and Finance Portfolio
Housing Portfolio
Jobs and the Local Economy Portfolio
Waste, Roads and Community Safety Portfolio

Councillor Chris Read
Councillor Gordon Watson

Councillor David Roche
Councillor Sarah Allen
Councillor Saghir Alam
Councillor Dominic Beck
Councillor Denise Lelliott
Councillor Emma Hoddinott

Commissioners:-

Lead Commissioner Mary Ney
Commissioner Patricia Bradwell
Commissioner Julie Kenny

CABINET AND COMMISSIONERS' DECISION MAKING MEETING

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

Date: Monday, 17th September, 2018

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 in respect of matters within the Council's area of responsibility or influence.

Subject to the Chair's discretion, members of the public may ask one question and one supplementary question, which should relate to the original question and answered received.

Councillors may also ask questions under this agenda item.

4. Minutes of the previous meeting held on 6 August 2018 (Pages 1 - 8)

To receive the record of proceedings of the Cabinet and Commissioners' Decision Making Meeting held on 6 August 2018

5. Exclusion of the Press and Public

Agenda Items 11 and 12 have exempt appendices. Therefore, if necessary when considering those items, 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 items of business on the grounds that they involve 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.

DECISIONS FOR CABINET

6. July 2018/19 Financial Monitoring Report (Pages 9 - 26)

Report of the Strategic Director of Finance and Customer Services

Cabinet Member: Councillor Alam

Commissioner: Ney (in advisory role)

Recommendations:-

1. That Cabinet note the forecast General Fund balanced budget position after use of the budget contingency.
2. That Cabinet note that management actions continue to address areas of overspend, provide enhanced controls over all spend and to identify alternative and additional savings.
3. That Cabinet approve the alternative budget savings proposals for Regeneration and Environment, and Finance and Customer Services as referenced in paragraph 3.4.3 and 3.6.7.
4. That Cabinet note the updated Capital Programme.

7. Council Plan Quarter 1 Performance Report (Pages 27 - 89)

Report of the Assistant Chief Executive

Cabinet Member: Councillor Alam

Commissioner: Ney (in advisory role)

Recommendations:-

1. That the overall position and direction of travel in relation to performance be noted.
2. That consideration be given to measures which have not progressed in accordance with the target set and the actions required to improve performance, including future performance clinics.
3. That the performance reporting timetable for 2018/19 be noted.

8. Response to Overview and Scrutiny Recommendations - Use of Interims, Agency and Consultancy Staff (Pages 91 - 101)

Report of the Assistant Chief Executive

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

Recommendations:-

1. That the Cabinet's response to the scrutiny review on the Use of Agency, Interim and Consultancy Staff be approved.
2. That the Cabinet's response be referred to the next meeting of the Overview and Scrutiny Management Board on 17 October 2018.

9. Archives Accreditation – Policy Approval (Pages 103 - 219)

Report of the Strategic Director of Regeneration and Environment

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

Recommendations:-

1. That the Heritage Service's Forward Plan (2018-2022) and key policy documents to support the Council's application for Archives Accreditation be approved.

10. New Application(s) for Business Rates Discretionary Relief (Pages 221 - 227)

Report of the Strategic Director of Finance and Customer Services

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

Recommendations:-

1. That 20% top up relief is awarded to Barnsley Sexual Abuse and Rape Crisis Services, The Spectrum, Coke Hill, Rotherham, S60 2HX for the period 1 April 2018 to 31 March 2019.
2. That 20% top up relief is refused for Sheffield YWCA, 89 Laughton Road, Dinnington, Sheffield, S25 2PN for the period 26 March 2018 to 31 March 2019.

**11. Disposal of Land at William Street/ Whitelee Road, Swinton
(Pages 229 - 238)**

Report of the Strategic Director of Regeneration and Environment

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

Recommendations:-

1. That approval be given to the disposal of land as shown edged and hatched in red at Appendices 1 and 2 as detailed within Option 1 of this report.
2. That the Assistant Director of Planning, Regeneration and Transport be authorised to negotiate and agree the terms and conditions of the proposed disposal, with the Assistant Director of Legal Services negotiating and completing the necessary legal documentation.

12. Wath District Office, Church Street, Wath (Pages 239 - 250)

Report of the Strategic Director of Regeneration and Environment
(Appendix 3 of this report is exempt.)

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

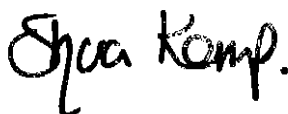
Recommendations:-

1. That Cabinet approve the disposal of Wath District Office as shown edged in red at Appendix 1, as detailed within Option 1 of this report (should the disposal not complete within the six-month statutory moratorium period then it is recommended that Option 2 is pursued instead).
2. That the Assistant Director of Planning, Regeneration and Transport be authorised to negotiate and agree the terms and conditions of the proposed disposal in consultation with the Cabinet Member for Jobs and the Local Economy, with the Assistant Director of Legal Services negotiating and completing the necessary legal documentation.

13. Recommendations from Overview and Scrutiny Management Board

To receive a report detailing the recommendations of the Overview and Scrutiny Management Board in respect of the following items that were subject to pre-decision scrutiny on 12 September 2018:

- Archives Accreditation – Policy Approval



SHARON KEMP,
Chief Executive.

This page is intentionally left blank

**CABINET/COMMISSIONERS'
DECISION MAKING MEETING
Monday, 6th August, 2018**

Present:- Councillor Read (in the Chair); Commissioner Kenny, Councillors Alam, Allen, Beck, Hoddinott, Lelliott, Roche and Watson.

Also in attendance Councillor Steele, Chair of the Overview and Scrutiny Management Board.

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

The webcast of Cabinet and Commissioners' Decision Making Meetings can be viewed at:-

<https://rotherham.public-i.tv/core/portal/webcasts/enctag/Executive%252BArea>

16. DECLARATIONS OF INTEREST

Councillor Beck declared a personal interest in agenda item 8 – Future Designation of Selective Licensing Areas – on the basis that he was a landlord of property in another area of the borough which was not within the Select Licensing Scheme.

17. QUESTIONS FROM MEMBERS OF THE PUBLIC

There were no questions from members of the public or press.

18. MINUTES OF THE PREVIOUS MEETING HELD ON 9 JULY 2018

Resolved:-

That the minutes of the meeting held on 9 July 2018 be agreed as a true and correct record of the proceedings.

19. DEVELOPING AN EVIDENCE-BASED PROGRAMME TO REUNIFY YOUNG PEOPLE WHO ARE LOOKED AFTER

Consideration was given to a report submitted by the Acting Strategic Director of Children and Young People's Services which proposed the implementation of a Multi System Therapy – Family Integrated Transitions (MST-FIT) service model to address sufficiency for looked after children.

It was reported that MST-FIT made a positive case for a model of intervention where young people could learn to behave differently whilst their families learn and are supported to resume leading their case, with the service enabling residential care to be used as an intermediate step on the journey to parents fully caring for their children.

It was noted that the Life Chances Fund provided local authorities with support to explore opportunities provided by social impact bonds and outcome based commissioning. It was further reported that the Council had been awarded a grant in principle of £85k for a five year period, subject to a final project submission on 31 July 2018.

The project would close the gap in provision for existing children in care by providing a focused treatment programme with the aim of placing children back in a family environment. It was anticipated to complement the work of the Right Child Right Care Board and the suite of services which formed part of the Rotherham Edge of Care offer. Members noted that the total estimated cost of the MST-FIT service was £1.120m per annum, of which £570k was for residential provision in stage 1, which would be funded from the existing out of authority residential placement budget. The balance of £550k for the MST community team and programme management would be funded from gross savings achieved in-year. The exact amount that the Council would need to fund would depend on the financing option selected.

It was reported that the final project proposal to the Big Lottery Fund, who administer the Life Chances Fund Grant, was submitted on 15 June 2018 and a decision regarding the award would be made in early August. It was expected that the service would commence in January 2019.

It was noted that the Overview and Scrutiny Management Board had reviewed the proposals at its meeting on 6 August 2018 and had taken the view that the recommended approach should be supported. Furthermore, Overview and Scrutiny Management Board had indicated a preference for Option 2 in the report (Delivery via an outcome based contract in partnership with a social investor and with funding support from the Life Chances Fund), although noted that the final decision on the finance method would be delegated to the Strategic Director of Finance and Customer Services.

Commissioner Kenny agreed:-

1. That the implementation of the Multi Systemic Therapy – Family Integrated Transitions model, as part of the Looked After Children Sufficiency Strategy to reduce the number and cost of children in care be approved.
2. That approval be given to progress with plans to set up the Multi Systemic Therapy – Family Integrated Transitions service.
3. That authority for determining the most appropriate method of financing be delegated to the Strategic Director of Finance and Customer Services following confirmation of the grant award from the Life Chance Fund and a further report to Cabinet.

20. ADVERTISING AND SPONSORSHIP POLICY

Consideration was given to a report submitted by the Assistant Chief Executive which sought the adoption and approval of an Advertising and Sponsorship Policy.

It was reported that there was a need for the Council to adopt a policy to clearly set out what was acceptable in terms of advertising and sponsorship content or material and ensure that there was no conflict with the authority's priorities, values or services.

It was further reported that the adoption of a policy would:-

- Ensure the Council maximised opportunities and income and secured best value for money
- Establish a unified and corporate approach (including best practice) to advertising and sponsorship across the Council
- Ensure compliance with legislation, advertising industry codes and other relevant Council policies
- Support the development of commercial partnerships with the private sector
- Safeguard the image and environment of the borough
- Support the Council's reputation and corporate identity
- Protect Members and officers from allegations of inappropriate dealings or relationships with advertisers or sponsors.

Resolved:-

That the Advertising and Sponsorship Policy be approved.

21. PROPOSED REVISIONS TO THE LOCAL AUTHORITY FIXED PENALTY NOTICES (FPN) CODE OF CONDUCT – SCHOOL ATTENDANCE

Consideration was given to a report submitted by the Acting Strategic Director of Children and Young People's Services which proposed revisions to the Local Authority Fixed Penalty Notices Code of Conduct in respect of school attendance.

It was reported that the current Code of Conduct was published in 2013 and had been reviewed on a regular basis. Feedback from school and academy leaders in 2017, and an examination of regional practice, had promoted a review of the Code of Conduct. The key changes proposed included:-

- The use of a single aspirational attendance target for both primary and secondary age pupils to avoid confusion with parents and carers who may have children at both primary and secondary schools

- The time period considered in calculating the average attendance of a child should be amended to include the previous 12 months attendance including the holiday period
- The issuing of a penalty notice when no permission had been sought for a leave of absence where attendance had dropped below the national average target.

It was further reported that the service had sought views and engaged with key stakeholders in a period of consultation that ran from January to April 2018 and had included school and academy leaders, school and academy governing bodies and South Yorkshire Police.

Resolved:-

1. That the revised Fixed Penalty Notices (FPN) Code of Conduct be approved.
2. That the following changes be approved:-
 - Use of single aspirational attendance target for both primary and secondary age pupils (the current proposed is 95.3%, which is combined national primary and secondary school average) to avoid confusion with parents and carers who may have children at both primary and secondary schools.
 - Amend the time period considered in calculating the average attendance of a child to include the previous 12 months and the holiday period
 - Allow a penalty notice to be issued when no parental permission has been sought for a leave of absence and attendance has dropped below the national average target.
3. That the Fixed Penalty Notices (FPN) Code of Conduct be implemented at the start of the new academic school year in September 2018.

22. FUTURE DESIGNATION OF SELECTIVE LICENSING AREAS

Consideration was given to a report submitted by the Strategic Director of Regeneration and Environment which sought approval to consult on the proposed designation of parts of Thurcroft and Parkgate for Selective Licensing of private rented housing.

It was reported that Selective Licensing was the licensing of privately rented housing in a specific area with the aim of improving management standards. Where the Council designates an area, landlords must obtain a licence and comply with conditions, or face legal action including prosecution and financial penalties. Members noted that Selective Licensing was an important tool for the Council and partners, to drive improvements not only in the safety of homes, but to contributory issues related to deprivation.

The data in the report identified areas of Rotherham in Thurgroft and Parkgate, which met the criteria, were within the 20% most deprived areas of England, and additionally had high levels of private rented housing. The report recommended consultation on proposals to designate parts of Thurgroft and Parkgate as Selective Licensing areas, which would help combat problems associated with housing and housing conditions within areas of deprivation, and deliver improved health and social wellbeing outcomes for those communities.

Consideration was given to the recommendations of the Overview and Scrutiny Management Board, which had reviewed the proposals at its meeting on 6 August 2018 and resolved that the Cabinet be advised that the recommendations be supported.

Resolved:-

1. That public consultation be undertaken on the proposed designation of parts of Thurgroft and Parkgate for Selective Licensing of private rented housing.
2. That a further report be submitted in December 2018 on the outcome of the public consultation to consider designating Selective Licensing areas.

23. CCTV PRIORITY CAPITAL INVESTMENT AND POLICY

Consideration was given to a report submitted by the Strategic Director of Regeneration and Environment which sought to allocate £60,000 of capital funding to purchase mobile CCTV cameras and to approve amendments to the CCTV Policy and associated processes.

It was reported that the Budget and Council Tax 2018-19 report to Cabinet and Commissioners' Decision Making Meeting on 19 February 2018 approved the Council's Capital Strategy to 2021/22. As part of this, £60,000 of Priority Capital Investment monies were identified for mobile CCTV cameras. Members noted that the utilisation of technology to enhance the Council's drive to tackle anti-social behaviour was critical to improving the outcomes delivered by the Council and partners alike to deter and punish offenders whilst improving the quality of life of residents.

It was reported that it was apparent that the Council, partners and residents would benefit from increased provision of CCTV technology to provide suitable capacity, capability and flexibility, and to support ward priorities, Community Action Partnerships and Tasking meetings. Current revenue budgets were not in a position to fund increased provision, and capital funding would therefore be required to deliver enhanced capacity - the equivalent of one camera for each ward - to deliver the desired outcomes. It was estimated that the cost of each individual CCTV system would be in the region of £3,000, equating to a total cost of £63,000 for the 21 cameras sought. It was confirmed that any potential costs beyond the £60,000 allocation would be dealt with through existing budgets.

It was noted that the cameras would be deployed in accordance with the Council's revised CCTV Policy, which had been reviewed and updated as part of the project, to ensure that the future use of CCTV was fully compliant with the General Data Protection Regulations (GDPR).

The proposals had been reviewed by the Overview and Scrutiny Management Board at its meeting on 1 August 2018 where the following recommendations were made to Cabinet:-

- That Cabinet be advised that the recommendations be supported.
- That all Members be notified of the arrangements and process for re-locating cameras in their wards.
- That arrangements be made to notify residents of deployment and use of mobile cameras.
- That a report reviewing the use of the cameras be submitted to Improving Places Select Commission six months after implementation.

The Cabinet accepted the recommendations of the Overview and Scrutiny Management Board and

Resolved:-

1. That the allocation of £60,000 of funding within the approved Capital Programme for mobile CCTV cameras be noted.
2. That the reviewed CCTV Policy and improved processes be approved.
3. That all Members be notified of the arrangements and process for re-locating cameras in their wards.
4. That arrangements be made to notify residents of deployment and use of mobile cameras.

5. That a report reviewing the use of the cameras be submitted to Improving Places Select Commission six months after implementation.

24. REMOVAL OF THE PUBLIC PHONE BOX AT THE JUNCTION OF CHADWICK DRIVE AND BRAITHWELL ROAD, MALTBY

Consideration was given to a report submitted by the Strategic Director of Regeneration and Environment which sought endorsement of a decision taken in respect of consultation to remove a public phone box at the junction of Chadwick Drive and Braithwell Road, Maltby.

It was reported that BT had notified the Council of the proposed closure and removal of a phone box at Maltby. Under Ofcom guidance the Council was required to undertake a two stage public consultation on the proposal. After considering any consultation responses the Council must then make a final decision as to whether it agrees or objects to removal of the phone box. The final decision must be made within 90 days of the Council being notified of the proposal by BT.

It was further reported that it had not been possible within the 90 day timeframe for the Council's final decision to be made by Cabinet; thus the final decision to agree to the closure and removal of the phone box had been made exercising delegated authority, in consultation with the Cabinet Member for Jobs and the Local Economy. The decision took into account an assessment of the phone box against a number of criteria and that no consultation responses were received objecting to its removal.

Resolved:-

That the final decision agreeing to the proposal to permanently remove the public phone box at the junction of Chadwick Drive and Braithwell Road, Maltby, Rotherham, be endorsed.

25. RESPONSE TO OVERVIEW AND SCRUTINY RECOMMENDATIONS – DRUG AND ALCOHOL TREATMENT SERVICES

Consideration was given a report submitted by the Strategic Director of Adult Care, Housing and Public Health which sought approval to respond to the recommendations of the Health Select Commission in its review of Drug and Alcohol Treatment Services.

It was reported that, following discussions between Members, officers and health partners about current substance misuse service provision, and with a new contract commencing in April 2018, the Health Select Commission (HSC) decided to undertake a short review (Spotlight Review). The purpose of the review was to ensure that the drug and alcohol service, operating within a reduced budget, would provide a quality, safe service under the new contract.

The review was undertaken in the autumn of 2017, and a final report was submitted to Council on 23rd May 2018. Under the Overview and Scrutiny Procedure rules, the Cabinet is required to respond to any recommendations made by scrutiny and the report was submitted to meet that requirement.

Resolved:-

That the response to the recommendations of the Scrutiny Review of Drug and Alcohol Treatment and Recovery Services be approved.

26. RECOMMENDATIONS FROM OVERVIEW AND SCRUTINY MANAGEMENT BOARD

Consideration was given to the circulated report, the contents of which were included as part of the relevant agenda items and details of recommendations included accordingly.

Public Report
Cabinet and Commissioners' Decision Making Meeting

Summary Sheet

Name of Committee and Date of Committee Meeting

Cabinet and Commissioners Decision Making Meeting – 17 September 2018

Report Title

July Financial Monitoring Report 2018/19

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

Yes

Strategic Director Approving Submission of the Report

Judith Badger, Strategic Director of Finance and Customer Services

Report Author(s)

Paul Stone, Head of Corporate Finance
01709 822013 or paul.stone@rotherham.gov.uk

Graham Saxton, Assistant Director – Financial Services
01709 822034 or graham.saxton@rotherham.gov.uk

Ward(s) Affected

All

Executive Summary

This report sets out the financial position as at the end of July 2018 and is based on actual costs and income for the four months April to July 2018 with forecasts for the remaining 8 months of the financial year. Financial performance is a key element within the assessment of the Council's overall performance framework, and is essential for the achievement of the objectives within the Council's Policy Agenda. For that reason, this report is part of a series of monitoring reports for the current financial year which will continue to be brought forward to Cabinet on a regular basis.

As at July 2018, the Council is expecting to deliver a balanced General Fund budget by the financial year-end, after taking account of the £10m budget contingency approved within the 2018/19 budget.

However, to achieve this position has required a number of mitigating savings actions and further spending reductions to be identified and implemented across all Council services, in order to offset the impact of a range of cost and demand pressures impacting on the Council's budgets.

The overspending against budget in Children's and Young People's Services Directorate is continuing in the current financial year as a result of demand for services outstripping budget capacity. The number of children in care continues to increase this financial year and has reached 649 at the time of writing this report. The increased number of Looked after Children also places significant pressure on Legal Services within the Finance and Customer Services Directorate. The current forecast overspend for Legal Services is £1.230m. The Finance and Customer Services Directorate overall is forecasting to outturn within budget after putting into place a range of mitigating actions to compensate for the legal service forecast overspend.

The Adult Care Services Directorate are forecasting an overall overspend of £6.221m. A combination of increased client numbers, the rising cost of care packages, and delays in delivery of savings plans have led to pressure on budgets across all client groups. A recovery plan has been developed to address previously undelivered savings and project plans are currently being finalised with the expectation that further savings will be identified from this activity.

Regeneration and Environment Directorate is forecasting a balanced budget, although it is facing challenges from a combination of declining business from the School Meals service and challenges with delivery of budget savings.

Mitigating actions to deliver a balanced budget position, after use of the budget contingency are set out in Table 1 and described in Paragraph 3.9 of the report.

Recommendations

1. That Cabinet note the forecast General Fund balanced budget position after use of the budget contingency.
2. That Cabinet note that management actions continue to address areas of overspend, provide enhanced controls over all spend and to identify alternative and additional savings.
3. That Cabinet approve the alternative budget savings proposals for Regeneration and Environment, and Finance and Customer Services as referenced in paragraph 3.4.3 and 3.6.7.
4. That Cabinet note the updated Capital Programme.

List of Appendices Included

None

Background Papers

Revenue Budget and Council Tax Setting Report for 2018/19 to Council 28th February 2018

Revenue Budget 2018/19 May Financial Monitoring Report to Cabinet and Commissioners' Decision Making Meeting 9th July 2018

Consideration by any other Council Committee, Scrutiny or Advisory Panel N/A
Overview and Scrutiny Management Board – 3 October 2018

Council Approval Required

No

Exempt from the Press and Public

No

July Financial Monitoring Report 2018/19

1. Recommendations

- 1.1 That Cabinet note the forecast General Fund balanced budget position after use of the budget contingency.
- 1.2 That Cabinet note that management actions continue to be developed to address areas of overspend, provide enhanced controls over all spend and to identify alternative and additional savings.
- 1.3 That Cabinet approve the alternative budget savings proposals for Regeneration and Environment, and Finance and Customer Services as referenced in paragraph 3.4.3 and 3.6.7.
- 1.4 That Cabinet note the updated Capital Programme.

2. Background

- 2.1 As part of its performance and control framework the Council is required to produce regular and timely reports for the Strategic Leadership Team and Cabinet to keep them informed of financial performance so that, where necessary, actions can be agreed and implemented to bring expenditure in line with the approved budget for the financial year.
- 2.2 Delivery of the Council's Revenue Budget, Medium Term Financial Strategy (MTFS) and Capital Programme within the parameters agreed by Council is essential if the Council's objectives are to be achieved. Financial performance is a key element within the assessment of the Council's overall performance framework.
- 2.3 This report is part of a series of financial monitoring reports to Cabinet for 2018/19, setting out the projected year-end revenue budget financial position in light of actual costs and income for the first four months of the financial year. This report includes with revenue forecasts, details of capital spending and the projected capital outturn position.
- 2.4 The current revenue position after four months shows a forecast balanced revenue budget after taking account of the £10m budget contingency approved within the 2018/19 budget. Work continues to identify further savings to improve this position further by the financial year end.

3. Key Issues

- 3.1 Table 1 below shows, by Directorate, the summary forecast revenue outturn position after management actions which have already been quantified and implemented.

Table 1: Forecast Revenue Outturn 2018/19 as at July 2018

Directorate / Service	Budget 2018/19	Forecast Outturn 2018/19	Forecast Variance over / under (-)
	£'000	£'000	£'000
Children & Young People's Services	57,386	70,410	+13,024
Adult Care & Housing	59,453	65,674	+6,221
Public Health	16,014	16,014	0
Regeneration & Environment Services	38,916	38,916	0
Finance & Customer Services	15,398	15,398	0
Assistant Chief Executive	6,857	6,642	-215
Central Services, Capital Financing and Treasury Management	18,051	16,251	-1,800
SUB TOTAL	212,075	229,305	17,230
Budget Contingency (£4.8m budget, £5.2m reserves)	4,800	(5,200)	-10,000
TOTAL	216,875	224,105	7,230
Additional in-year cost reduction activity :			
Recruitment controls, reduction in use of agency staff			-1,000
Various savings from reductions in general spend by all services			-1,017
Review of financing options including PFI schemes, staff severance payments			-2,300
Use of Directorate balances			-4,000
Balance representing reduced call on £5.2m reserves within contingency			1,087
= Net Balanced Budget			0
Dedicated Schools Grant			3,489
Housing Revenue Account (HRA)	82,312	82,312	0

The following section (paragraphs 3.2 to 3.7) provide further information regarding the key reasons for forecast under or overspends within Directorates, and the progress of savings delivery and how the Council plans to deliver a balanced budget by the end of the financial year.

3.2 Children & Young People's Directorate (£13.0m forecast overspend)

- 3.2.1 Children's and Young People's Services are forecast to have an overspend of £13.024m for the full financial year. This has increased from the forecast in month 3 as a result of updated analysis of the number of children in care and where they are placed, taking into account the expected movements for the year through initiatives taken in the service, such as Right Child, Right Care.
- 3.2.2 Demand on the service has remained high and has continued to rise across all key areas which include; children in need of help and protection and children requiring care. Demand seen at the front door through to children in care and in key service areas is significantly high when compared to the Council's nearest and statistical neighbours with the number of looked after children ('LAC') significantly higher than neighbours.
- 3.2.3 The increased overspend is chiefly attributable to this continuing rise in the number of children in care, which has risen to 649 a net increase of 33 since the start of this financial year. The increase in July was 21 children.
- 3.2.4 It should be noted that the position has been exacerbated by a significant amount of placements that have arisen from the complex child protection work and associated interventions with further cases related to Operation Stovewood. Further, it has to be emphasised that Rotherham is not significantly out of step with many local authorities throughout the country in experiencing a significant increase in the numbers of LAC.
- 3.2.5 A budget saving of £750k was agreed for a review of Business Support as part of the 2017/18 budget. To date £200k has been achieved from existing staff turnover leaving a balance to address (£550k). There is an ongoing review of business support across Children's Services to implement a long term and sustainable service in the future which will be completed in September (Phase 1) with Phase 2 planned for next financial year.
- 3.2.6 The number of young people requiring support from the Leaving Care service has increased significantly in the last two years, the Government's new responsibilities placed on Councils increasing the provision up to the age of 25 has also increased costs. In addition unit costs for supported accommodation have increased, all leading to a current forecast overspend of £2.1m.

- 3.2.7 The service is currently undertaking a targeted initiative - 'Right Child, Right Care' - which is profiled to result in a significant net reduction in LAC. It should be emphasised that this is not a drive to reduce the numbers of children in care in Rotherham per se but rather a process to ensure that the children in the Council's care are in the right placements for their needs. This intervention, if successful, could reduce placement spend by £7.5m full year effect. The in-year impact in 2018/19 is forecast to be significantly less – approximately £2m – and is dependent on the timing of discharges and the mix and associated unit cost of care placements, this is being monitored on a regular basis to ensure that the savings are being achieved.
- 3.2.8 There is currently a pressure within Early Help but the completion date for the review is now set as February 2019. The pressure is currently being reduced through effective vacancy management, leaving a balance of £194k reported in this monitoring round. There remains a pressure in respect of Child Arrangement Orders, predominantly due to the increase in LAC (£393k), together with a pressure with regard to transport provision which will be addressed by the corporate review of the service (£285k). There is also additional, unbudgeted grant income with regard to unaccompanied asylum seeker Children's grant (£164k).
- 3.2.9 Budget review meetings continue and have identified a number of further budget savings options and considerations for this financial year. A challenging examination of potential efficiencies is continuing to take place, recognising the need for these to be thoroughly reviewed, discussed and considered so that the Directorate can bring forward options for immediate implementation. Proposals are being actively pursued to identify savings in the current financial year, having due regard for the continued safeguarding of vulnerable children.

3.3 Dedicated Schools Grant

- 3.3.1 The Directorate is currently forecasting an over spend on its Dedicated Schools Grant (DSG) High Needs Block of £3.489m, this is an increase from the previously reported figure of £2.950m, mainly as a result of additional placement costs.
- 3.3.2 Both the Early Years and the Schools' block are expected to be broadly in line with allocations in 2018/19.
- 3.3.3 The overall deficit on the non-delegated DSG at the end of the financial year 2017/18 was £9.687m, and comprised as follows:
- Early Years Block: £0.032m Underspend
 - Schools Block: £0.328m Underspend
 - High Needs Block: £10.047m Overspend
- 3.3.4 The service has developed a recovery plan which aims to mitigate as far as possible the in-year pressures on the High Needs Block and a reduction in the overall cumulative deficit by April 2019. The key areas of focus which will deliver the targeted deficit reduction by April 2019 include:

- A revised Special School funding model;
- A review of high cost out of authority education provision to reduce cost and move children back into Rotherham educational provision; and
- A review of inclusion services provided by the Council.

3.4 Regeneration and Environment Directorate (Forecast balanced budget)

3.4.1 The Regeneration and Environment Directorate has approved savings of £3.827m to deliver in 2018/19 as well as savings requirements from previous years. This is a challenging position for the Directorate, and in order to meet this challenge, the Directorate will continue the tight financial discipline that enabled it to outturn within budget in 2017/18. Budget monitoring has, however, highlighted some significant pressures, many of which arise from delays in delivery of savings.

3.4.2 The major pressures are as follows:

- Facilities Management (£1.033m). The 2018/19 budget includes a £1m saving on property arising from service reviews within other Council services. A pressure of £810k is being reported in respect of this saving, as a result of delays in concluding the service reviews. The savings are expected to be achieved in the long term, but their delivery has been delayed. In addition, a pressure of £140k is being reported in respect of a saving to let office space at Riverside House, as a result of the proposed tenant withdrawing.
- Catering service (£623k). This arises from a number of factors: restrictions on increasing income on services provided to PFI schools; in addition, there is a continuing impact of the loss of contracts resulting from academy conversions, where academy chains have alternative provider arrangements in place.
- Street Scene Services (£357k). This is mainly in respect of continuing additional demand pressures on Home to School transport, which was also a pressure in 2017/18.
- Regulation and Environment (£162k), principally as a result of a £146k pressure on Licensing. This is in respect of additional legal costs and Counsel fees, forecast under recovery of income against the budget and additional vehicle testing costs.

3.4.3 In order to try to mitigate these pressures the Directorate Management team will continue to keep a tight control on budgets, limit officers to essential spending and have identified some non-recurring underspends including:

- Holding vacant posts where this can be done without significantly impacting on service delivery;
- Additional income in Building Consultancy;
- Other windfall income

In addition, as part of delivery of savings, it has been agreed to charge for car parking at the 2018 Rotherham Show.

It is envisaged that these actions will enable the Directorate to deliver a balanced budget by year end.

3.4.4 The following alternative savings are proposed to replace savings which are not being delivered as originally planned and approved.

- Charge for street naming (property addressing) £20k – the additional income is not being met due to reduced applications. This will be mitigated by the delivery of additional income following the Government's decision to increase planning fees for 2018/19.
- Increase in Local Land Charge (search) fees £50k – the additional income is not being delivered due to a reduction in volumes. This will be offset by the delivery of additional planning income following the Government's decision to increase planning fees for 2018/19.
- Increasing number of applications and incidental fees, and review fees and charges £20k – this is not being met due to reduced volumes. This will be mitigated by deleting a vacant post.
- Software savings by migrating information to an App £14k – to be mitigated by a reduction in equipment budgets in licensing.

3.5 Adult Care & Housing (£6.221m overspend)

3.5.1 Adult Care Services are currently forecasting an overall overspend of £6.221m in 2018/19 (after allocation of £5.9m of the additional Better Care Funding).

3.5.2 Whilst there were no new budget savings for Adult Care agreed within 2018/19 budget setting, there are £3.224m of savings agreed in previous years to take effect in 2018/19 in addition to the £7.346m agreed in 2017/18. The forecast overspend for 2018/19 includes an anticipated shortfall of £7.393m in the delivery of these accumulated budget savings within the current financial year.

3.5.3 The main reasons for the delayed delivery of savings are the complexity, rather than the volume of new cases (including transition) – as the overall customer base has been relatively static. Also, contributing to the delay is historical assessment practice across all cohorts; in terms of over reliance on residential care, poor application of self-directed support and over provision of care hours.

3.5.4 Neighbourhood services' (Housing General Fund) latest forecast is a small favourable variance against budget, which is included in the overall Directorate position. This arises from minor savings on vacancies in the Strategic Housing and Development and Housing Options services.

Adult Care – Recovery Strategy

3.5.5 Adult Care recognises that the primary pressures on its budget centre on previously undelivered savings. As a result, a suite of high level project plans have been developed to address the savings challenge covering:

- 1) Review of Learning Disability Services – My Front Door
- 2) Right sizing care packages
- 3) Propose the decommissioning of in-house residential homes which will include the re-provision of an intermediate care offer
- 4) Resource/Operating Models

Digital Transformation, Work Force Development and the Intermediate Care and Re-ablement Pathways will be enablers to these. This will be in line with the Rotherham Integrated Health and Social Care Place plan priorities. In addition, new savings options will be identified and fall out of this activity to meet the 2019/20 and 2020/21 requirements.

Public Health (Forecast Balanced budget)

- 3.5.6 The Public Health ring fenced specific grant was further reduced by a further £430k to £16.304m for 2018/19.
- 3.5.7 The latest forecast is an overall balanced budget which includes a budgeted transfer from the Public Health Grant reserve of £441k in order to achieve a balanced budget. There are some forecast pressures within Drugs and Alcohol and Tobacco control but these are being offset by underspends within Children's obesity and staff vacancies with the Public Health team.
- 3.5.8 Budget savings agreed as part of the budget setting process for 2018/19 totalling £0.653m are forecast to be fully achieved in year.

3.6 Finance & Customer Services (Forecast Balanced Budget)

- 3.6.1 Although, as at the July monitoring, F&CS Directorate is forecasting a balanced outturn position, the Directorate currently has an underlying overspend of £1.117m as a result of the ongoing pressures on Legal Services from Children's Services. Significant challenges exist within this department from the continued growth in the number of Looked After Children, the related child protection hearings and court fees and costs. Ongoing recruitment to vacancies within the department is proving difficult and, in the interim, there is heavy reliance on locum solicitors alongside a temporary arrangement with Sheffield City Council, which comes at a premium cost.
- 3.6.2 Further to this, a Peer Review of legal support to Adult Social Care has identified the need for additional legal staffing resource in this area. It is envisaged that these financial pressures will not diminish until the current resourcing problems are resolved, and the volume of social care proceedings begins to reduce. July 2018 did see a reduction in the level of court proceedings and, should this trajectory continue, it is hoped that the financial position will improve accordingly. Work is ongoing to identify ways of reducing demand for legal advice, coupled with a review of the management structure within the department, with the aim of better controlled use of resources.
- 3.6.3 Legal Services also have pressures in respect of Statutory Costs, where the forecast overspend is currently projected at £50k as a result of the volume of statutory and planning notices. A review into the demand drivers for this area of cost is planned, to better inform decision making and thus control spend.

- 3.6.4 Within Customer Information and Digital Services delays in the implementation of a number of historic savings decisions have led to cost pressures. A complete review of Digital Services management and staffing structures is underway alongside a revised Digital Strategy and consideration of current commitments and service demand. Most of the issues associated with the savings have now been resolved.
- 3.6.5 Loss of income from Schools Traded Services following conversion of schools to academies and their withdrawal from purchasing Council services is creating a pressure of £153k within Financial Services. A review is underway to assess charges and evaluate the viability of the current offering of services to schools and academies. The overspend in this area is currently offset by a projected over-achievement of income from the recovery of Housing Benefit overpayments, combined with forecast reduced costs for pension charges relative to former employees and vacancy control.
- 3.6.6 As a result of robust management actions the Directorate had identified and implemented mitigating actions to address £622k of the current overspend as at the end of July. Further work has identified further savings/cost reductions of £323k, leaving £172k to address. Work continues on a range of options to mitigate the remaining £172k and ensure that the Directorate delivers a balanced budget by the end of the financial year.
- 3.6.7 The following alternative savings are proposed to replace savings which are not being delivered as originally planned and approved.
- Financial Services support packages to academies and other maintained schools £19k – due to the transfer of a number of schools to academy status, the income is not being achieved. This will be mitigated by a reduction in staffing resources.
 - Legal Services Business Support Team - £49k – the income generation originally proposed is not being met. Therefore, an alternative savings delivery is proposed which will be to remove budget provision for an ePost IT contract and to merge the print and post teams, allowing the deletion of one full time equivalent post.

3.7 Assistant Chief Executive (£0.215m Forecast Underspend)

- 3.7.1 The Assistant Chief Executive's Directorate are forecasting a budget underspend of £0.2m (compared with breakeven as at May). This is attributable to underspends within HR from a considerable number of staff vacancies and an assumption from this month in light of stricter recruitment controls that to support the overall Council financial position, some posts will be held vacant for longer than previously forecast. It is worthy of note that, given the amount of staff turnover within this department, the forecast underspend could increase if recruitment is deferred further.
- 3.7.2 Vacancies within Business and Innovation Team are, however offset by planned expenditure on external resources, whilst a delay in delivery of savings within the Management Support Team will be met from savings elsewhere across the Directorate.

- 3.7.3 It should also be noted that a restructure within HR consultancy has delivered an in-year saving that will be removed from the budget in 2019/20 to contribute to future funding pressures

3.8 Central Services (£1.8m Forecast Underspend)

- 3.8.1 As highlighted in previous financial reports to Cabinet and Council over the past year a thorough review has been undertaken of all the Council's Central Services Budgets and Provisions, Corporate Funding and Accounting and Apportionments, including classification of expenditure between revenue and capital and between HRA and General Fund. Savings from these reviews fed into the updated Medium Term Financial Strategy reported to Cabinet in July. Capital financing decisions made as part of the 2017/18 financial outturn, along with further savings from treasury management activity and finalisation of inflation funding requirements results in a further saving of £1.8m in 2018/19.

3.9 Achieving a Balanced Budget in 2018/19

- 3.9.1 A range of actions December 2017 and into the Budget Report 2018/19 to Cabinet and Council in February 2018.
- 3.9.2 Strategic have been put into place as part of mitigating budget pressures and maintaining total expenditure within budget. These include :
- Further controls on recruitment and a reduction in the use of agency staff
 - Reductions ion general spend across all Council services
 - Review of financing options, including PFI schemes and staff severance payments
 - Use of Directorate balances with re-provision for any liabilities to be funded by those balances being reprovided in future years.

These actions are expected to ensure the delivery of a balanced budget for 2018/19 as described within this report.

3.10 Housing Revenue Account (HRA) – (Forecast Balanced Budget)

- 3.10.1 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 Housing Revenue Account is forecast to outturn in budget. There are some potential minor pressures but there are plans in place to mitigate against these should they arise.

3.11 Capital Programme

- 3.11.1 The Capital Programme for 2018/19 totals £112.027m split between the general fund £68.075m and HRA £43.952m. The breakdown by Directorate is shown in Table 2 below with the summary Programme funding

3.11.2 As at the end of July 2018 there are no significant variances of capital expenditure against budget. However, there are a number of grant funded additions to the Programme since the Programme was reported to Cabinet in July 2018. These are set out below and summarised within the updated Capital Programme across the period 2018/19 to 2021/22 is shown in Table 5.

Table 2 – Updated Capital Programme 2018/19 as at July 2018

Directorate	2018/19 Budget £m
Children and Young People's Services	10.243
Assistant Chief Executive	1.324
Adult Care & Housing	4.147
Finance and Customer Services	3.747
Regeneration and Environment	47.803
Flexible Use of Capital Receipts for Transformation	2.000
Total General Fund Capital	69.264
Total HRA Capital	43.952
Total RMBC Capital Programme	113.216

3.11.3 The £112.027m of capital expenditure was funded as shown in the table below:

Table 3 Funding of the approved Capital Programme

Funding Stream	2018/19 Budget £m
Grants and Contributions	21,192
Unsupported Borrowing	37.368
Capital Receipts	10.704
Revenue Contributions	0
Total Funding - General Fund	69,264
Grants and Contributions	4.025
Housing Major Repairs Allowance	12.759
Useable Capital Receipts	2.435
Revenue Contributions	24.733
Total Funding - HRA	43.952
Total	113.216

3.11.4 The Council is continuing to undertake a comprehensive review of its assets and buildings portfolio with the aim of rationalising both its operational and non-operational asset holdings. This may contribute future capital receipts which are earmarked to support the revenue budget, using the new capital receipts flexibilities introduced from the 1st April 2016 to fund expenditure relating to transforming Council service to generate future revenue efficiency savings

In 2018/19 to date General Fund Capital receipts of £0.631m have been generated as shown in the table below. Although, a loan repayment of £0.606m has been received in 2018/19, this cannot be used to support the revenue budget as only those receipts by the disposal of property, plant and equipment can be used in that way.

Table 4 – General Fund Capital Receipts Received in 2018/19

Description	Un-earmarked as at 30 th June 2019 £m
Land at White Hill Lane, Brinsworth	0.025
Sub Total – Usable In-Year Capital Receipts	0.025
Repayment of Loans	0.606
Total Capital Receipts	0.631

3.11.5 Revised Capital Programme 2018/19 to 2021/22

Following the approval of the capital budget and roll-forward position for 2018/19 there have been a number of additional schemes incorporated into the Programme. These adjustments have been detailed within the tables below, showing the impact upon each financial year.

The additions to the capital programme are all grant funded schemes, which are added to the Capital Programme on an ongoing basis in accordance with the tables below show the new inclusions by Directorate

The four year capital programme is fully committed with all known grants, balances of capital receipts (GF) forward and approved prudential borrowing allocated to specific schemes within the programme. There is no scope to commit further capital resources without a review and rationalisation of the existing programme.

Table 5 – Updated Capital Programme 2018/19 to 2021/22

Directorate	2018/19 Budget £m	2019/20 Budget £m	2020/21 Budget £m	2021/22 Budget £m	Total Budget £m
General Fund Capital					
Children and Young People's Services	10.243	9,806	11.472	2.406	33.927
Assistant Chief Executive	1.324	0.210	0.210	0.210	1.954
Adult Care & Housing	4.147	5.976	11.976	6.116	28.215
Finance and Customer Services	3.747	2.054	1.775	1.775	9.351
Regeneration and Environment	47.803	43.223	29.320	20.000	140.346
Capitalisation Direction	2.000	2.000	2.000	0.000	6.000
Total General Fund Capital	69,264	63.269	56.753	30.507	219,793
HRA Capital					
Total HRA Capital	43.952	39.881	28.112	22.275	134.220
Total RMBC Capital Programme	113.216	103.150	84.865	52.782	354.013

New Inclusions

Children and Young People's Services

Children and Young People's Services	2018/19 £m	Post 2018/19 £m
New Inclusions / Additions		
• BASIC Needs allocation – Grant funding Confirmation, Increase in funding.	0.000	4.045
• Abbey School grant funding	0.300	0.000
Total	0.3 00	4.045

Regeneration and Environment

Regeneration and Environment	2018/19 £m	Post 2018/19 £m
New inclusions / Additions		
• SCR Local Transport Fund – New Grant Funding	1.189	0.000
• Alexandra Play Area	0.007	0.000
• Barkers Park Changing Rooms Refurbishment	0.010	0.000
• Growth Fund	0.500	0.000
• Sanctuary Fields S 106	0.005	0.000.
	1.711	0.000

4. Options considered and recommended proposal

- 4.1 The Council is currently forecasting a balanced financial outturn for 2018/19. However to any extent that planned savings are not delivered and a balanced budget cannot be maintained for 2018/19, there will be an impact on the Councils reserves. With the current financial climate, effective and careful use of reserves is ever more critical to the Council's ability to maintain a robust balanced budget.

5. Consultation

- 5.1 The Council consulted extensively on budget proposals for 2018/19. Details of the consultation are set out within the Budget and Council Tax 2018/19 report approved by Council on 28th February 2018

6. Timetable and Accountability for Implementing this Decision

- 6.1 Strategic Directors, Managers and Budget Holders will ensure ongoing tight management and close scrutiny of spend this financial year.
- 6.2 Financial Monitoring reports are taken to Cabinet/Commissioner Decision Making meetings during the year. The next Financial Monitoring Report with the position as at the end of September 2018 will be considered by Cabinet on 19 November 2018.

7. Financial and Procurement Implications

- 7.1 There is currently a projected balanced financial outturn for 2018/19..
- 7.2 If, however, the budget and planned savings and spend reductions are not delivered as intended, there will be an impact on the Council's reserves, as any expenditure in excess of budget impacts reserves levels. Control over spending is therefore critical to a robust Medium Term Financial Strategy. All savings are being closely monitored and tracked, with all areas at risk of shortfall subject to review to identify alternative options.

7.3 Failure to achieve planned savings and to contain revenue expenditure within the agreed budget for this financial year will have further implications for financial years 2019/20 and 2020/21, where the MTFs identifies a further £30m of savings as being required to balance the budget.

7.4 The approved Capital Programme was revised in July to reflect the 2017/18 Outturn position. The additions in this report are all grant funded schemes.

8. Legal Implications

8.1 No direct implications.

9. Human Resources Implications

9.1 No direct implications.

10. Implications for Children and Young People and Vulnerable Adults

10.1 This report includes reference to the cost pressures on both Children's and Adult' Social care budgets.

11. Equalities and Human Rights Implications

11.1 No direct implications.

12. Implications for Partners and Other Directorates

12.1 No direct implications. As management actions are developed some of these may impact upon Partners. Timely and effective communication will therefore be essential in these circumstances.

13. Risks and Mitigation

13.1 At a time of economic difficulty and tight financial constraints, managing spend in line with the Council's Budget is paramount. Careful scrutiny of expenditure and income across all services and close budget monitoring therefore remain a top priority if the Council is to deliver both its annual and medium term financial plans while sustaining its overall financial resilience.

14. Accountable Officer(s)

Graham Saxton, Assistant Director – Financial Services
Nikki Kelly, Finance Manager

Approvals obtained on behalf of:-

	Named Officer	Date
Strategic Director of Finance & Customer Services	Graham Saxton	31.08.2018
Assistant Director of Legal Services	Dermot Pearson	31.08.2018
Head of Procurement (if appropriate)	N/A	
Assistant Director of Human Resources and Organisational Development (if appropriate)	N/A	

*Report Author: Paul Stone, Head of Corporate Finance
01709 822013 or paul.stone@rotherham.gov.uk*

*Graham Saxton, Assistant Director – Financial Services
01709 822034 or graham.saxton@rotherham.gov.uk*

Public Report
Cabinet and Commissioners' Decision Making Meeting

Summary Sheet

Name of Committee and Date of Committee Meeting

Cabinet and Commissioners' Decision Making Meeting – 17 September 2018

Report Title

Council Plan 2018/19 Quarter 1 Performance Report

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

No

Directors Approving Submission of the Report

Sharon Kemp, Chief Executive

Shokat Lal, Assistant Chief Executive

Report authors:

Jackie Mould, Head of Performance, Intelligence and Improvement,
01709 823618 or jackie.mould@rotherham.gov.uk

Simon Dennis, Corporate Risk Manager,
01709 822114 or simon.dennis@rotherham.gov.uk

Tanya Palmowski, Performance Officer (Corporate),
01709 822764 or tanya.palmowski@rotherham.gov.uk

Ward(s) Affected

All

Executive Summary

The Council Plan is the core document that underpins the Council's overall vision. It sets out the headline priorities, indicators and measures that will demonstrate delivery of the vision and, alongside it, sits the Council's Performance Management Framework. This Framework explains to all Council staff how robust performance monitoring and management arrangements are required to ensure effective implementation.

The Council Plan for the period 2017-2020 was approved by Elected Members at the RMBC Council meeting on 12 July 2017. Refreshed performance indicators covering the 2018-2019 financial year were approved by Cabinet on 21 May 2018.

To ensure that the delivery of actions and their impact is assessed, formal quarterly performance reports are presented to the public Cabinet and Commissioners' Decision-Making meeting, with an opportunity for pre-decision scrutiny consideration if required. This report is the first report in the 2018/19 reporting cycle covering quarter 1 (1 April 2018 to 30 June 2018).

The Performance Report and Performance Scorecard (Appendix A) provides an analysis of the Council's current performance against 14 key delivery outcomes and 70 measures. This report is based on the current position of available data, along with an overview of progress on key projects and activities which also contribute towards the delivery of the Council Plan.

At the end of the first quarter (April to June 2018) 26 measures had either met or had exceeded the target set in the Council Plan. This represents 47.2% of the total number of indicators where data is available or where targets have been set. This is an improvement over Q4 for 2017/2018 where 43.9% of indicators hit their targets. The direction of travel is positive for 25 (44.6%) of the indicators measured in this quarter. This is down on the 49% figure for Q4 last year. The Priority area with the highest proportion of targets met remains Priority 4 (Extending Opportunity and Prosperity).

Recommendations

1. That the overall position and direction of travel in relation to performance be noted.
2. That consideration be given to measures which have not progressed in accordance with the target set and the actions required to improve performance, including future performance clinics.
3. That the performance reporting timetable for 2018/19 be noted.

List of Appendices Included

Appendix A Quarter 1 Performance Report

Background Papers

'Views from Rotherham' report, October 2015

Performance Management Framework 2016-17

RMBC Council Plan 2017-2020 – Cabinet Agenda 25th June 2017 and revised indicators for 2018-2019 – Cabinet Agenda 21st May 2018

Corporate Performance Report 2017/18 Quarter 4 – Cabinet Agenda 11th June 2018

Consideration by any other Council Committee, Scrutiny or Advisory Panel

Overview and Scrutiny Management Board – 3 October 2018

Council Approval Required:

No

Exempt from the Press and Public:

No

Council Plan 2018/19 Quarter 1 Performance Report

1. Recommendations

- 1.1 That the overall position and direction of travel in relation to performance be noted.
- 1.2 That consideration be given to measures which have not progressed in accordance with the target set and the actions required to improve performance, including future performance clinics.
- 1.3 That the performance reporting timetable for 2018/19 be noted.

2. Background

- 2.1 The Corporate Plan for 2016-17 was approved by Elected Members at the RMBC Council meeting on 13 July 2016. This was further refined to generate the new Council Plan covering period from 2017 to 2020. This refreshed Plan was approved by members on 12 July 2017 and refreshed performance indicators covering the 2018-2019 financial year were approved by Cabinet on 21 May 2018.
- 2.2 This is the first quarterly Performance Report for the 2018-19 financial year, the last report being the quarter 4 report for 2017-2018 which was reported to the Cabinet and Commissioners' Decision Making meeting on 11 June 2018.
- 2.3 Service and team plans have been produced to ensure a 'golden thread' runs from the Council Plan through to service, team plans and the PDR process and develop a consistent approach across the Council. Service Plans are now in place across the Council, having been refreshed for the 2018-2019 year.

3. Key Issues

- 3.1 The Council Plan includes 70 measures. The measures sit under 14 key delivery outcomes, which form the priority actions under each of the vision priorities:

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

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

- 3.2 The 2017-2020 Council Plan sets out the vision, priorities and measures to assess progress. Through the guidance and direction set out in the supporting Performance Management Framework, relevant plans are in place at different levels of the organisation to provide the critical 'golden thread' that ensures everyone is working together to achieve the Council's strategic priorities.

- 3.3 The Quarter 1 Performance Report (Appendix A) sets out how the Council has performed in the first quarter of 2018/19 (1 April to 30 June 2018) to deliver the five headline priorities for Rotherham as set out in the Council Plan for 2017-2020. The report provides an overview of progress and exceptions, highlighting good and improved performance as well as areas of concern. The report also includes wider information, key facts and intelligence such as customer feedback, quality assurance, external regulation and specific case study information to demonstrate what has been achieved to deliver the vision.
- 3.4 The Q1 Performance Scorecard and Dashboard (Appendix B) provide an analysis of the Council's performance against each of the 70 performance measures. Based on the frequency of reporting and targets set each of the measures are rated as follows:

Overall status (relevant to target)



Measure progressing above or in line with target set



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



Measure has not progressed in accordance with target set



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



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



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

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



Numbers have improved



Numbers are stable



Numbers have got worse



Direction of travel not applicable

- 3.5 At the end of the first quarter (April to June 2018) 27 measures had either met or had exceeded the target set in the Council Plan. This represents 47.2% of the total number of indicators where data is available or where targets have been set. This is an improvement over Q4 for 2017/2018 where 43.9% of indicators hit their targets.

- 3.6 The direction of travel is positive for 25 (44.6%) of the indicators measured in this quarter. This is down on the 49% figure for Q4 last year, with Priority 5 (A modern, efficient Council) showing the most significant slowdown in progress.
- 3.7 The Priority area with the highest proportion of targets met remains Priority 4 (Extending Opportunity and Prosperity), whilst the priority area with the most positive direction of travel is Priority 3 (A Strong Community in a clean, safe environment).
- 3.8 The performance report at Appendix A has been redesigned to make it more accessible and to reduce the amount of text included in it. The report now highlights key achievements by the Council in the period and also provides a graphical interpretation of each Priority Area. The Scorecard information now also appears in the document and “Red Flagged” indicators (ie those that have missed their target for two or more quarters in succession) are now no longer highlighted.
- 3.9 As part of the refresh of the Plan’s indicators for 2018-2019, the concept of “Priority Measures” was dropped. This means that all 70 indicators are treated equally in the Council Plan and its monitoring and this is reflected in both the narrative report and the scorecard.
- 3.10 The Council Plan for 2017/2020 provides a clear focus on indicators that can be measured monthly or quarterly. To ensure that the 2017/2020 Council Plan is effectively performance managed, formal quarterly performance reports will continue to be presented to Cabinet/ Commissioner Decision-Making meetings during 2018/19 as follows:
- Quarter 2 Performance Report (performance to end September 2018) – 17th December 2018
 - Quarter 3 Performance Report (performance to end December 2018) – 18th March 2019
 - Quarter 4 Performance Report (performance to end March 2019) – July 2019 (exact date TBC)
 - Final 2018-2019 Annual Performance Report (validated data) – early Autumn 2019 (exact date TBC)

4. Options considered and recommended proposal

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

5. Consultation

- 5.1 The Council consulted with 1,800 members of the public to develop the new vision for the borough during the summer of 2015 and set out in October 2015. During 2016/17 The Leader and Chief Executive held a number of staff briefing sessions throughout January and February 2016. Part of the sessions included an update on the Corporate Plan and over 800 attended in total.

- 5.2 A presentation on the first version of a new Corporate Plan was made to Overview and Scrutiny Management Board on 26 November 2015, with this formally considered by members at the Council meeting on 9 December 2015 and approved on 13th July 2016. Regular discussions on the developing plan were also held with Strategic and Assistant Directors, M3 Managers and Cabinet Members and Commissioners.
- 5.3 Focus groups, M3 manager meetings, as well as the “Views from Rotherham” consultation conducted in 2015, have all also provided opportunities to help define the new values and behaviours for the organisation contained within the Plan. Trades Unions have also seen the values and behaviours and will be included in considerations around the roll out of these.
- 5.4 The quarterly reporting template and performance scorecard has been developed in consultation with performance officers, the Strategic Leadership and Cabinet Members.

6. Timetable and Accountability for Implementing this Decision

- 6.1 This is the first quarterly Performance Report relating to the Council Plan’s refreshed indicators the 2018/2019 financial year. Paragraph 3.10 sets out an outline forward programme of further quarterly performance reports.

7. Financial and Procurement Implications

- 7.1 The Council Plan is designed to help steer the use of Council finances going forward, balanced against the wider funding backdrop for the Council and the broader national local government finance and policy context.
- 7.2 The Council operates in a constantly changing environment and will need to be mindful of the impact that changes in central Government policy, forthcoming legislation and the changing financial position of the authority will have on its ability to meet strategic, corporate priorities and performance targets; and that ambitions remain realistic. It is intended that future performance reports, from Quarter 2 onwards, will include elements of financial reporting to enable members to see a link between the two more clearly.
- 7.3 Any identified needs to procure goods, services or works in relation to achieving the Council Plan objectives should be referred to the Corporate Procurement Service in order to ensure all projects are in line with the relevant internal Contract Procurement Rules and UK Public Contract Regulations as well as relevant EU legislation.

8. Legal Implications

- 8.1 While there is no specific statutory requirement for the Council to have a Performance Management Framework and Council Plan, being clear about the Council’s ambitions gives staff, partners, residents and central Government a clear understanding of what it seeks to achieve and how it will prioritise its spending decisions.

- 8.2 An effective and embedded Council Plan is also a key part of the Council's ongoing improvement journey in response to Government intervention at the Council.

9. Human Resources Implications

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

10. Implications for Children and Young People and Vulnerable Adults

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

11. Equalities and Human Rights Implications

- 11.1 Ensuring that the Council meets its equalities and human rights duties and obligations is central to how it manages its performance, sets its priorities and delivers services across the board.
- 11.2 A new corporate Equalities and Diversity Policy was adopted by Council on 13 July 2016. This reinforced the duties of the Council in delivering the aims and ambitions of the Council Plan for 2017/2020, and supporting service business planning processes. A new performance indicator specifically relating to equalities has been included in the 2018/2019 iteration of the Council Plan.

12. Implications for Partners and Other Directorates

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

13. Risks and Mitigation

- 13.1 Within the Performance Report there are risks and mitigations identified under each of the key delivery outcomes. Additionally, the Priority areas also include an assessment of the areas where progress is not in line with targets as well as those where progress has been below target for more than one quarter ("Red Flags"). Within the Performance Scorecard, all measures which have not progressed in accordance with the target set are clearly marked with a red cross. Directorates are also responsible for ensuring that any significant risks are also addressed via Directorate and Corporate Risk Registers.
- 13.2 The Corporate Strategic Risk Register is structured to identify and mitigate strategic risks aligned to the Council Plan. The process of updating and identifying strategic risks is designed to enable the Council to manage risks connected to the Council Plan.

14. Accountable Officer(s)

Sharon Kemp, Chief Executive
Shokat Lal, Assistant Chief Executive

Approvals obtained on behalf of:

	Named Officer	Date
Strategic Director of Finance & Customer Services	Nikki Kelly	24.08.2018
Assistant Director of Legal Services	Neil Concannon	28.08.2018
Assistant Director of Human Resources and Organisational Development	Lee Mann	28.08.2018
Head of Procurement (if applicable)	N/A	N/A

*Report authors: Jackie Mould, Head of Performance, Intelligence and Improvement,
01709 823618 or jackie.mould@rotherham.gov.uk*

*Simon Dennis, Corporate Risk Manager,
01709 822114 or simon.dennis@rotherham.gov.uk*

*Tanya Palmowski, Performance Officer (Corporate),
01709 822764 or tanya.palmowski@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=>

Council Plan 2017–20

Performance report and key achievements/activities

Period: Quarter 1 (April–June 2018)



Contents Page

Title	
Introduction and overview	3
Finance update	6
Performance by priority:	
Priority 1: Every child making the best start in life	7
Priority 2: Every adult secure, empowered and responsible	14
Priority 3: A strong community in a clean, safe environment	19
Priority 4: Extending opportunity, prosperity and planning for the future	24
Priority 5: A modern, efficient council	29
Timeline of key achievements and activities	36
Case studies	37
Performance scorecard	43

Introduction and Overview

This report sets out how the Council has performed in the first quarter of 2018/19 to deliver the vision and priorities for Rotherham as set out in the Council Plan for 2017-20. The priorities include:

Priority 1: Every child making the best start in life

Priority 2: Every adult secure, empowered and responsible

Priority 3: A strong community in a clean, safe environment

Priority 4: Extending opportunity, prosperity and planning for the future

Priority 5: A modern, efficient council

The report focuses on progress against the 13 key delivery outcomes which underpin the Council's priorities and the 70 headline performance measures that directorates have identified that best demonstrate progress in achieving the outcomes. It also brings together wider information, key facts and intelligence to explain how the Council is working and performing.

Through Directorate and Service-level Business Plans the Council carries out wider work to measure performance and quality. This report is intended to provide an overview of the contribution that the Council makes across all of its activities to improving Rotherham as a place to live, work and spend time.



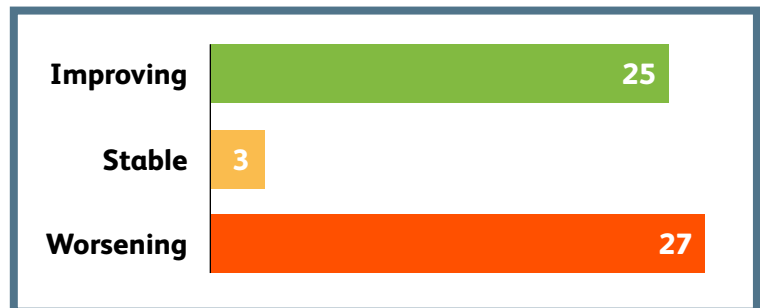
Performance overview to 30th June 2018

(where data is available or where targets have been set)

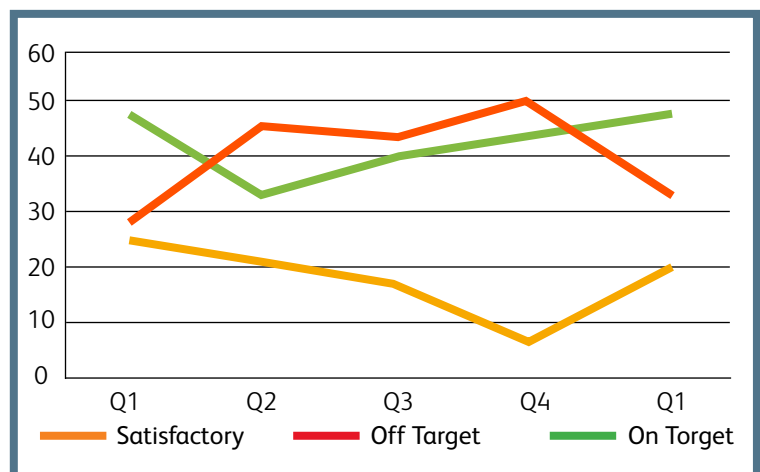
Overall Status



Direction of Travel



Percent Overall Status Trend



There are a number of measures rated as 'measure information not yet available' due to these being annual, termly or 6 monthly. In some circumstances interim data is available to demonstrate whether or not the Council is on track to achieve the annual target. For others, the Performance Report provides an overview of progress to assure Cabinet/Commissioners that progress is being made.

Performance status broken down by priority



Finance update

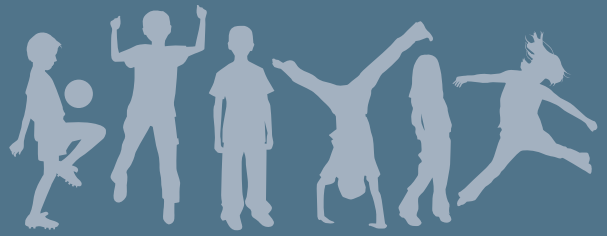
As of the end of July 2018, the Council is expecting to deliver a balanced General Fund Revenue Budget by the end of the financial year, after taking account of the £10m budget contingency approved within the 2018/19 budget.

However to achieve this position has required a number of mitigating savings and actions to be identified to offset the impact of a range of cost and demand pressures impacting on the Council's budgets, which is described below. These actions include recruitment controls, reduction in the use of agency staff, reductions in general spend by all services, reviews of financing options and use of Directorate balances.

The overspending against budget within Children's and Young People's Services Directorate continues due to demand for services outstripping budget capacity. The forecast outturn overspend is £13m. The increase in the number of Looked after Children also places significant pressure on Legal Services within the Finance and Customer Services Directorate.

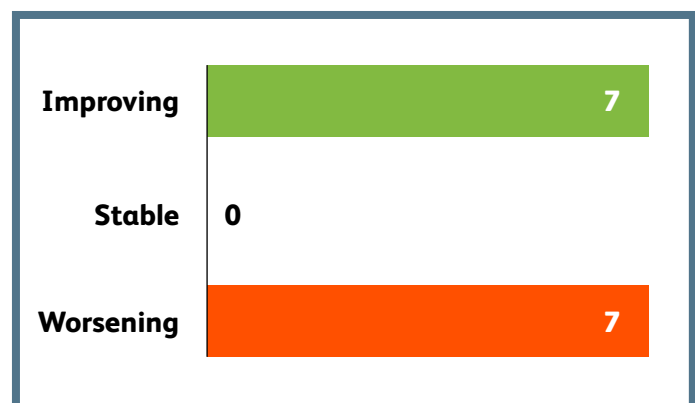
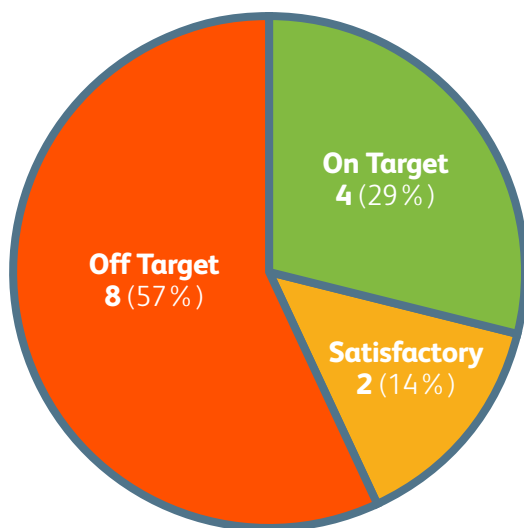
Adult Care Services are currently forecasting an overall overspend of £6.2m. Residential and Nursing Care budgets across all client groups are under pressure due to a combination of increased client numbers, the rising cost of care packages, and delays in delivery of savings plans.





Priority 1: Every child making the best start in life

Performance headlines (where data is available or where targets have been set)



Areas performing well or improving



7.3% of children subject to repeat child protection plans (within 24 months)
(Against a target of 9%)



Reduction in smoking status at time of delivery (17.1%)
(latest available data)
(Reduced from 21.1% to 17.1% between quarter 3 and quarter 4 2017/18 and below the target of 18%)
(lower is better)



48% Education and Health Care Plans completed in statutory timescales
(Against a target of 45% for this quarter)



97.9% of eligible children received 3 doses of DTaP / IPV / Hib vaccine by their 2nd birthday
(Latest data for quarter 4 2017/18 against a target of 95%) (higher is better)

Areas for improvement



6.5 % of 16-17 year olds NEET or activity not known

(Against a target of 5.8 %)
(lower is better)



Increases in Children in Need rate and number of Looked After Children (rate per 10k population under 18)

(CIN rate 435.2 against a target of 375.5)
(Looked after children 114.5 against a target of 99.1)

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

Lead accountability: Mel Meggs, Deputy Strategic Director Children and Young People's services

Demand across the whole of children's services remains high with further increases in the number of cases at all levels of social care intervention, (ie Children in Need, Child Protection Plan and Looked After Children), with Rotherham placed significantly higher than similar authorities. This appears to be as a result of a combination of factors, including an improvement in social work assessments identifying and responding to the risk of new and legacy cases, the complex abuse enquiry and an upward trend nationally.

There is evidence that targeted initiatives such as the 'Right Child, Right Care' project are having demonstrable impact by increasing appropriate discharges from care however admissions are not seeing the same level of decline therefore still resulting in a net increase (albeit smaller than those seen during 2017). Case level audits of all new admissions are undertaken by Head of Service to ensure all are appropriate. Similarly other senior managers are continuing to monitor and ensure that thresholds for each level of service, not just LAC, are being applied rigorously and that there is good throughput in the service to ensure no child or family is subject to intervention for longer than necessary. The early help and social care pathway, in particular the First Response services which screen and assess new cases, is an initial area of CYPS focus. Heads of Service from across both services are working together to review pathways to identify further opportunities for closer working and resource allocation. Outcomes from these workshops will need to be considered alongside the results from the Early Help Review consultation findings which are currently being analysed.

Despite the ongoing level of demand performance against compliance and outcome measures in general remains stable with some areas of small improvement. Examples include:

- High family engagement and positive satisfaction in Early Help services with 94.3 % of families rating their support as 'good or excellent'.
- A positive reduction in the proportion of children becoming subject to a repeat child protection plan from 9.5 % at the end of 2017/18 to 7.3 % an indication that previous work with families has made a sustainable impact in keeping children safe.
- A relatively stable CSE cohort, reflecting the now well embedded multi agency processes for identification, assessment and intervention for these young people across the borough. Quality assurance is also evidencing the high quality of work for these young people.
- Despite the increase in LAC through improved quality of foster care placements both internally and via commissioned services we continue to retain high proportion of children in family based settings (81 %). Stability of placements is also improving. The work of the Intensive Prevention Programme (IPP) is supporting the stability of children at high risk of placement breakdown. With significant reductions are multiple placement moves and missing incidents for the 27 young people involved in the targeted project.

Next steps:

- Analysis of Early Help Review consultation to inform finalised proposals (Cabinet in October 2018).
- A review and refresh of the Right Child Right Care (RCRC) cohort will take place in September 2018, in order to maintain the momentum of work to discharge children from care.
- Complete the review of support pathways to maximise opportunities for closer working and resource allocation across Early Help and Social Care.

Risk and issues:

Risk/issue	Mitigation
The numbers of LAC continue to rise	The 'Right Children, Right Care' (RCRC) transformation action plan is being implemented focusing on both reducing the number of admissions through the early help, edge of care preventative approaches and 'safely' increasing the number of children ceasing care.
Increase in demand in CIN and CPP reducing the quality of service.	The service managers in the Locality social work teams continue to lead regular reviews in conjunction with early help colleagues on Child in Need work to minimise drift and ensure only those children that require this type of intervention are open to the service. Joint work with the edge of care team is having some positive effect and has resulted in some children remaining with their family when it had been previously assumed the children would need to come into care.

Risk/issue	Mitigation
Lack of Early Help Surveys being completed by families therefore quality of work unknown.	Work is on-going with locality teams to ensure they maximise the number of surveys requested each month as this is a vital way of capturing child and family satisfaction rates.
The increased use of Special Guardianship Orders (SGO's)/Child Assessment Order's (CAO's) through the RCRC project may have negative impact on placement stability performance.	Good communication with all agencies, members and stakeholders to ensure any decline in performance is understood that this will be due to a positive outcome achieved for the looked after young people.

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

Lead accountability: Mel Meggs, Deputy Strategic Director Children and Young People's services

Where are we now?: The Rotherham School Improvement Service (RoSIS) 2018-2019 traded service continues to offer a range of services, Continuing Professional Development (CPD) and school improvement activity focussed on improved pupil outcomes. Provisional attainment data for 2018 shows improvement at Key Stage 2 (end of primary school). 61.4% of pupils in Rotherham met the expected standard in the combined Reading, Writing & Maths measure, compared to 60.8% last year. The national results also improved from 61% to 64%, this nationally higher rate of improvement now places Rotherham 2.6% below the national average. 2018 provisional GCSE results for the average attainment 8 score and the progress 8 measure will not be available until published by the Department for Education in September / October 2018.

Exclusions are measured across the academic year. There is a decreasing trend in fixed term exclusions in secondary schools; this is slightly less evident in primary settings. A contributing factor to this is primary schools have not yet developed their Social, Emotional & Mental Health (SEMH) Pupil Management Groups to the same level that the secondary school partnerships have.

The combined Not in Education, Employment or Training (NEET)/Not Known percentage in June was 6.5% against a target of 5.8%. This is due to the proportion of young people whose status is not known increasing by 0.5% but this can be attributed to anticipated seasonal increases and previous trends.

The 3 year programme to convert Special Education Need statements to Education, Health and Care Plans (EHCP) the service has now completed. The wider impact of this national programme was a build-up of children awaiting the completion of their 'new' EHCP. The team are now able to focus on these 'new' EHCPs and in quarter 1 the cumulative performance (48%) exceeded the target set for the quarter (45%). It is envisaged that over the course of the year this will improve further as those already over time are cleared. There is to be a restructure of the existing Education, Health and Care planning team as well as a review of the Rotherham Education, Health Care plan.

Next steps:

- Targeted Support Workshops with a focus on KS2 reading and mathematics will be held during the Autumn Term 2018. Consistently high performing schools or those that have improved significantly are invited to deliver short “best practice” workshops to other schools. More productive partnership working will take place between secondary schools to disseminate good practice.
- Depending upon the outcome of the primary school consultation and School Forum decision; if agreed, preparatory work is then needed to establish a Primary Outreach Team to support SEMH needs. The training offer for school leadership and Governors that is available from Education Other Than at Schools Team (EOTAS) regarding the Exclusions process will continue.
- Continue tracking and engagement by locality teams in order to further reduce NEET and Not Known cohort including tracking the offer data to ensure young people have an offer of learning in preparation for the new academic year (September 2018).

Risk and issues:

Risk/issue	Mitigation
Lack of buy in from some Multi Academy Trusts (MATs) and secondary school leaders.	Regular termly meetings with the Regional Schools Commissioners office (RSC) to highlight the importance of co-operation and collaborative working with all academies / MATs. Meetings with the Chief Executive Officers (CEO's) / Executive Headteachers of schools / academies to discuss their schools and range of school improvement services available.
Timely collection of enrolment data from Post 16 providers.	Continued communication with post 16 providers and ensure access to secure data sharing portal.
Schools will continue to use fixed term exclusion at increasing rates.	Leads at Directorate Leadership Team (DLT) level have agreed to lead on the next stage of development of the secondary SEMH work. Further preventative development work has been identified in the 2018/19 EOTAS Team Action Plan.
Restructure of staff will impact on performance.	Restructure will take place primarily through the summer months to mitigate impact (expected reduction in workload whilst schools are off).

Outcome: C Children, young people and families are enabled to live healthier lives

Lead accountability: Terri Roche, Director Public Health

Where are we now?: Public Health (PH) continues to commission specialist services for smoking cessation in pregnancy. All women are carbon monoxide (CO) monitored and smokers are referred to the in-house specialist service using an opt-out system.

The provider is performance managed using a Key Performance Indicator (KPI) measured by number of quits and not a percentage. The figures achieved by the Service by quarter are outlined in the table below:

2017/18	Quit
Q1 (April to June)	34
Q2 (July to September)	37
Q3 (Oct to December)	44
Q4 (Jan to March)	24
2018/19	
Q1 (April to June)	26

The KPI is to average 12.6 quits a month. Due to a lower quarter 4 the full year average was 11.6 quits a month, and below target. Quarter 1 2018/19 data is also below target.

The Smoking Status at Time of Delivery data is not yet available (predicted for September 2018). Therefore, the latest SATOD data is for Quarter 4 2017/18.

There was a large decrease between Quarter 3 and Quarter 4 (from 21.1 % to 17.1 %) and below the 2018/19 target of 18 %. Therefore, smoking in delivery is currently achieving target and rated green.

Measure ref 1.C2 – Childhood Immunisation – DTaP/IPV/Hib (2 years) - Data is not available for quarter 1 of 2018/19 or 2017/18 full year at present. The latest data for quarters 3 and quarter 4 2017/18 are well above the target level of 95 %. However, although the overall Rotherham level is green, there are pockets of low uptake in the borough. NHS England is working with GP practices in Rotherham which have a low uptake in their area to ensure equity of access across the population.

Next steps:

- The Trust are looking at how they can improve referrals to the Stop Smoking Service (part of 'Get Healthy Rotherham' integrated wellbeing service). This will support the SATOD work.

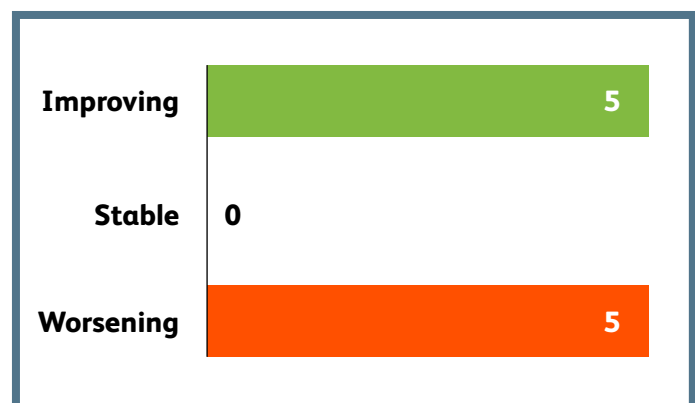
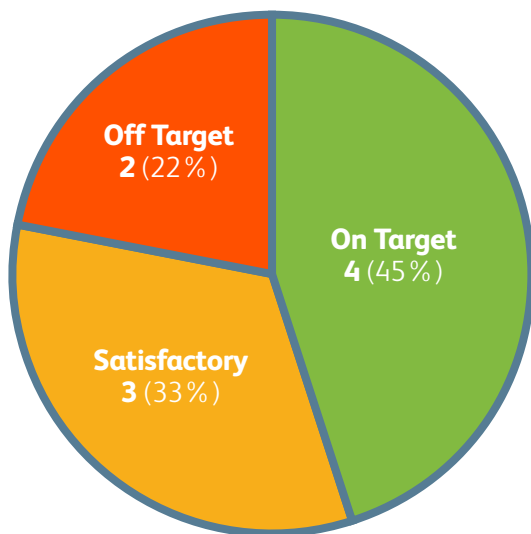
Risk and issues:

Risk/issue	Mitigation
<p>1.C1 The Smoking Status at Time of Delivery (SATOD) target for 2017/18 is a target of 17 % as the annual data for 2016/17 included a very low quarter which skewed the outcome figure of 17 %. Additionally there has been a reduction in funding for the smoking midwifery service of 36 %.</p> <p>It is also a transition year where the general Stop Smoking Service will become part of the Wellbeing Service which may also impact on this target.</p> <p>Rotherham also has high rates of smoking in pregnancy as it is a deprived area and all smokers are identified. Every woman is CO (carbon monoxide) monitored at each visit to midwifery (system in place from after Q1 2016/17) whereas data for our statistical neighbours is based on self-reported smoking status.</p>	<p>The Service continues to be performance managed.</p> <p>Referrals have been set up between the 'Get Healthy Rotherham' Wellbeing Service and the Quit Smoking in Pregnancy Service.</p> <p>The Early Help Children Centre Outreach Worker provides on-going smoking cessation support and prevents relapse throughout pregnancy to women who have successfully stopped smoking with the Rotherham Smoking In Pregnancy Service. The main aim is to support women after they have reached 6/7 weeks of stopping smoking and to motivate them to remain stopped through to delivery and postnatal. If relapse occurs at any time or any problems are identified then they are referred back to the Smoking In Pregnancy Service.</p>

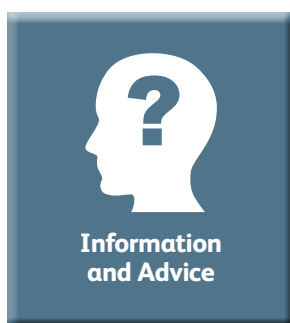


Priority 2: Every adult secure, empowered and responsible

Performance headlines (where data is available or where targets have been set)



Areas performing well or improving



884 people provided with information and advice at first point of contact (to prevent service need)
(Significant improvement on quarter 1 2017/18 - 566)



89% of new clients received short term (enablement) service and had no further requests for support
(Against a target of 83 %)



70 new permanent admissions to residential nursing care
(Improvement in comparison to quarter 1 2017/18 - 76) (lower is better)

Areas for improvement



Reduction in the number of successful drug treatments - non opiate users (latest available data)

(reduced from 34.6 % to 32.5 % between quarter 3 and quarter 4 2017/18
(higher is better)



Safeguarding investigations completed (per 100,000 population adults) reduced to 64.77

(68 quarter 1 2017/18)
(higher is better)

Outcome: A Adults are enabled to live healthier lives

Lead accountability: Terri Roche, Director Public Health

Where are we now?: Latest figure for successful completion of opiate exits quarter 4 2017-18 is 4.1 % which has dropped slightly from quarter 3 at 4.4 %. Rotherham is RAG rated as 'red' (lower) when compared to the England average. The baseline for the new service is 4.3 % which is based on the average of quarter 3 and quarter 4 2017-18 performances. The target improvement by the end of the first year, based on a 1.5 % improvement year on year, is 5.8 %, followed by 7.3 % by the end of year 2, followed by 8.8 % by the end of year 3.

Latest figure for successful completion of non-opiate exits at quarter 4 2017-18 is 32.5 % which has dropped from 34.6 % at quarter 3. Rotherham is outside the top quartile range for comparator local authorities and RAG rated as 'amber' (similar) when compared to the England average.

The new provider contract with CGL (Change Grow Live) commenced 1 April 2018, however due to the way the successful completion figure is calculated (i.e. wait 6 months after successful completion to ensure client does not re-present back into treatment), and also the need to wait for the new service to have had at least 6 months to change practices, the impact of the new service won't be seen in the PHOF figures until March 2019 NDTMS data (published May 2019). The service is up and running and the active caseload has shown an increase of 24 which is a positive early indicator.

As the opiate target is new for 2018-19, monitoring is not possible until data for quarter 1 2018-19 is available. This is due to be released at the end of August 2018.

Next steps:

- Now that the new service has had time to start to bed in, all service users are being reviewed to consider if they would like to take up some of the additional recovery focussed activities.
- The new service formally opened on the 16th July – crucially with both treatment and recovery services under one roof at Carson House. This means that recovery, and those already in recovery become more visible to those in treatment, and that family members and friends attending with service users are encouraged to spend time in the recovery service.

Risk/issue	Mitigation
A key risk is that in order to meet this target the service provider does not push service users to reduce their methadone doses too quickly.	Close monitoring of any service user complaints or GP or pharmacy concerns. Monitoring of deaths to ensure that rapid dose reduction is not part of the picture behind the death.
Many service users feel that recovery is not an attractive option as being drug free is not a desirable state unless they can build a new life without drugs.	The new service is building links with local housing providers and employment specialists in order to try to build aspiration and hope into the recovery offer.

Outcome: B Every adult secure, responsible and empowered

Lead accountability: AnneMarie Lubanski, Strategic Director Adult Social Care and Housing

Where are we now?: The Council is in a period of change as we continue to embed a strength based approach to support adults and older people to improve their wellbeing, continue to live within their community and have choice and control over their care and support.

The single point of access has been strengthened for adult social care by providing a multi-disciplinary team in collaboration with our partners in the health and voluntary sector. The pilot with voluntary sector organisations; Active Independence and Age UK is due to come to an end in August 2018 and an evaluation of the findings is currently being undertaken.

Resources have been focussed into ensuring the Council's information and advice offer is current and regularly updated. The Connect to Support Information Advice and Guidance Officer is now regularly updating the e-marketplace site to ensure information is accurate for customers and professionals. The officer is also pro-actively seeking new information, and strengthening links with voluntary sector partners and community groups. This activity supports not just single point of access in the delivery of information and advice but also enables individuals to self-serve, diverting potential phone calls requests for information and signposting.

A new support planning and review policy entitled 'Helping people to help themselves' has been drafted. The policy is aimed at making personalisation real and has been circulated to all staff members in Adult Social Care. This policy will help support staff to continue to embed strength based approaches to assessments. In addition, a practice oversight group known as the Wellbeing Forum has been operating since May 2018, supporting the personalisation principles. The forum, alongside training and supervision, is challenging current Adult Social Care practice and changing the drivers to support customers to remain longer in their community/homes.

The approaches outlined above are part of a suite of strategies to change the culture regarding the use of short stay residential care or offering long term residential care as the first alternative. This will in time reduce the number of admissions to residential care, although the legacy of this practice is likely to impact initially as some lengthy short term placements become permanent. Single Point of Access and the Hospital teams are beginning to implement a community focused customer journey which will further reduce admissions applying the principles of 'Home First' and using reablement and occupational therapy much further upstream.

The Wellbeing Forum is highlighting the gap in offers and provisions in Rotherham. Officers from the commissioning function are part of the forum and are collecting data which will form part of a gap analysis, as well as providing input relating to existing commissioned solutions that may not have been previously explored.

A reviewing team has been established which will specifically review customers in receipt of managed direct payments. The team will offer support to ensure that the direct payment arrangements work for the customer and that the policy is understood by all parties. The team will also find alternative commissioned solutions if this is the customer's preference.

The Safeguarding duty role has moved into the Single Point of Access team to share knowledge and support staff in asking additional questions when a safeguarding concern is received. This initiative has impacted on indicator 2.B2 as there has been a significant reduction in the number of concerns which progress to further safeguarding enquiries. The Council is working alongside colleagues from other Yorkshire and Humber authorities, supported by ADASS (Association of Directors of Adult Social Services) to develop a consistent approach to the recording and capture of safeguarding activity which will support meaningful benchmarking. Actions taken by the Safeguarding Adults Board and the Council continue to support raising awareness of safeguarding, to ensure that individuals are aware of how to spot and report suspected abuse. For those vulnerable adults identified as being at risk; we continue to ensure the outcomes they wish to achieve are recorded and captured throughout the process and they are at the centre of the enquiry.

An action plan is being developed by the Principal Social Worker to address identified practice issues and a rolling case audit process from Assistant Director down to frontline workers is going to be further developed to maintain and improve standards.

Next steps:

- Staff support and vocational training will continue to be provided to enhance the skills of the front line assessment service. Proactive, effective oversight and management will continue, underpinned by a performance management framework.

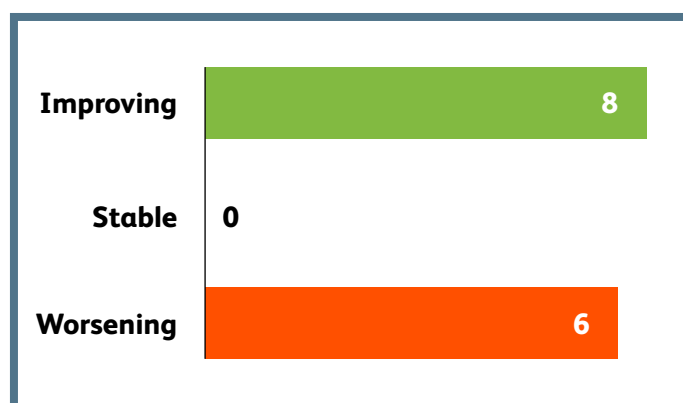
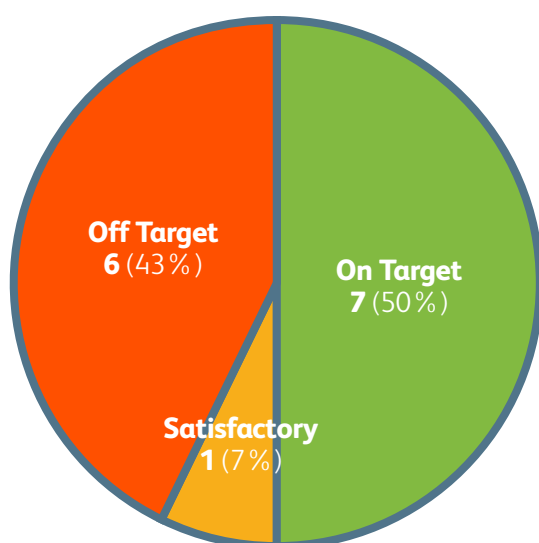
- Evaluation of the Single Point of Access pilot with the Voluntary Sector is to be carried out in October 2018 and submitted to the Senior and Directorate Leadership Team for consideration.
- Complete a safeguarding audit on a monthly basis to ensure that safeguarding continues to provide a quality service that this is personalised. This will include outcomes monitoring.
- Embed the new support planning and review policy to continue to drive forward strength based approaches to assessment and support planning.

Risk/issue	Mitigation
The Safeguarding team undertake the majority of safeguarding cases and this need to become part of all social work practice.	Safeguarding training and support will be provided to all assessment staff to ensure safeguarding concerns and enquiries can be responded to by all social work teams.
To ensure that all staff, partners and Rotherham citizens are aware of how to spot and report abuse.	Continued awareness raising and training.
Productivity due to the implementation of new working practice - new Support Planning and Review Policy.	Weekly performance monitoring and engagement with staff to provide support during the period of transition.



Priority 3: A strong community in a clean, safe environment

Performance headlines (where data is available or where targets have been set)



Areas performing well or improving



Reduction in the number of repeat victims of ASB
(46 quarter 1 2018/19 in comparison to 85 in quarter 1 2017/18)



Efficient and effective waste and recycling service
(43.01 missed bins per 100,000 collections against a target of 50) and 53.72% of waste sent for reuse (recycling and composting) (against a target of 45%)



109,074 engagements with the Council's culture and leisure facilities which help adults and children learn, develop their skills or get a job and
1,114,498 visits to the Councils, Culture and Leisure facilities

Areas for improvement



Reduction in % of positive outcomes, for reported Hate Crime cases

(9.64 % which equates to a 4.3 % reduction on the same period in 2017/18)
(higher is better)



Increase in number of customer contacts (street cleansing, grounds maintenance, litter and waste management) - 52 complaints received against an annual target of 75 (Of those received 19 were upheld)

(Increase due to changes to the way in which informal complaints are registered)



Reduction in effective enforcement action taken - other enviro-crime (fixed penalty notices and prosecutions) - 89 in quarter 1 2018/19

(In comparison to 1685 in quarter 1 2017/18 and against a cumulative target 5000)

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

Lead accountability: **Damien Wilson**, Strategic Director Regeneration and Environment and Shokat Lal, Assistant Chief Executive

Where are we now?: Between April to June 2018, the total recorded Police Anti-Social Behaviour (ASB) incidents had reduced by 32 % compared to the same period last year showing a sustained improvement over the last 12 months. The reduction is constant across all ASB categories.

The number of repeat victims of ASB was 46, a reduction of 17 from the previous quarters and again highlights a welcome trend.

At the end of the first quarter there has been a 4.3 % reduction in positive outcomes to hate crime investigations compared to the same period last year. South Yorkshire Police (SYP) have however seen an increase in satisfaction levels for how hate crime is being dealt with. The Police Hate Crime Coordinator continues to deliver a programme of awareness raising and this has included students at Thomas Rotherham College, and engagement with refugee and asylum seekers.

The Domestic Abuse Priority Group together with children's and adults commissioning services are undertaking a full review of services. The review criteria will include the barriers to victims seeking support, reducing repeat incidences and increasing the awareness of the support available.

Commissioning and Domestic Abuse Coordinators have visited other services to compare and benchmark against the current provisions. A full mapping of borough services has been completed including funding streams.

The 'Inspire to Change Perpetrator Programme' is promoting its service nationwide, however in the first quarter the Rotherham referral rate is low compared to the other areas. This has been highlighted and advertising and promotions within Rotherham are to be increased.

Performance remains high in relation to the percentage of taxi licence holders that demonstrate adherence to the requirements of the Council's Hackney Carriage and Private Hire Policy, with 100 % of taxi drivers holding the BTEC or equivalent qualification and have a taxi camera system fitted in accordance with the Council requirements.

The Licensing service proactively inspected 37 vehicles and drivers during the first quarter of 2018. Of these, 57 % of vehicles (21) and 73 % of drivers (27) were found to be compliant with taxis licensing requirements. There were 16 defects identified in the 16 non-compliant vehicles. Nine of the defects related to signage and were dealt with by way of a formal warning. Warnings were also issued in relation to defective bulbs / lamps (4) and tyres approaching the legal limit (2). One vehicle was suspended due to tyres at the legal limit. All defects were rectified during the inspection, or were found to have been rectified following re-inspection the following day.

Ten drivers were found to be non-compliant; eight of these were due to the driver not wearing their ID badge (despite the badge being present within the vehicle), these drivers were issued with warnings and instructed to wear their ID badge in accordance with their licence conditions (which they then did). One driver was issued with a warning regarding their standard of driving. The final driver was found to have failed to activate their taxi camera system. The investigation remains ongoing in relation to this matter.

The first quarter has seen an increase in class visits and craft activities, to the Council's Culture and Leisure facilities, which demonstrates that links with local schools and awareness of libraries as community group venues has improved. The role libraries play in digital inclusiveness is highlighted by increases in attendance at IT code clubs, IT classes and IT assistance sessions.

Visitor numbers are up overall against Quarter 4 but a little down across key sites compared to this time last year as a result of the poor weather in April, although good weather in June has helped visitor numbers to improve. Leisure Services have seen a decrease on the previous quarter, predominantly due to January to March being the busiest period for the leisure industry. As a contract the service has reduced the number of underperforming group exercise classes which has impacted overall exercise class attendances.

Next steps:

- Support Safeguarding Awareness week - Domestic Abuse Services and Perpetrator Programme Services to attend events and engage with attendees.
- Domestic Abuse Competency Framework to be sent to all services and agencies to ascertain training needs throughout the borough.
- Work has started on the new caravan site at Rother Valley Country Park and a car park extension at Clifton Park which will increase footfall, visitor experience and income in 2019/20, as well as making a significant contribution to economic regeneration.

Risk/issue	Mitigation
ASB, Hate Crimes and Domestic Violence - there is an ongoing recording issue with relation to outcomes for all crime types.	Work by South Yorkshire Police is ongoing to reduce and rectify these issues.
Repeat Incidences of Domestic Violence are higher than national average.	Whole borough review is being undertaken which includes mapping services and funding streams to look at a one service/one front door approach.
The Active Rotherham scheme faces a decrease in participation numbers because of the reduction in officers within the team since April 2018, This is due to the loss of external funding.	Seek to secure additional external funding sources.

Outcome: B Streets, public realm and green spaces are clean and well maintained

Lead accountability: Damien Wilson, Strategic Director Regeneration and Environment

Where are we now?: The current condition of the principal road network - category A roads and the non-principal road Network – category B and C roads - are better than the national average. The 'Highway Repair Programme' 2018 /19 includes repairs to the principal road network to the value of more than £1m to maintain the overall condition, with a similar amount allocated to category B and C roads.

The current condition of the unclassified road network – estate roads - is not as good as the national average. However, the current investment provided by the Council's capital grant of £10m over three years – this is the second year with a £4m budget – has shown a narrowing of the gap between the Council's position and the national average. The 'Highway Repair Programme 2018 /19' also includes repairs to the unclassified network.

Fly tipping offenders continue to have action taken against them with more fixed penalty notices being issued than in the first quarter of the previous financial year (7 issued in quarter 1 2018/19 in comparison with 6 in quarter 1 2017/18). No prosecutions in Court have taken place yet this financial year. The introduction of fixed penalty notices in 2017 has led to more offences being discharged through this method internally.

Other enviro-crime was addressed through the issue of 68 fixed penalty notices and 21 prosecutions in court, all successful.

48 complaints were received in quarter 1 in Street Cleansing, Grounds Maintenance, Litter and Waste Management areas, which is an increase on the same period in 2017/18. Of those received 19 were upheld. The majority of complaints were in relation to quality of service (32 of 48 complaints) with the second highest category being actions of staff (9 of 48 complaints).

The number of complaints recorded can be seasonal and an exceptionally wet spring led to a later than normal start to the grounds maintenance programme, which in turn generated an increase in complaints. Changes have been made to the way in which informal complaints are registered and from 1st of April they are now classed as formal Stage 1 complaints. This can be expected to increase the number of complaints. The increase should also be viewed in terms of the number of complaints that were upheld and in terms of these services undertaking millions of operations per year within the public realm.

Next steps:

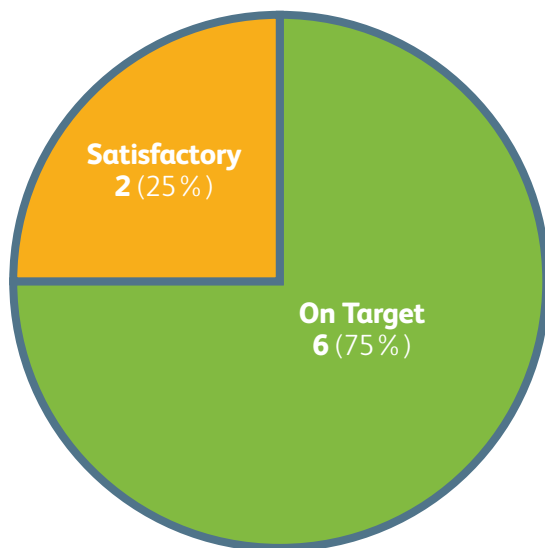
- The corporate contract for litter enforcement with Kingdom Ltd ended in January 2018 and the Council is to begin a joint contract with Doncaster Council in the coming months.

Risk/issue	Mitigation
The gap in the contractual arrangements for litter enforcement has led to a reduction during quarter 1 in comparison to last year.	Successful implementation of the joint contract with Doncaster Council.



Priority 4: Extending opportunity, prosperity and planning for the future

Performance headlines (where data is available or where targets have been set)



Areas performing well or improving



20 new businesses started with help from the Council
(Against a target of 15)



Narrowed the gap to 0.90%
(Latest data available quarter 4 2017/18 - 77.4% economically active in the borough compared to 78.3% nationally)
(lower is better)



97% of privately rented properties compliant within designated areas
(Against a target of 95%)

Areas for improvement



**134 new homes delivered
(16 via direct council
intervention)**

(In comparison to 138 in
quarter 1 2017/18 and 142
in quarter 4 2017/18)

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

Lead accountability: **Damien Wilson**, Strategic Director Regeneration and Environment and Shokat Lal, Assistant Chief Executive

Where are we now?: A development partner for Rotherham's Forge Island has been named. Muse Developments has been chosen by Rotherham Council as its preferred partner for the project.

In the Town Centre, work is on-going at the Interchange, with the reopening scheduled for spring 2019. Options are being worked up for the markets redevelopment and are due in November 2018.

Rotherham Employment and Skills Plan is under development with the assistance of Sheffield Hallam University who are carrying out research into Rotherham specific issues. This plan will link into the City Region level activity. The Apprentice of the Year final was held in June. The event was a major success and demonstrated the Council's commitment to supporting efforts to increase employment for young people.

More Founder Pioneers have joined the Rotherham Ambition Board and the number of Pioneers is now at 70. Seven Pioneer networking events have been held, the latest at the Lifewise Centre in Hellaby, with a further two scheduled for 2018. Rotherham Pioneers are active on social media including Twitter and Facebook, and the first bi-monthly e newsletter has been published.

At the Gulliver's site, work has begun to clear paths, install boundary fencing and clear overgrown areas. Construction works are expected to start within weeks and the development will open in spring 2020. Gulliver's are also exploring options to bring forward the delivery of the accommodation provision into phase 1.

The Council is working with Sheffield City Council and other partners in the Advanced Manufacturing Innovation District (AMID) to prepare a business case to support widening of Sheffield Parkway between Catcliffe and the M1, J33. Additional feasibility is being developed to address transport and infrastructure constraints in the AMID area.

The Rotherham Investment and Development Office (RiDO) continues to deliver business growth support through funded programmes and RiDO Business centres. RiDO has assisted 18 new growth enquiries over quarter 1, actively engaged with 98 Small and Medium Sized Enterprises (SMEs) and delivered 24 business assists and 72 job created outputs for the EU funded 'Growth Hub Enhancement' project. The 'Launchpad Business Start-up' programme received 85 enquiries and 21 workshops on business related topics have been delivered, attended by 160 people. The support provided created 12 new businesses.

The RiDO Business Centres continue to perform well with average occupancy at the end of June 2018 reaching a record high of 96 %. 8 early stage companies have moved into the centres over the last quarter and 7 of the 10 business centre units transferring back to RiDO following vacation by Rotherham Youth Enterprise have been re-let immediately.

The Council were awarded RTPI Planning Team of the year during the last quarter and continued to be the top performer in the whole country for determination of planning applications on time. The Council also received the Yorkshire Property Game Changer of the Year award for the McLaren investment at the Advanced Manufacturing Park (AMP) and Rotherham had the fastest growing economy in Yorkshire.

Next steps:

- Delivery of a developer and investor event during quarter 2 or quarter 3 with the private sector, promoting sites and opportunities from the 'Rotherham Local Plan'.
- Production of a draft Employment and Skills Strategy.

Risk/issue	Mitigation
Town centre as a business location.	<ul style="list-style-type: none"> • Opening of the University Centre Rotherham (UCR) in September 2018 • Appointment of development partner for Forge Island • On going delivery of the Masterplan • Refurbishment of Transport Interchange • Markets refurbishment/redevelopment planned. • Events programme for the Town Centre with representatives from business • Town Centre Task and Finish Group chaired by the Cabinet Member • Regular meetings with businesses and stakeholders • Car Parking initiatives implemented (e.g.free spaces at Drummond Street and a simplified charging system

Risk/issue	Mitigation
Impact of national/international economy on Rotherham.	<p>Difficult to mitigate, but take steps to strengthen resilience of local economy:</p> <ul style="list-style-type: none"> • AMID • 'Launchpad Start-up' programme • 'Key Account Management' programme • 'Rotherham Local Plan' in place to support business growth and expansion • Delivery of 'Town Centre Masterplan' • Rotherham Pioneers programme
Provision of a skilled and experienced workforce to drive business growth.	<ul style="list-style-type: none"> • Provision of Skills and Employment Plan • Linking businesses with UCR • Enterprise Adviser Network
Availability of funding to deliver regeneration.	<ul style="list-style-type: none"> • Council capital funds • Bidding into Sheffield City Region (SCR) funds • Securing private sector partners

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

Lead accountability: AnneMarie Lubanski, Strategic Director Adult Social Care and Housing

Where are we now?: There are many factors affecting the number of homes built in the borough. The key drivers are demand and availability of suitable land. The Council delivers a significant number of units and supports development by purchasing units for rent as council housing. However, the majority of house building is delivered by private house builders.

Land for new development has been limited in previous years in Rotherham however 'The Sites and Policies' document which was adopted on 27th June, allocates around 100 new housing sites; enough land to meet the borough's housing needs until 2029.

The Council is working hard to directly deliver new housing, to meet a range of needs and to encourage and facilitate private development. Proposals for the redevelopment of the Town Centre will also deliver new homes and it is hoped that this scheme will act as a stimulus to private development in the town centre.

The Council are working with industry partners and other agencies to facilitate delivery of more homes and an annual developer summit is taking place in November 2018 to engage developers and landowners to facilitate increased activity in the borough and widen the market offer, particularly among small and medium house builders.

At the beginning of April 2018 the Council stock figure was 20,393 of which 118 properties were identified as not meeting the decent homes standard; this equates to 0.58 % of stock not meeting the standard. As at the end of June 2018, a total of 18 properties have now become decent through either completion of capital refurbishment works or tenant refusals. As at the end of June 2018, the percentage of non-decent properties is 0.49 %.

Additional staff in the Selective Licensing team in March and April has enabled additional follow up inspections and reviews of cases in the first quarter of the financial year. This has resulted in a reduction in the number of outstanding cases to review and compliance has grown. In addition to this, the service has been able to finalise the number of unlicensed houses through the street by street mapping exercise and access to council tax records for the first time.

Next steps:

- The Council will be hosting the annual Developer Summit in November 2018 where residential development opportunities will be presented and business engagement takes place.
- The Council's own approved building programmes will directly deliver around 350 new homes over the next three years, with proposed new development in the town centre to deliver 182 homes in the same period.
- There are a total of 2,340 Licensable Houses, with 2,129 (91 %) registered. The remaining landlords have been contacted formally to warn of formal enforcement, prosecution or monetary penalties if they do not licence their rented houses.

Risk/issue	Mitigation
Some of the factors affecting the number of new homes built are beyond the Council's control.	The Council is acting where it can, through direct development and by ensuring that land is available to allow private developers to build.
Adverse weather could impact on delivery of new homes particularly in the winter months.	This will be mitigated by developing a long term housing growth development programme which has sufficient overall completions within it to compensate the immediate effects of adverse weather.

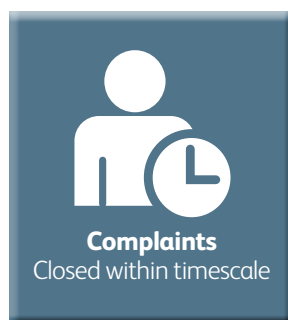


Priority 5: A modern, efficient council

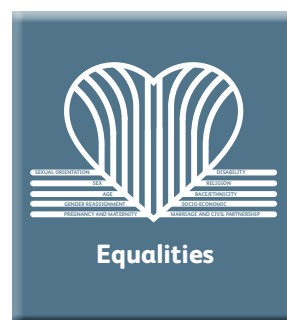
Performance headlines (where data is available or where targets have been set)



Areas performing well or improving

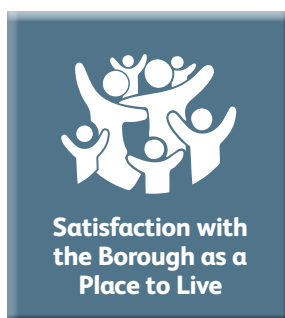


88% closed and within timescale (cumulative)
(Against a target of 85%)



74% of recommendations from the Equalities Peer review that have been implemented - 25 of the 34 actions have been completed
(Against a target of 60%)

Areas for improvement



52% of residents feel that the Council keeps them very or fairly well informed
(Against a target of >53 %)

Outcome: A Maximised use of assets and resources and services demonstrate value for money

Lead accountability: Judith Badger, Strategic Director Finance and Customer Services

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

As at the end of quarter 1 Council Tax in year collection performance is 27.41 % which is 0.25 % down on performance as at this time last year. Although it is too early in the financial year to indicate a trend, there are a number of contributing factors that may be having an impact on the in-year collection rate including the gradual roll-out of Universal Credit in some areas of Rotherham and the overall increases to the rate of council tax in 2018/19, in including precepts. Non Domestic Rates in-year collection performance is 28.86 % which is 0.15 % down on performance at this time last year, however at this time of year, this fall in collection rates is a relatively small one from Non Domestic Rates purposes when non-payment of one large account can influence the overall performance.

Next steps:

Continued monitoring of performance and redirection of resources within the Revenues and Benefits Service, where possible, to focus on effective actions to support maintaining levels of collection at those reflected within performance objectives and the Council's budget.

Risk/issue	Mitigation
Collection of Council Tax as at the end of June 2018 is 0.25 % down on performance at same time in 2017/18.	Work on the Revenues and Benefits teams is being focussed on ensuring the Council Tax target of 97 % and the Non Domestic Rates target of 98 % is achieved
Collection of Non Domestic Rate as at the end of June 2018 is 0.15 % down on performance at same time in 2017/18.	See above

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

Lead accountability: Shokat Lal, Assistant Chief Executive

Where are we now?: The pre-decision scrutiny process has become embedded within the decision-making process and has been positive in ensuring the effectiveness of governance arrangements and decision making. Regular reports are submitted by Overview and Scrutiny Management Board to Cabinet and Commissioners' Decision Making Meetings detailing the recommendations from non-executive Members. Performance continues to be good in this area with the majority of recommendations being accepted by the Cabinet. In the first quarter of the year, two recommendations were not accepted by the Cabinet in full, which has had the effect of reducing the percentage of accepted pre-decision scrutiny recommendations to 83 %.

Next steps:

- Overview and Scrutiny Members to use the Forward Plan to identify potential items for pre-decision scrutiny at an earlier stage in the preparation of a report.
- Consideration by Cabinet Members of inviting scrutiny involvement in the development of proposals for determination by Cabinet.

Risk and issues:

Risk/issue	Mitigation
Late involvement and scrutiny of proposals prior to determination does not allow sufficient time to analyse and significantly amend proposals.	Consideration of earlier involvement from scrutiny members in the development and review of draft proposals.

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

Lead accountability: Shokat Lal, Assistant Chief Executive and Judith Badger, Strategic Director Finance and Customer Services

Where are we now?: The Council has exceeded the performance target for complaints responded to on time in the first quarter and has recorded best ever performance against this target. This is evidence that despite pressures, managers are providing improving levels of customer care and the Council can be confident that customer complaints are taken very seriously.

The majority of complaints continue to be dealt with at the first stage of the complaint procedure and all complaints continue to be considered for learning and service improvement.

In addition, the Complaint Team are also involved in a programme of corporate customer care training for all front line staff. This will be part of an overall strategy of staff development designed to improve staff engagement with the complaint procedure and the service they provide to customers overall.

The Council is in the process of producing an entirely new communications strategy which incorporates a new email communication plan and enhanced use of social media. The plan also ties into the new overarching marketing plan for the Council. The plan includes the use of email to reach our residents, with a regular email update now going out that will be developed further to send targeted news and information to people.

We have also improved our communications with Members by making improvements to the content and consistency of the Member Email newsletter and have also introduced a sensible and robust media enquiry sign-off system that has meant a more efficient service in our dealings with the media outlets.

The web team are working with service departments to update the website provision for online transactions by updating information and replacing paper forms with e-forms. This will allow for easier customer access and will increase the volumes of transactions which are e-enabled. The face to face and telephony teams are actively promoting online access to services and supporting customers to use the Council's digital channels.

Next steps:

- Completing work on the communications and marketing plan
- Establishment of an effective evaluation system so that we can monitor our performance more accurately on social media
- Production of a full marketing calendar, which will identify the real key priorities that Council wants to talk about for the year ahead
- Updating and improving the Council's brand guidelines for design
- The Complaints Annual Performance Report will be presented to OSMB on 7th November 2018
- Continue active promotion of the Council's digital channels by frontline teams.

Risks and issues:

Risk/issue	Mitigation
<p>Services and managers de prioritise complaints in the face of additional pressures on their resources which will mean that performance against timescale will reduce.</p> <p>It may also mean that managers don't learn from complaints or that complaints repeat or increase which could lead to more serious risks.</p>	<p>Good performance management via central complaints team and robust learning from complaint protocols and reporting regimes to directorate management teams.</p>

<p>Resources to effectively manage and transform Customer Service delivery is a key risk given the challenging timescales and pace at which change is expected to be made and sustained.</p> <p>Delays in implementing the key underpinning Customer Service platforms (Case Management, new website, online bookings, system integrations) will have a direct impact on the ability to transform services digitally and make efficiency savings.</p>	<p>Opportunities being taken to receive support from Change and Innovation Team in the short term.</p> <p>Identification of procurement frameworks to reduce the time needed to set up new contracts.</p>
---	---

Outcome: D Effective members, workforce and organisational culture

Lead accountability: **Shokat Lal**, Assistant Chief Executive and **Mel Meggs**, Interim Strategic Director Children and Young People's services

Where are we now?: The Council Workforce Plan has five key priorities; develop good managers and leaders; value driven and high performing; develop workforce capacity and skills; recruit and retain a skilled and capable workforce; maintain a sustainable workforce. Performance is tracked via three high level key indicators, Performance Development Review (PDR) completion rate, Attendance (Sick days lost per FTE) and agency worker expenditure.

- Progress on PDR completion rates for the year has achieved the same rate of completion as at the end of the first quarter last year (69 %), and is on track for final year performance to be at or around the annual target of 95 %.
- Attendance continues to achieve the Council target of 10.3 days per full time equivalent with quarter 1 performance at 10.28 days, a reduction of 2.94 % from the same quarter in 2017-18.
- Work is underway to reduce agency expenditure and the Council is on track to exceed the 10 % reduction target by the end of the year, although the number of agency social workers in Children's Services remain behind the target set.

There has been a continuing reduction in agency staff over the last 3 months from 56 in April 2018 to 46 at the end of June 2018, and we are on target to meet forecast reductions in numbers and costs.

The new Assistant Director of HR takes up their post on the 30th July and the new HR Business Partner for Organisational Development started on the 16th July. Both posts are critical to driving forward continuous improvement in workforce related issues.

No activity has taken place in respect of undertaking Personal Development Plan interviews with Members in the first quarter. Having achieved 100 % during the 2017/18 municipal year, consideration is currently being given as to how the process can be improved and engage Members to take ownership of their personal development through the Member Development Group chaired by the Leader.

74 % of the recommendations from the Equalities Peer review have been implemented by June 2018. Actions completed have included a total refresh of the mandatory Equality and Diversity training as well as new face to face training for frontline staff on Equalities, Complaints and Customer Services. Three sessions have already been delivered to over 60 people in various Council venues. The current Equalities and Diversity policy has been refreshed as well as the Equality Analysis form and guidance. All of these are available on the Intranet on the Equality and Diversity page.

Additionally, a review has taken place of current service plans and an updated equality and diversity section has been included in each plan, with guidance that will ensure that the completion and publication of Equality Analyses is a key performance indicator within service plans.

A draft Consultation and Engagement Framework and Toolkit has been developed in partnership with key members of staff from other departments. This will ensure good consultation and engagement practice is disseminated across the organisation.

Next steps:

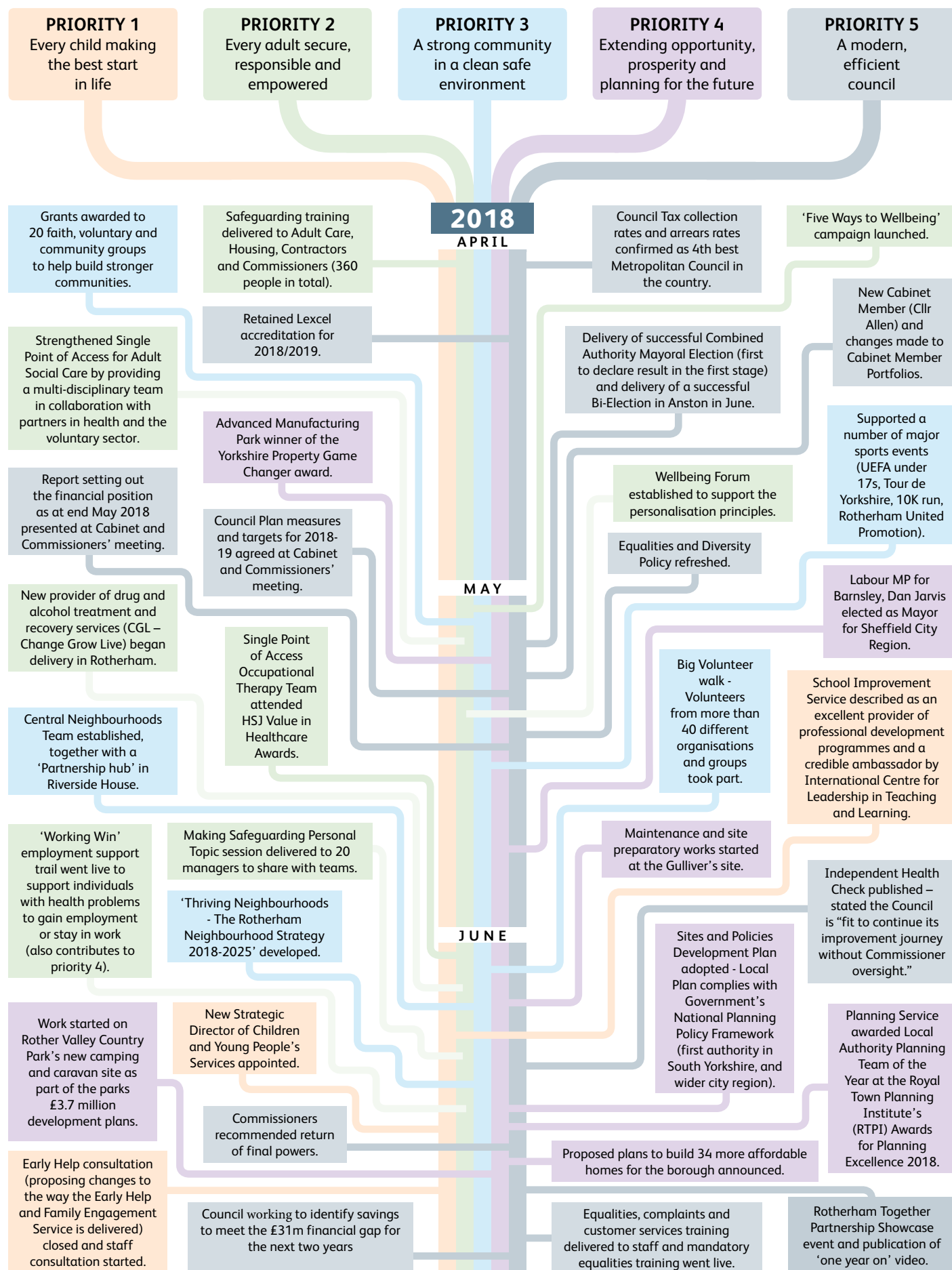
- Targeted reminders to managers have been issued highlighting employees who have not yet had a PDR recorded. During the second quarter weekly progress reporting to senior officers will take place.
- New Assistant Director of HR commenced work in late July 2018.
- A review of Organisational Development activity is to be undertaken by the new HR Business Partner and Assistant Director of HR and will be completed by the end of 2018.
- Further scrutiny of agency usage and exit strategies to take place by the Council's Workforce Management Board.
- Consideration of the future approach to undertaking Member PDP interviews by the Member and Democratic Support Panel in September 2018.
- A task and finish group has been established to review the approach to collecting workforce data. The findings from this group's work will be presented to the Corporate Equalities Group.

Risk and issues:

Risk/issue	Mitigation
Timely completion of effective PDR's is essential in ensuring employees have an opportunity to reflect on their performance and how their future objectives contribute to the overall vision of the Council.	Regular reporting on completion rates to Chief Executive and the senior leadership team is taking place.
Levels of attendance impact on flexible workforce costs, overtime and temporary workers, which can lead to potential reductions in quality of service.	Targeted intervention of hotspot areas continues.
Agency usage in Children's continues to account for 59 % of all agency expenditure. Recruitment of permanent staff is set against a national shortage.	Continued action to recruit permanent staff.
Members not aware of or engaging with development and training opportunities.	Regular publication and awareness raising of development and training opportunities through the fortnightly Member update.
Increase in social worker caseloads that are picking up extra work to cover vacant roles or long term sickness absence.	Every business case for agency workers has to go through DLT to understand the risk to service users and they are considered on an individual basis.
Introduction of reduced hourly rate through Memorandum of Understanding could result in some agency workers leaving.	The use of agency workers is now a last resort, acting up and use of Newly Qualified Social Worker's (NQSW) are being utilised which will reduce the reliance on agency staff.

Timeline of key achievements/activities

The timeline below shows some of the key achievements and activities which have taken place over Quarter 1 (April - June 2018)



Priority 1: Every child making the best start in life



Rotherham

School Improvement Service

School Improvement Service described as an excellent provider

The Rotherham School Improvement Service (RoSIS) is responsible for supporting and challenging schools to provide a high quality education for the children and young people in their institutions.

To share learning and drive up standards the School Improvement Service is leading on a Schools Partnership Project, to develop the local teaching and teaching assistant's workforce.

In June 2018 the School Improvement Service was described as an excellent provider of professional development programmes and a credible ambassador following a quality assurance visit by OLEVI, the International Centre for Leadership in Teaching and Learning.

The Council works with OLEVI to offer the Outstanding Teacher Programme (OTP); the Outstanding Teaching Assistant Programme (OTAP); and the Power of Coaching (POC) as part of the RoSIS Traded Offer.

The Quality Assurance Consultant stated:

"You have every right to feel proud of what you have achieved, especially given that it has all been achieved in a relatively short period of time. The rigour, quality, and integrity by which all decisions are based and on which all actions are made has created a positive professional movement amongst the Rotherham schools who have already engaged with you. I cannot wait to see more join the movement you have started, and for them to experience the value your early adopters and early majority are already benefitting from. Thank you."

Priority 2: Every adult secure, empowered and responsible

Single Point of Access Team shortlisted for HSJ Value Award

The Community Occupational Therapy Service are employed by health but are jointly funded between health and social care. The service receives referrals via the Social Care Single Point of Access (SPA).

The Single Point of Access Occupational Therapy Team was formed as a pilot in May 2017 to assist the wellbeing advisors and social workers within the SPA by giving immediate advice and support, and offering a rapid response to people with an urgent need for intervention. The team aims to help people remain at home and enable them to become independent. The team often visit the same day and complete joint visits, with social care colleagues, to ensure customers are safe and provided with appropriate support.

The assessment officers offer a rapid response to people needing urgent assistance with daily living activities. They also provide interventions, at the first point of contact, where the issues can be resolved quickly and effectively by equipment, minor fixing or minor adaptations to prevent falls or deterioration.



The team were previously runners up at the Rotherham NHS Foundation Trust PROUD Awards and a member of the team was awarded RMBC Employee of the Year.

In March 2018, the team were recognised for the work that they do and shortlisted for the HSJ Value (Clinical Support Service) Award. The award evening took place in June 2018 and although the team didn't win, it is a significant achievement and was a great experience for all those involved.

Case study:

Mr A lives with his wife in their own bungalow. Mr and Mrs A value their independence and had always completed all necessary tasks between them. Mr A had some health issues but was independently mobile prior to this issue using a rollator walking frame. He liked to work in his conservatory cultivating plants and other craft activities. Mr A had an infection and this took him off his feet and he felt very lacking in energy. It was hoped after treatment for the infection he would return to his former function but unfortunately this did not happen. Mr A was unable to move himself on the bed, stand to transfer or walk at all. Mr A needed to use a wheelchair for all mobility and could not get out of the house or into his conservatory as there was a small step. The couple had experience of formal carers in the past and although Mr A stated the carers were lovely people, Mr and Mrs A found it very intrusive to have carers visiting and found the times of the visits often did not coincide with his own wishes and needs. Luckily the district nurse recognised that support was needed and made a referral to Community Occupational Therapy and the contact was work flowed to the Occupational Therapy Single Point of Access Team. The team were able to visit quickly at the couple's convenience and a full assessment was

completed taking both Mr and Mrs A's needs into consideration. Mr and Mrs A were provided with access to equipment including a specific patient turner. Mr A and his wife were able to use the equipment safely and this enabled them to transfer Mr A from bed to wheelchair, wheelchair to armchair and to mobile commode.

The occupational therapist also requested an internal ramp be provided so Mr A could access his conservatory and so continue his engagement in his hobbies and interests. A referral was also made to community physiotherapy colleagues to look to further improve Mr A's abilities going forward.

This timely intervention prevented a full care package of potentially two carers, four times a

day, to support with personal care. The increased number of stands completed during the day by Mr and Mrs A, in addition to the limitations of a care package, has increased standing tolerance and maintained Mr A's physical abilities. More importantly the couples wish to remain independent and have choice over the times they complete tasks. Mr A's mental health and wellbeing was fully considered in avoiding the need for carers and by allowing access to interests which give cognitive activity and satisfaction.

Mr A stated "I am looking forward to being the man I was" and he felt more positive about the future following the Occupational Therapy intervention provided.

Improving the borough's mental health

Five Ways to Wellbeing was developed by the Government following extensive research by the New Economics Foundation. It is widely used across the country to promote positive mental wellbeing.

The Five Ways to Wellbeing campaign was launched in May 2018 in partnership with NHS Rotherham CCG, The Rotherham NHS Foundation Trust, Rotherham, Doncaster and South Humber NHS Foundation Trust, and voluntary organisations. The campaign encourages people to get active; take notice of your surroundings; connect with people; learn something new; and give something back to your community.



The new campaign aims to inform people across Rotherham that it's important to look after their mental health – putting it on an equal footing with physical health. By following these simple steps and making small changes people of all ages can feel happier, more positive and get the most from life.

Elaine Humphries lives in Clifton and is the Chair of Friends of Clifton Park. She runs a local gardening group which offers green fingered individuals the opportunity to get together and socialise. She said:

"In my view looking after your mental wellbeing – as you would your physical wellbeing – is important and socialising with others can really make a real difference. At the gardening group we come together as individuals to do an activity that we love and get the chance to have a cuppa and a chat at the same time. It may seem like a small thing but it really makes a difference to how you feel and you become part of a community. The Five Ways to Wellbeing campaign is a great idea and I hope it encourages more people to get involved – particularly men who don't always like to talk about how they're feeling or try new groups, but it's important so they don't end up feeling lonely and isolated. We have a couple of men at the gardening group who really do love it and I'd encourage more to join us!"

Priority 3: A strong community in a clean, safe environment

Groups and organisations across Rotherham benefitting from funding grants aimed at strengthening local communities

In June 2018 the Council and the Rotherham Together Partnership awarded a total of 20 faith, voluntary and community groups across the borough, with grants of up to £500 for individual groups, or more if the bid was delivered by a partnership of groups.

The grants are part-funded through the Building Stronger Communities fund, a £1.3m government pot which the Council and its partners secured last year. The scheme is intended to help bring together people who might not otherwise have the chance to meet each other, building on the reputation of Rotherham people for their friendly outlook to tackle isolation and increase community cohesion.

Examples of how the money is being used include tackling loneliness and social isolation, supporting people with learning disabilities and promoting understanding.

One group to benefit is Rotherham Deaf Future, which will use its £500 grant to fund the start-up of a café at Springwell Gardens Community Centre. The café will serve both the deaf and

hearing community with the help of interpreters and will encourage working together and making new friendships. Steve Ruffles, Chief Executive of Rotherham Fed, which supports Rotherham Deaf Future said: “This small grant really enables the deaf community and Rotherham Deaf Future to develop their ideas for a community café and take this work forward. It’s a great opportunity for this group.”

Also set to benefit is One Voice – a new group recently set up in the Ferham area. The aim of the group is to promote social cohesion among women, reduce isolation and increase women’s participation and civic engagement.

Rotherham Pride, an organisation for the lesbian, gay, bisexual and trans community (LGBT), is set to hold Rotherham’s biggest LGBT+ event in the town centre on July 14. They bid in partnership with several other organisations involved in the festival and received £1,000. Kirsty Fletcher, from Rotherham Pride added: “The funding will provide a dedicated interactive workshops and activities area at Rotherham Pride which celebrates LGBT+ culture, history and diversity. The aim is to enhance community cohesion through education and awareness-raising.”

Priority 4: Extending opportunity, prosperity and planning for the future

Ambitious house building programme underway

Rotherham Council has an ambitious house building programme underway and has committed over £50m of Housing Revenue Account (HRA) capital resources over the next four years to deliver more than 400 new homes, the majority of which will be affordable homes to meet the needs of households on the housing register (which is currently approximately 6,700 strong), and struggling first time buyers. Many of these will be targeted at specific groups such as older people, young vulnerable people and households with a disabled family member, to ensure Rotherham's local housing needs are met and to help to improve people's health and wellbeing and independence. The main elements of the Council's HRA new build programme are set out below.

The Site Clusters programme will deliver 217 homes on seven sites across the borough. The Council's innovative partnership with Wates Construction is enabling non-viable sites to be developed by linking them with higher value sites, using sales receipts to support Council housing in areas where it is most needed. This is the first time the Council has used HRA resources to build homes for sale and shared ownership, alongside Council rented homes, and it demonstrates its

commitment to stimulating housing growth by making the best use of land and the HRA. Homes England has contributed grant funding of £30K per unit for 108 of the homes, under the Shared Ownership and Affordable Housing Programme (SOAHP). All homes will be completed by 2020.

The Council is developing a further 119 homes in various schemes across Rotherham, with support from Homes England under SOAHP. Again, these are funded by the HRA with a £30K per unit contribution from Homes England grant. The programme is delivering Council rent and shared ownership homes and includes the redevelopment of sites at Bellows Road, Rawmarsh (58 Council rent and Shared Ownership) and Rothwell Grange (40 Council rent and Shared Ownership). This programme also includes 21 specialist bungalows for older and / or disabled people. All homes will be completed by 2021.

In addition, the Council has plans to deliver 12 bungalows using Modern Methods of Construction (MMC), build further 53 homes for Council rent and home ownership at the former Henley's garage site in the town centre and purchase new build properties to increase Council housing stock. MMC can deliver homes more quickly, to a higher quality and energy efficiency standard, and with minimal disruption, the bungalows will be completed in 2019. The development of the former Henley's Garage site will see the regeneration of a derelict site and provide affordable homes in the town centre. The Council continues to purchase new build properties where this offers value for money and strategic fit, to ensure we can continue to provide affordable Council rented homes in areas where they are most needed. Over 100 have been purchased to date and there are 36 more are in the current pipeline.



Priority 5: A modern, efficient council

Independent Health Check

In February - March 2018 and at the request of the Commissioners, a team of experienced senior executive officers and political leaders conducted a health check of Rotherham Council, to provide an independent critique as to whether intervention in Rotherham had served its purpose. In June 2018, the outcome of this health check was published, and confirmed that the Council is fit to continue its improvement journey without Commissioner oversight. As a result of this outcome, the Commissioners have recommended to the Secretary of State that the last remaining powers are returned to the Council and that Commissioners are removed ahead of the scheduled date of February 2019.

This is a significant step in the Rotherham Improvement Journey. Since February 2015, Rotherham Council has been operating under the intervention of Commissioners who were appointed by central government following the serious failings across the authority regarding child sexual exploitation. As improvements have been made, powers have gradually been returned to the Council, with the exception of Children

and Young People's Services. The outcome of the health check demonstrates the significance of the progress made over the past three years, and the fact that there is a solid base for improvements to continue.

The independent health check report stated: 'the Council's governance, decision-making and organisational culture is being transformed and is already much improved. The speed and extent of the improvements delivered since 2015 are impressive.' The team also said that 'we experienced a Council that has shifted from denial about its failures to collective and personal ownership of problems and challenges. We saw a developing culture of accountability, honesty, transparency, openness and engagement.'

This judgement was reinforced by the Council's partners, and one of the most powerful comments within the health check report was made by a partner, who described the Council's current organisational culture as 'unrecognisable' when comparing the ways of working across the Council to how it operated a few years ago. Ultimately, this is a vital acknowledgement of the way that the Council has been transformed.

Performance Scorecard





Priority 1: Every child making the best start in life


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


Outcome	Lead	Ref No	Action	Measure	Lead Officer	Good Performance	Frequency of Reporting	Target	Overall status	DOT	Annual			Quarterly					Monthly			Data notes (where measure has not progressed in accordance with the target set provide details of what is being done to improve performance)
											Year end 2015/16	Year end 2015/16	Year end 2017/18	Q1 Apr-June 2017	Q2 Jul-Sep 2017	Q3 Oct-Dec 2017	Q4 Jan-Mar 2018	Q1 Apr-June 2018	Apr-18	May-18	Jun-18	
A. Children, young people and families are protected and safeguarded from all forms of abuse, violence and neglect	Mel Meggs, Deputy Strategic Director Children and Young People's Services	1.A1	Early Help – Early Help service to identify and support families at the right time to help prevent social service involvement	Reduction in Children in Need rate (rate per 10K population under 18)	Mel Meggs CYPs	Low	Monthly	375.5			320	359.8	411.0	382.4	342.1	403.8	411.0	435.2	430.8	435.9	435.2	There is no good or bad performance however the aim is to ensure performance is in line with the national average. The demand at the end of Qtr 1 (435.2) shows a further increase and continues the pattern of demand. Data suggests the Council are above the statistical neighbour average (372.7) and the national average (337.7). N.B. Following data validation, performance has been refreshed where necessary.
		1.A2		Reduction in the number of children subject to a CP plan (rate per 10K population under 18)	Mel Meggs CYPs	Low	Monthly	99.6			65.4	65.6	114.5	75.3	91.7	107.1	114.5	114.7	116.3	113.8	2	There is no good or bad performance however the aim is to ensure performance is in line with the national average. The trend for the number of children with a Child Protection Plan (CPP) continues to increase and remains significantly higher than that of statistical neighbours (56.6) and the national average (43.3). Internal and external scrutiny has indicated that risk is being appropriately identified and that for those children with a CPP it is the appropriate plan.
		1.A3		Reduction in the number of Looked After Children (rate per 10k population under 18)	Mel Meggs CYPs	Low	Monthly	99.1			76.6	86.6	110.8	91.5	91.5	103.9	110.8	114.5	110.4	113.1	114.5	There is no good or bad performance however the aim is to ensure performance is in line with the national average. The rate per 10,000 of the population now stands at 114.5 as compared to the statistical neighbour average of 81.3 and the national average of 62 (as reported at March 2017). N.B. Following data validation, performance has been refreshed where necessary.
		1.A4		Increase the proportion of families who rate the Early Help service as Good or Excellent.	David McWilliams CYPs	High	Monthly	95 %			Not Available	Not Available	Not Available	Not	Not	Not	Not	94.3 %	100 %	83.0 %	100 %	35 Exit Surveys were returned during quarter 1 from families who had been supported by the Early Help Service. 94.3 % of these respondents rated their overall experience as Good or Excellent.
		1.A5	Children's Social Care Improvement Ensure that all Child Protection Plan work is managed robustly and that appropriate decisions and actions are agreed with partner agencies	% children who are subject to repeat child protection plans (within 24 months)	Mel Meggs CYPs	Low	Monthly	9 %			4.7 %	9.2 %	9.5 %	11.4 %	9.5 %	10.1 %	9.5 %	7.3 %	8.8 %	8.2 %	7.3 %	As this is a 'rolling year indicator' this considers referral data for the 12 months prior to 31st March 2018. The proportion of children subject to repeat plans has started to see an improving trend. N.B. Following data validation, performance has been refreshed where necessary.
		1.A6	Child Sexual Exploitation - an increased awareness of CSE and an increase in the number of police prosecutions as a result of joint working	Number of children and young people with a currently assessed as medium/high risk of CSE (CSE cohort)	Mel Meggs CYPs	Not applicable	Monthly	No target - not applicable			Not Available	64	85	55	68	86	85	74	81	73	74	There is no good or bad performance in relation to this measure.
		1.A7	Placements - Improve Quality of Care for looked after children	Reduce the number of disrupted placements. Definition: % of LAC who have had 3 or more placements - rolling 12 months	Mel Meggs CYPs	Low	Monthly	10.8 %			13.0 %	11.9 %	13.4 %	12.9 %	13.7 %	11.6 %	13.4 %	12.9 %	13.9 %	14.0 %	12.9 %	Despite the further increase in LAC numbers performance in relation to placements remains fairly consistent. The measure for proportion of LAC experiencing three or more placement moves isnt hitting target but it also isnt seeing the declines experienced in some other areas. N.B. Following data validation, performance has been refreshed where necessary.
		1.A8		Increase the proportion of LAC placed within Family Based settings	Mel Meggs CYPs	High	Monthly	85.0 %			Not Available	81.1 %	81.0 %	79.1 %	82.8 %	83.3 %	81.0 %	81.1 %	81.4 %	81.0 %	81.1 %	Performance remains relatively stable at present but it is even more positive to note that despite the numbers of LAC increasing from 607 at the end of January to 648 at the end of June, the percentage of children in family based settings has remained fairly constant.


Priority 1: Every child making the best start in life


- 

Measure progressing above or in line with target set
- 












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

Measure has not progressed in accordance with target set
- 


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


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


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


Outcome	Lead	Ref No	Action	Measure	Lead Officer	Good Performance	Frequency of Reporting	Target	Overall status	DOT	Annual			Quarterly					Monthly			Data notes (where measure has not progressed in accordance with the target set provide details of what is being done to improve performance)
											Year end 2015/16	Year end 2015/16	Year end 2017/18	Q1 Apr-June 2017	Q2 Jul-Sep 2017	Q3 Oct-Dec 2017	Q4 Jan-Mar 2018	Q1 Apr-June 2018	Apr-18	May-18	Jun-18	
B. Children and Young people are supported to reach their potential	Mel Meggs, Deputy Strategic Director Children and Young People's Services	1.B1 (a)	Sustainable Education and Skills	% of pupils reaching the expected standard In reading, writing and mathematics combined at the end of Key Stage 2	Dean Fenton, Interim Education and Skills Lead	High	Academic Year	65 %			53.9 %	60.8 %	61.4 %									The ROSIS traded service offer to schools contains a range of CPD activities linked to the areas for improvement / borough wide priorities..
		1.B1 (b)		The average attainment 8 score at the end of Key Stage 4. The progress 8 measure from the end of primary school (KS2) to the end of secondary school (KS4)	Dean Fenton, Interim Education and Skills Lead	High	Academic Year	47 +0.08			48.8 +0.04	45 +0.06	Available Sept/Oct 2018									2018 data isn't available until Sept/ Oct 2018 The average Attainment 8 score decreased by 3.8 points in 2017. National averages also decreased by 3.7 (state-funded) and 3.9 (all schools). The Progress 8 score is +0.06 in 2017; this is 0.09 above the national average score of -0.03.
		1.B2 (a)	Sustainable Education and Skills – Reduce the number of school days lost to exclusion	Reduction in the number of exclusions from school which are i) Fixed term (Secondary school)	Dean Fenton, Interim Education and Skills Lead	Low	Monthly	2,500 Academic Yr			3,555	3,116	Not yet available	745	544	1097	791 (YTD 2191) (cumulative)	634	139	347	123	The Educated Out Of School Team (EOTAS) continue to monitor fixed term exclusions and act on trigger points to address with schools. Advice is provided to schools and families for children at risk of exclusion.
		1.B2 (b)		Reduction in the number of exclusions from school which are ii) Fixed term (Primary school)		Low	Monthly	280 Academic Yr			406	358	Not yet available	110	50	146	85 (YTD 260) (cumulative)	116	33	54	29	
		1.B3	Sustainable Education and Skills – Enable hard to reach young people to achieve their full potential through education employment or training	% of 16-17 year olds NEET or whose activity is Not Known (NK) % 16-17 year old NEET % 16-17 year olds whose activity is Not Known	David McWilliams CYPs	Low	Monthly	5.8 % combined i) 3.3 % (NEET) ii) 2.5 % (Not Known) (Local Annual target based on Dec, Jan, Feb Ave)			Not Available	5.7 % combined i) 2.6 % (NEET) ii) 3.1 % (Not Known)	5.8 % combined i) 3.3 % (NEET) ii) 2.5 % (Not Known)	7.0 % combined i) 4.1 % (NEET) ii) 2.9 % (N)	17.3 % combined i) 1.7 % (NEET) ii) 15.6 % (Not Known)	7.2 % combined i) 3.2 % (NEET) ii) 4.0 % (Not Known)	5.3 % combined i) 3.3 % (NEET) ii) 2.0 % (Not Known)	6.5 % combined i) 3.5 % (NEET) ii) 3.0 % (Not Known)	5.9 % combined i) 3.4 % (NEET) ii) 2.5 % (Not Known)	6.4 % combined i) 3.4 % (NEET) ii) 3.0 % (Not Known)	6.5 % combined i) 3.5 % (NEET) ii) 3.0 % (Not Known)	Local annual target is based on December, January & February average.
		1.B4	Sustainable Education and Skills – Enable hard to reach young people to achieve their full potential through education employment or training	Increase the proportion of Education and Health Care Plans completed in statutory timescales (based on NEW plans)	Dean Fenton, Interim Education and Skills Lead	High	Monthly	Qtr 1 - 45 % Qtr 2 - 65 % Qtr 3 - 75 % Qtr 4 - 90 % (in period) 2018/19 - 70 % (cumulative)			58.30 %	52 %	57 %	47 %	87 %	40 %	52 %	48 %	41 %	53 %	46 %	


Priority 1: Every child making the best start in life


- 

Measure progressing above or in line with target set
- 





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

Measure has not progressed in accordance with target set
- 

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

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

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

Outcome	Lead	Ref No	Action	Measure	Lead Officer	Good Performance	Frequency of Reporting	Target	Overall status	DOT	Annual			Quarterly					Monthly			Data notes (where measure has not progressed in accordance with the target set provide details of what is being done to improve performance)
											Year end 2015/16	Year end 2015/16	Year end 2017/18	Q1 Apr-June 2017	Q2 Jul-Sep 2017	Q3 Oct-Dec 2017	Q4 Jan-Mar 2018	Q1 Apr-June 2018	Apr-18	May-18	Jun-18	
C. Children, young people and families are enabled to live healthier lives	Terri Roche, Director Public Health	1.C1	Deliver services for the 0-19 year olds – to support children and families to achieve and maintain healthier lifestyles	Smoking status at time of delivery (women smoking during pregnancy)	Jo Abbott Public Health	Low	Quarterly	18 %			18.1 %	17.0 %	19.9 %	20.0 %	21.2 %	21.1 %	17.1 %	n/a (est. Sep18)				Overall status shown as green as data for the latest quarter available (Q4 2017/18) was 17.1 % and below the Target level of 18 % (lower is better) Therefore, at this quarter the measure is progressing above or in line with the target set (criteria for rating as green)
		1.C2		Childhood immunisation - % of eligible children who received 3 doses of DTaP / IPV / Hib vaccine at any time by their 2nd birthday (diphtheria, tetanus and pertussis/ polio/Haemophilus influenza type b)		High	Quarterly	95 %			96.7 %	96.7 %	n/a (due Sep18)			96.7 %	97.9 %	n/a (est. Sep18)				

Priority 2: Every adult secure, empowered and responsible

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

Outcome	Lead	Ref No	Action	Measure	Lead Officer	Good Performance	Frequency of Reporting	Target	Overall status	DOT	Annual			Quarterly					Monthly			Data notes (where measure has not progressed in accordance with the target set provide details of what is being done to improve performance)
											Year end 2015/16	Year end 2015/16	Year end 2017/18	Q1 Apr-June 2017	Q2 Jul-Sep 2017	Q3 Oct-Dec 2017	Q4 Jan-Mar 2018	Q1 Apr-June 2018	Apr-18	May-18	Jun-18	
A. Adults are enabled to live healthier lives	Terri Roche, Director of Public Health	2.A1 (a)	Implement Health and Wellbeing Strategy to improve the health of people in the borough	Successful completion of drug treatment – a) opiate users (aged 18-75)	Jo Abbott Public Health	High	Quarterly	1.5% increase on the value at new provider starting point (ie April 2018)			6.3% (2015)	3.9% (2016)	Not yet available	3.9%	3.5%	4.4%	4.1%	n/a (est. Aug18)				
		2.A1 (b)		Successful completion of drug treatment –b) non-opiate users (aged 18-75)	Jo Abbott Public Health	High	Quarterly	No national target. Local ambition to be within LA Comparators Top Quartile			42.9% (2015)	36.9% (2016)	Not yet available	36.9%	36.8%	34.6%	32.5%	n/a (est. Aug18)				
		2.B1	We must ensure we make safeguarding personal	Proportion of Safeguarding Adults at risk who felt their outcomes were met.	Andrew Wells Head of Service Safeguarding & Professional Practice	High	Quarterly	96.6%			72%	85%	98.3%	99%	97%	96.20%	98.5% (cumulative)	96.60%				Q1 data based on 86 individuals setting outcomes. 3 Individuals were recorded as not achieving their outcomes. Due to small numbers involved this has impacted DOT although current score remains above target.
		2.B2		No. of Safeguarding investigations (Section 42 enquiries) completed per 100,000 population adults (over 18 years)		High	Quarterly	336			278	214	314	68	144	244	358 (cumulative)	64.77				Q1 Based on 133 S42 Enquiries completed . Performance based on rate per 100,000 population. Target equates to 689 completed S42 Enquiries
B. Individuals and carers are supported to be safe, independent and resilient within a personalised model of care and support	Anne Marie Lubanski, Strategic Director Adult Social Care and Housing	2.B3	We must ensure that information, advice and guidance is readily available (e.g. b increasing self assessment) and there are a wide range of community assets which are accessible	Number of people who are provided with information and advice at first point of contact (to prevent service need).	Jenny Anderton Interim Head of Service - Single Point of Access and Enablement Services	High	Quarterly	2,750			944 (Nov-Mar)	2,780	2,452	566	573	658	655	884				
		2.B4	Improved approach to personalised services – always putting users and carers at the centre of everything we do	Proportion of Adults receiving long term community support who received a direct payment (excludes managed accounts)	Gordon Waigand Head of Service Localities, Transitions and High Cost Placements	High	Quarterly	22%			17.5%	19.2%	20.30%	20%	20%	19.80%	19.98% (As at end of period)"	20.50%				Performance trajectory expected to improve as cohort reviewing activity increases Q2 onwards.
		2.B5		Number of carers assessments		High	Quarterly	567			2,420	771	2,051	484	502	502	563	123				Methodology changed for 2018-19 to measure carer’s assessed on their own not with the cared for person (joint assessment). Current data does not include MH partner data.
		2.B6	Modernise Enablement Services to maximise independence, including:	The proportion of people (65+) offered the reablement service after discharge from hospital	Jenny Anderton Interim Head of Service - Single Point of Access and Enablement Services	High	Annual	2.6%			1.7%	1.8%	2.24%				2.24%					Data for indicator captured in Q3.
		2.B7	• Intermediate care • Enabling • Prevention agenda • Developing community assets	Proportion of new clients who receive short term (enablement) service in year with an outcome of no further requests made for		High	Quarterly	83%			86.1%	81.9%	88.5%	87.5%	88.0%	87.4%	88% (cumulative)	89.0%				

Priority 2: Every adult secure, empowered and responsible

- ✔

Measure progressing above or in line with target set
- Measure progress has been satisfactory but is not fully reaching target set
- ✘

Measure has not progressed in accordance with target set
- ⚙️

Measure under development (e.g. awaiting data collection or target-setting)
- Measure not applicable for target (e.g. baseline year, or not appropriate to set a specific target)
- Measure information not yet available (e.g. due to infrequency or timing of information/data)

Outcome	Lead	Ref No	Action	Measure	Lead Officer	Good Performance	Frequency of Reporting	Target	Overall status	DOT	Annual			Quarterly					Monthly			Data notes (where measure has not progressed in accordance with the target set provide details of what is being done to improve performance)
											Year end 2015/16	Year end 2015/16	Year end 2017/18	Q1 Apr-June 2017	Q2 Jul-Sep 2017	Q3 Oct-Dec 2017	Q4 Jan-Mar 2018	Q1 Apr-June 2018	Apr-18	May-18	Jun-18	
B. Individuals and carers are supported to be safe, independent and resilient within a personalised model of care and support	Anne Marie Lubanski, Strategic Director Adult Social Care and Housing	2.B8	We must commission service effectively working in partnership and co-producing with users and carers. We must use our resources effectively	All age numbers of New permanent admissions to residential nursing care for adults	Gordon Waigand Head of Service Localities, Transitions and High Cost Placements	Low	Quarterly	305	✔	⬆	432	356	334	76	148	233	351 (Cumulative)	70				includes estimate of short stays which will become permanent (10 per quarter).
		2.B9		All age total number of people supported in residential/nursing care for adults	Richard Smith Interim Assistant Director of Independent Living and Support	Low	Quarterly	950	●	⬆	1,288	1,111	1,023	1,091	1,101	1,026	1023 (As at end of period)	998				Q1 has seen a positive DOT with the reduction of 25 long term residential/ nursing placements. Reviewing of lengthy short term placements could impact and will be monitored monthly.

Priority 3: A strong community in a clean, safe environment

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

Outcome	Lead Accountability (Strategic Director)	Ref No	Action	Measure	Lead Officer	Good Performance	Frequency of Reporting	Target	Overall status	DOT	Annual			Quarterly					Monthly			Data notes (where measure has not progressed in accordance with the target set provide details of what is being done to improve performance)
											Year end 2015/16	Year end 2015/16	Year end 2017/18	Q1 Apr-June 2017	Q2 Jul-Sep 2017	Q3 Oct-Dec 2017	Q4 Jan-Mar 2018	Q1 Apr-June 2018	Apr-18	May-18	Jun-18	
A. Children, young people and families are protected and safeguarded from all forms of abuse, violence and neglect	Damien Wilson, Strategic Director Regeneration and Environment	3.A1 (a)	Ensure that the Safer Rotherham Partnership is robust and fit for purpose. Develop an effective Community Safety Strategy and Performance Management Framework	Public perception of ASB (via the "Your Voice Counts" quarterly survey)	Tom Smith Regeneration and Environment	Low	Quarterly	32%			30%	32%	34%	35% (3% increase on target)	34% (2% ahead of 16/17 outturn and 1% decrease on Q1)	34% which is a 4% increase on the same period 16/17.	33% which is a 1% increase on the same period 16/17 but a 1% reduction on Q3.	34%				(Source of Data: Your Voice Counts Survey- Question, 'How much of a problem is ASB in your area' - % of respondees who perceive as a problem)) All 3 neighbouring authorities, Sheffield, Doncaster and Barnsley have shown a return of > 34% for Q1
		3.A1 (b)		Reduce the number of repeat victims of ASB		Low	Quarterly	80 or fewer repeat callers per quarter					77	85 callers came under the repeat victim criteria	94	67	63	46				The positive direction of progress has continued this quarter.
		3.A2		An increase in the % of positive outcomes over the year, for reported Hate Crime cases		High	Quarterly	20%			38%	22%	Currently not available, see data notes	13.95% which equates to a -0.7% reduction on the same period last year.	15.19% which equates to a 2% increase on the same period last year.	17.86% which equates to a 2% increase on the same period last year	Currently not available, see data notes	9.64% which equates to a 4.3% reduction on the same period last year.*				Q4 data is available but service advises that due to potential unreliability caused by SYP transitioning between 2 computer systems it has not been included. Some investigations are ongoing, therefore, no outcome has been recorded for these yet.
		3.A3 (a)		Total number of referrals to Domestic Abuse support services		High	Quarterly	Baseline year										692				Data derived from Rotherham Rise, IDVAS, Rotherham Abuse Counselling Service.
		3.A3 (b)		% of people receiving Domestic Abuse support who are satisfied with the service		High	Annual	Baseline Year														This is a brand new measure, first data will be available Q4, although work will continue through the year to ensure correct methodology for obtaining data is in place.
		3.A4 (a)	Ensure an robust, effective and efficient licensing service	The number of on the spot inspections of taxis		High	Quarterly	Baseline year										37				The Licensing service proactively inspected 37 vehicles and drivers during the first quarter of 2018. Of these, 57% of vehicles (21) and 73% of drivers (27) were found to be compliant with licensing requirements. There were 16 defects identified in the 16 non-compliant vehicles. Nine of the defects related to signage and were dealt with by way of a formal warning. Warnings were also issued in relation to defective bulbs / lamps (4) and tyres approaching the legal limit (2). One vehicle was suspended due to tyres at the legal limit. All defects were rectified during the inspection, or were found to have been rectified following re-inspection the following day.
		3.A4 (b)		The % of taxis found to be compliant with the licensing regime during on the spot inspections.		High	Quarterly	Baseline year										57%				
		3.A5 (a)	Rotherham residents are satisfied with their local area and borough as a place to live	a) How satisfied or dissatisfied are you with your local area as a place to live	Christopher Burton, Assistant Chief Executive's office	High - very or fairly satisfied	6 monthly	>79%			79% June 2015 82% December 2015 satisfied or fairly satisfied	80% June 2016 81% December 2016 satisfied or fairly satisfied	79% June 2017 75% February 2018 Very or fairly satisfied	79% (Wave 5 June 2017) satisfied or fairly satisfied			75% (Wave 6 February 2018) Very or fairly satisfied	79% (Wave 7 June 2018) Very or fairly satisfied				Work is being done on a new marketing calendar that will include the council's priorities for communications to residents. Central to this will be enhancing the public view of the borough by highlighting and promoting the future direction of travel for things like the town centre masterplan.

Priority 3: A strong community in a clean, safe environment

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

Outcome	Lead Accountability (Strategic Director)	Ref No	Action	Measure	Lead Officer	Good Performance	Frequency of Reporting	Target	Overall status	DOT	Annual			Quarterly					Monthly			Data notes (where measure has not progressed in accordance with the target set provide details of what is
											Year end 2015/16	Year end 2015/16	Year end 2017/18	Q1 Apr-June 2017	Q2 Jul-Sep 2017	Q3 Oct-Dec 2017	Q4 Jan-Mar 2018	Q1 Apr-June 2018	Apr-18	May-18	Jun-18	
A. Children, young people and families are protected and safeguarded from all forms of abuse, violence and neglect	Damien Wilson, Strategic Director Regeneration and Environment	3.A5 (b)	Rotherham residents are satisfied with their local area and borough as a place to live	b) Overall, all things considered, how satisfied or dissatisfied are you with Rotherham Borough as a place to live	Christopher Burton, Assistant Chief Executive's office	High - very or fairly satisfied	6 monthly	>69%			69% June 2015 61% December 2015 very or fairly satisfied	62% June 2016 66% December 2016 very or fairly satisfied	56% February 2018 Very or Fairly Satisfied				56% (Wave 6 February 2018) Very or Fairly Satisfied	57% (Wave 7 June 2018) Very or Fairly Satisfied				Work is being done on a new marketing calendar that will include the council's priorities for communications to residents. Central to this will be enhancing the public view of the borough by highlighting and promoting the future direction of travel for things like the town centre masterplan.
		3.A6	Create a rich and diverse cultural offer and thriving Town Centre	Number of engagements with the Council's Culture and Leisure facilities which help adults and children learn , develop their skills or get a job. Regeneration and Environment	Polly Hamilton Regeneration and Environment	High	Quarterly	320,000 cumulative annual target.					400,228	102,809	94,387	101,789	101,243 (Cumulative)	109,074				Heritage engagements are down slightly on Q1 17/18, (by 301). Although class visits are up on Q1 17/18, Family Fun days are down and account mainly for the decrease. Green spaces show an increase in visitors on the last 2 quarters of last year due to seasonal reasons and the repair of the Clifton Park Visitor counters.
		3.A7		Customer satisfaction with culture, sport and tourism services		High	Quarterly	a) Libraries and CSC >90% b) Heritage Sites >90% c) Parks and Opens Spaces >82% d) Sport and Leisure Facilities >95%					a- Libraries & CSC) 99.9% b- Heritage Sites) 91% c- Parks and Open Spaces) 84% d- Sport & Leisure Facilities) 95%	a- Libraries & CSC) 97.98% b- Heritage Sites) 95.45% c- Parks and Open Spaces) 84.50% d- Sport & Leisure Facilities) 95%	a- Libraries & CSC) 99.70% b- Heritage Sites) 87.47% c- Parks and Open Spaces) 84.50% d- Sport & Leisure Facilities) 95%	a- Libraries & CSC) 99.76% b- Heritage Sites) 92.57% c- Parks and Open Spaces) 82.65% d- Sport & Leisure Facilities) 95%	a- Libraries & CSC) 99.01% b- Heritage Sites) 89.2% c- Parks and Open Spaces) 82.65% d- Sport & Leisure Facilities) 95%	a- Libraries & CSC) 98.76% b- Heritage Sites) 86.6% c- Parks and Open Spaces) 82.65% d- Sport & Leisure Facilities) 95%				Heritage: Clifton Park Museum Visitor Finder 84%; Facebook 88%, Trip Advisor 100%: Boston Castle 80%: Archives and Local Studies remote survey; 81%. NB- Museum visitor finder estimated awaiting verified data.
		3.A8	Number of visits to the Councils, Culture and Leisure facilities a - Libraries b - Clifton Park Museum, archives and other heritage sites c - Civic Theatre d - Country Parks (Rother Valley, Thyrbergh and Clifton Park) e - Visitor Information Centre f - Events g - Engagement and Outreach Activities h - Leisure Centres i - Other activities delivered by Third Parties			High	Quarterly	3,000,000 cumulative annual target					a: 538,851 b: 110,217 c: 86,981 d: 1,034,416 e: 47,326 f: 69,660 g: 31,205 h: 1,296,570 i: 1,320 Total no. of visits = 3,216,546	a: 151,538 b: 37,167 c: 18,358 d: 293,573 e: 0 f: 9200 g: 7,609 h: 341,501 i: 1320 (est) Total no. of visits = 820,266	a: 133,092 b: 44,758 c: 10,127 d: 283,770 e: 12,326 f: 52,800 g: 9,298 h: 304,896 i: 0 Total no. of visits = 851,067	a: 126,700 b: 14,508 c: 34,785 d: 186,426 e: 11,443 f: 7,560 g: 6,823 h: 304,920 i: 0 Total no. of visits = 693,165	a: 127,521 b: 13,784 c: 23,711 d: 270,851 e: 11,446 f: 100 g: 7,271 h: 345,253 i: 0 Total no. of visits = 799,937	a: 155,196 b: 35,532 c: 17,875 d: 555,368 e: 0 f: 6,250 g: 2,490 h: 341,787 i: 0 Total no. of visits = 1,114,498				Heritage visitor numbers are slightly down,(1,635) on Q1 17/18 but higher than Q1 16/17. Service expects target for the year to be achieved.

Priority 3: A strong community in a clean, safe environment

- ✔

Measure progressing above or in line with target set
- Measure progress has been satisfactory but is not fully reaching target set
- ✖

Measure has not progressed in accordance with target set
- ⚙

Measure under development (e.g. awaiting data collection or target-setting)
- Measure not applicable for target (e.g. baseline year, or not appropriate to set a specific target)
- Measure information not yet available (e.g. due to infrequency or timing of information/data)

Outcome	Lead	Ref No	Action	Measure	Lead Officer	Good Performance	Frequency of Reporting	Target	Overall status	DOT	Annual			Quarterly					Monthly			Data notes (where measure has not progressed in accordance with the target set provide details of what is being done to improve performance)
											Year end 2015/16	Year end 2015/16	Year end 2017/18	Q1 Apr-June 2017	Q2 Jul-Sep 2017	Q3 Oct-Dec 2017	Q4 Jan-Mar 2018	Q1 Apr-June 2018	Apr-18	May-18	Jun-18	
B. Streets, public realm and green spaces are clean and well maintained	Damien Wilson, Strategic Director Regeneration and Environment	3.B1 (a)	Deliver a cleaner, greener Rotherham to ensure that it is a safe Rotherham to ensure that it is a safe and attractive place to live, work and visit	Percentage of the principal road network in need of significant repair	Tom Smith Regeneration and Environment	Low	Annual	3 %	■		3 %	3 %	2 %			2 %						The current condition of the Principal Road Network - Category A roads - is better than the National Average. The Highway Repair Programme 2018 /19 includes repairs to the Principal Road Network to the value of more than £1m to maintain the overall condition.
		3.B1 (b)		% of the non-principal road networks in need of repair		Low	Annual	6 %	■		6 %	7 %	5 %			5 %						The current condition of the None Principal Road Network - Category B and C roads - is better than the National Average. The Highway Repair Programme 2018 /19 includes repairs to the None Principal Road Network to the value of more than £1m to maintain the overall condition.
		3.B1 (c)		% of unclassified roads in need of repair		Low	Annual	22 %	✖	⬇	24 %	23 %	23 %	23 %	23 %	23 %	23 %	24 %				The current condition of the Unclassified Road Network – estate roads - is not as good as the National Average. However, the current investment provided by the Councils Capital Grant of £10m over three years – this is the second year with a £4m budget – has shown a narrowing of the gap between the Councils position and the national average. The Highway Repair Programme 2018 /19 includes repairs to the Unclassified Network.
		3.B2 (a)		Effective enforcement action taken where evidence is found a) Fly Tipping (fixed penalty notices and		High	Monthly	37+ (50 % increase in prosecutions for the year)	✔	⬆	Not available baseline year	25	42	6	12 (cumulative)	23 (cumulative)	42 (cumulative)	7	1	4	2	7 Fixed Penalty Notices have been issued for Fly Tipping offences in the first quarter of the financial year. This is an increase on the first quarter of the previous financial year.
		3.B2 (b)		Effective enforcement action taken where evidence is found b) Other enviro-crime (fixed penalty notices and prosecutions)		High	Monthly	5000 (cumulative for the year)	✖	⬇	Not available baseline year	185	6,673	1,685	3,659	5,897	6673 (cumulative)	89	27	35	27	Of the 89 actions in this area in the first quarter, 68 Fixed Penalty Notices were issued with 55 being issued for litter offences. 11 were issued for dog fouling and 2 for failing to provide copies of waste transfer information when requested. There have been 21 prosecutions in Court, all successful, since April for littering offences where the fixed penalty had not been paid. (Nb-Prosecutions added in addition to the initial issue of the FPN, as there are 2 distinct enforcement methods, 1st stage being the issue of the notice followed by prosecution if payment is not made.

Priority 3: A strong community in a clean, safe environment

- ✔

Measure progressing above or in line with target set
- Measure progress has been satisfactory but is not fully reaching target set
- ✖

Measure has not progressed in accordance with target set
- ⚙

Measure under development (e.g. awaiting data collection or target-setting)
- Measure not applicable for target (e.g. baseline year, or not appropriate to set a specific target)
- Measure information not yet available (e.g. due to infrequency or timing of information/data)

Outcome	Lead	Ref No	Action	Measure	Lead Officer	Good Performance	Frequency of Reporting	Target	Overall status	DOT	Annual			Quarterly					Monthly			Data notes (where measure has not progressed in accordance with the target set provide details of what is being done to improve performance)
											Year end 2015/16	Year end 2015/16	Year end 2017/18	Q1 Apr-June 2017	Q2 Jul-Sep 2017	Q3 Oct-Dec 2017	Q4 Jan-Mar 2018	Q1 Apr-June 2018	Apr-18	May-18	Jun-18	
B. Streets, public realm and green spaces are clean and well maintained	Damien Wilson, Strategic Director Regeneration and Environment	3.B3	Deliver a cleaner, greener Rotherham to ensure that it is a safe and attractive place to live, work and visit	Total number of customer contacts by service area and overall total. Service areas measured are a) Street Cleansing, b) Grounds Maintenance, c) Litter, d) Waste Management. Contacts measured are: i) Official compliments ii) Compliments received iii) Service Requests	Tom Smith Regeneration and Environment	Low	Monthly	5% reduction,(target 75 cumulative) in the number of official complaints received. Increase compliments to 60.	✖	⬇			Grounds Maintenance i) Complaints 5 ii) Compliments 11 iii) Service Requests 1292 Street Cleansing i) Complaints 15 ii) Compliments 14 iii) Service Requests 9445 Waste Management i) Complaints 64 ii) Compliments 29 iii)Service Requests 35,358 Total cumulative complaints figure= 84	Grounds Maintenance i) Complaints 2 ii) Compliments 7 iii) Service Requests 370 Street Cleansing i) Complaints 6 ii) Compliments 7 iii) Service Requests 1938 Waste Management i) Complaints 15 ii) Compliments 8 iii)Service Requests 9032 Total cumulative complaints figure= 23	Grounds Maintenance i) Complaints 1 ii) Compliments 3 iii) Service Requests 812 Street Cleansing i) Complaints 3 ii) Compliments 2 iii) Service Requests 2883 Waste Management i) Complaints 20 ii) Compliments 3 iii)Service Requests 9333 Total cumulative complaints figure= 47	Grounds Maintenance i) Complaints 2 ii) Compliments 0 iii) Service Requests 87 Street Cleansing i) Complaints 4 ii) Compliments 5 iii) Service Requests 1717 Waste Management i) Complaints 10 ii) Compliments 7 iii)Service Requests 8665 Total cumulative complaints figure= 63	Grounds Maintenance i) Complaints 0 ii) Compliments 2 iii) Service Requests 23 Street Cleansing i) Complaints 2 ii) Compliments 0 iii) Service Requests 2442 Litter i) Complaints 0 ii) Compliments 19 iii)Service Requests 8328 Total cumulative complaints figure= 84	Grounds Maintenance i) Complaints 13 ii) Compliments 1 iii) Service Requests 408 Street Cleansing i) Complaints 4 ii) Compliments 0 iii) Service Requests 1702 Litter i) Complaints 3 ii) Compliments 1 iii)Service Requests 286 Waste Management i) Complaints 28 ii) Compliments 7 iii)Service Requests 8348 Total cumulative complaints figure= 48	Not currently available	Not currently available	Not currently available	48 complaints have been received in Q1 in Street Cleansing, Grounds Maintenance, Litter and Waste Management areas, this is an increase on the same period in 2017/18 but the figure has been affected by a number of factors, outlined in the narrative report. The number of complaints recorded can be seasonal and an exceptionally wet spring led to a later than normal start to the grounds maintenance programme which in turn generated an increase in complaints. The most significant impact however has been the decision of the complaints team to re-classify complaints that were previously classed as informal as formal Stage 1 complaints. Based on data from 2017/18 this can be expected to increase the number of complaints by at least 55% of the current year. This increase should also be viewed in terms of the number of complaints that were upheld. Of the 48 complaints received, only 19 were upheld and should also be viewed in terms of these services undertaking millions of operations per year within the public realm.
		3.B4		Ensure an efficient and effective waste and recycling service		Low	Quarterly	50	✔	⬆	62.7	46.92	42.21	46.07	Q2 - 38.78 Overall YTD 42.42	Q3 -33.90 Overall YTD 39.86	Q4 51.06 Overall YTD 42.21	Q1 43.01 Overall YTD 43.01				Currently better than target. Will continue with current actions to maintain and hopefully improve the figure.
		3.B5				High	Quarterly	45 %	✔	⬆	43.11 %	45.30 %	46.11 %	52.53 %	51.57 % Current estimate for March 2018 - 45.25 %	48.75 % Current estimate for March 2018 - 45.74 %	46.11 %	53.72 % Current estimate for March 2018 46.27 %				Currently better than target. Will continue with current actions to maintain and hopefully improve the figure.

Priority 4: Extending opportunity, prosperity and planning for the future

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

Outcome	Lead	Ref No	Action	Measure	Lead Officer	Good Performance	Frequency of Reporting	Target	Overall status	DOT	Annual			Quarterly					Monthly			Data notes (where measure has not progressed in accordance with the target set provide details of what is being done to improve performance)	
											Year end 2015/16	Year end 2015/16	Year end 2017/18	Q1 Apr-June 2017	Q2 Jul-Sep 2017	Q3 Oct-Dec 2017	Q4 Jan-Mar 2018	Q1 Apr-June 2018	Apr-18	May-18	Jun-18		
A. Businesses supported to grow and employment opportunities expanded across the borough	Damien Wilson, Strategic Director Regeneration and Environment	4.A1		Number of new businesses started with help from the Council	Paul Woodcock Regeneration and Environment	High	Quarterly	15					13.75	7	22	15	11	20				9 more businesses have been helped by the Council to start operating than in Q4, and 13 more in the same quarter in 17/18.	
		4.A2		Survival rate of new businesses (3 years)		High	Annual	60.0 %			60%	59.9%	60.5%				60.5%				Annually released (usually November)		
		4.A3		% vacant floor space in the Town Centre area		Low	Quarterly	25.0 %					22.0%	19.3%	22.3%	23%	23.1%	23.3%				Direction remains steady and above target	
		4.A4		Net new business in the Town Centre		High	Quarterly	Baseline Year										1				April 18 – 0 (2 opened and 2 closed) May 18 – 2 (3 opened and 1 closed)	
		4.A5		Number of jobs in the Borough		High	Annual	1,000 new jobs p.a. (10,000 over 10 years).			100,000	104,000	Not yet available			104,000 (annual data for 2016/17)							Annually released (usually September)
		4.A6		Narrow the gap to the UK average on the rate of the working age population economically active in the borough		Low	Quarterly	3.2% (This is a 0.8 % reduction on the 2017/18 target of 4 %)			1 % gap	4.3 %	3.23 %	4.5 % (June 17 data)	3.1 % (Sep 17 data)	2.1 % (Dec 17 data)	0.90 %					For year ended March 2018 (based on average of last 4 quarters) in Rotherham = 77.4 % , UK = 78.3 %	
		4.A7		"Number of Planning Applications determined within specified Period: a) Major 13 weeks b) Minor 8 weeks c) Other 8 weeks		High	Quarterly	All at 95 %			89.9%	99.9%	a) 100 % b) 100 % c) 100 %	a) 100 % b) 100 % c) 100 %	a) 100 % b) 100 % c) 100 %	a) 100 % b) 100 % c) 100 %	a) 100 % b) 100 % c) 100 %					Continuing maintainance of the highest standard of service	
B. People live in high quality accommodation which meets their need, whether in the social rented, private rented or home ownership sector	Anne Marie Lubanski, Strategic Director Adult Social Care and Housing	4.B1 (a)	Implement the Housing Strategy 2016-2019 to provide high quality accommodation	Number of new homes delivered during the year via direct Council intervention	Tom Bell Adult Social Care and Housing	High	Quarterly	109										16					
		4.B1 (b)		Number of new homes delivered during the year		High	Quarterly	641			663	593	479	138	69	130	142 (cumulative)	134				There are many factors affecting the number of homes built in the borough but the key drivers are demand and availability of suitable land, the council also delivers a significant number of units and supports development by purchasing units for rent as council housing. However, the majority of house building is delivered by private house builders. While there are a number of sites delivering housing in Rotherham at the moment, most notably at Waverley new community, the overall supply of housing land for new developments is currently limited.	
		4.B2		% of stock that is non-decent		Low	Quarterly	0.5 %			0.00 %	0.00 %	0.00 %	0.51 %	0.40 %	0.25 %	0 % (cumulative)	0.49 %				Measure on target although slightly increased from quarter 4	
	4.B3	Private rented housing improving standards through selective licensing	% of privately rented properties compliant with Selective Licensing conditions within designated areas	High		Monthly	95%				85 %	94.2 %	93 %	93 %	94 %	94.2 %	97.0 %	95.0 %	96.5 %	97.5 %	New staff to the team in March and April have enabled additional follow up inspections and reviews of cases in the first quarter of the financial year. This has resulted in a reduction in the number of outstanding cases to review and compliance has grown. Of 1,919 inspections only 48 require further investigation at this time after informal enforcement warnings requiring repairs.		

Priority 5: A modern, efficient council

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

Outcome	Lead	Ref No	Action	Measure	Lead Officer	Good Performance	Frequency of Reporting	Target	Overall status	DOT	Annual			Quarterly					Monthly			Data notes (where measure has not progressed in accordance with the target set provide details of what is being done to improve performance)
											Year end 2015/16	Year end 2015/16	Year end 2017/18	Q1 Apr-June 2017	Q2 Jul-Sep 2017	Q3 Oct-Dec 2017	Q4 Jan-Mar 2018	Q1 Apr-June 2018	Apr-18	May-18	Jun-18	
A. Maximised use of assets and resources and services demonstrate value for money	Judith Badger, Strategic Director Finance and Customer Services	5.A1	Maximising the local revenues available to fund council services	% Council Tax collected in the current financial year	Graham Saxton Finance and Customer Services	High	Monthly	97 % (Top Quartile Met Authorities)			97.3 %	97.3 %	97.0 %	27.7 %	54.0 %	80.41 %	97 % (cumulative)	27.4 %	9.9 %	18.7 %	27.4 %	The final performance of 97.0 % for 17/18 was equal to the target but 0.3 % below performance for 2016/17. National performance for 17/18 saw Rotherham retaining its position as 4th highest performing Met (out of 36) with 97.3 %. The Met Council average for 17/18 was 95.4 %, but this figure can be distorted by the design of local Council Tax support schemes.
		5.A2		% non-domestic (business) rates collected in the current financial year		High	Monthly	98 % (Top Quartile Metropolitan Authorities)			98.1 %	98.3 %	98.5 %	29.0 %	54.9 %	80.5 %	98.5 % (cumulative)	28.9 %	10.7 %	20.1 %	28.9 %	The final performance of 98.5 % is 0.5 % above target and 0.2 % above performance for 2016/17. Despite improved performance the National performance figures for 17/18 saw Rotherham dropping from its position as 7th highest performing Met (out of 36) to 11th. The Met Council average for 17/18 was 97.6 %.
B. Effective Governance Arrangements and decision making processes are in place	Shokat Lal, Assistant Chief Executive	5.B1	The Scrutiny function is effective; engages members and improve outcomes for Rotherham residents and communities	Number of pre-scrutiny recommendations adopted	James McLaughlin, Assistant Chief Executive's Directorate	High	Quarterly	90 %			Not available not previously been required	100 %	96 %	100 %	97 %	100 %	96 %	83 %	50 %	100 %	100 %	Two recommendations in the April meeting of the Cabinet were not accepted in full, which effected overall figure. Otherwise, all recommendations from Overview and Scrutiny Management Board's pre-decision scrutiny have been accepted by Cabinet and Commissioners.
C. Staff listen and are responsive to customers to understand and relate to their needs	Shokat Lal, Assistant Chief Executive	5.C1	Treating customer complaints with respect and dealing with them in an efficient and outcome-focussed way	% of complaints closed and within timescale (cumulative)	Jackie Mould Assistant Chief Executive's Directorate	High	Monthly	85 %			80 %	89 %	93 %	76 %	78 %	80 %	83 %	88 %	84 %	91 %	89 %	Performance improved to above target for May/June.
		5.C2	Resident satisfaction - Assessing overall public opinion on the way the council is working and responding to customers	% of residents who feel that the Council keeps them informed	Christopher Burton, Assistant Chief Executive's Directorate	High - very or fairly satisfied	6 monthly	>53 %			44% June 2015 49%	43% June 2016 48%	49 % June 2017 53 % February 2018 very or fairly well informed	49 % (Wave 5 June 2017) very or highly satisfied		53 % (Wave 6 February 2018) very or fairly well informed		52 % (Wave 7 June 2018) very or fairly well informed				Entire new comunications strategy which incorporates new email communication plan and enhanced use of social media. This also ties into the new overarching marketing plan for the council, which will be owned by comms.
	Judith Badger, Strategic Director Finance and Customer Services	5.C3	Enable customers to be active and interact with the Council in an efficient way, accessing more services online	% of transactions a) online	Luke Sayers Finance and Customer Services	High	6 monthly	28 %			36 %	21 %	24 %		26 %		24 %					There is no update this quarter as this is a 6 monthly update. Updates will be provided in the 2nd and 4th quarter.

Priority 5: A modern, efficient council

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

Outcome	Lead	Ref No	Action	Measure	Lead Officer	Good Performance	Frequency of Reporting	Target	Overall status	DOT	Annual			Quarterly					Monthly			Data notes (where measure has not progressed in accordance with the target set provide details of what is being done to improve performance)
											Year end 2015/16	Year end 2015/16	Year end 2017/18	Q1 Apr-June 2017	Q2 Jul-Sep 2017	Q3 Oct-Dec 2017	Q4 Jan-Mar 2018	Q1 Apr-June 2018	Apr-18	May-18	Jun-18	
D. Effective members, workforce and organisational culture	Shokat Lal, Assistant Chief Executive	5.D1	Staff and managers have an opportunity to reflect on performance , agree future objectives and are aware of how they contribute to the overall vision	% PDR completion	Shokat Lal, Assistant Chief Executive	High	Quarterly	95 %			96 %	96 %	93 %	69 %	91 %	92 %	93 % (cumulative)	69 %				Cumulative performance is the same as at quarter 1 last year. Final year end performance is expected to be on or around target.
		5.D2	Sickness is managed and staff wellbeing supported	Days lost per FTE		Low	Monthly	10.3			10.43 Days (excluding schools)	10.97 Days (excluding schools)	10.26	10.59 days (excluding schools)	10.33 days (excluding schools)	10.39 days (excluding schools)	0.26 days (excluding schools)	10.28 days (excluding schools)				Performance is 2.94 % lower than at same quarter last year and below Council target of 10.3 days.
		5.D3	Reduced use of interims, temporary and agency staff through effective and efficient recruitment	Reduction in Agency cost		Low	Monthly	10% reduction			£6.8m	£10.2m	£8.33m	£1.789m (-21 %)	£3.856m (-37 %)	£5.953m (-22 %)	£8.331m (-18 %) (cumulative)	£1.929m (-39 % cumulative)				Current agency expenditure for the year is projected at £5,080m, a reduction of £3m on the previous year. Actual expenditure in quarter 1 is 8 % higher than comparable quarter last year. Additional agency usage during the remaining months will increase expenditure, however overall cost should achieve 10 % target recution.
		5.D4	Members are able to fulfil their roles as effective community leaders	Reduction in the proportion of the children's social social care establishment who are agency staff.	Mel Meggs, CPYS	Low	Monthly	10 %				22.8 % (67.5)	18.6 % (60)	21.6 % (64)	18.8 % (57)	19.2 % (62)	18.6 % (60)	14.6 % (46)	17.3 % (56)	16.4 % (52)	14.6 % (46)	Numbers are reducing but not currently in line with the target. This measure relates to establishment staff and 'Social Work' staff/managers only
		5.D5		% members receive a personal development interview leading to a structured learning and development plan	James McLaughlin, Assistant Chief Executive's Directorate	High	Annual	95 %			80 %	87 %	100 %			100 %						The newly constituted Members and Democratic Support Panel (MADS) will meet in September to consider how personal development plans for Members will be prepared in future. No work has been undertaken on this since achieving 100 % during the 2017/18 municipal year.
		5.D6	The Council complies with good practice in equalities	% of recommendations from the Equalities Peer review that have been implemented	Jackie Mould - Assistant Chief Executive's Directorate	High	Quarterly	60 %										74 %				25 actions from 34 have been completed to date. Action is in hand to deliver the remaining nine.

This page is intentionally left blank

Public Report

Cabinet and Commissioners' Decision Making Meeting

Summary Sheet

Committee Name and Date of Committee Meeting

Cabinet and Commissioners' Decision Making Meeting – 17 September 2018

Report Title

Response to Recommendations from Overview and Scrutiny Management Board –
Use of Agency, Interim and Consultancy Staff

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

Yes

Strategic Director Approving Submission of the Report

Shokat Lal, Assistant Chief Executive

Report Author(s)

Shokat Lal, Assistant Chief Executive
01709 822773 or shokat.lal@rotherham.gov.uk

Ward(s) Affected

All

Summary

Over the course of 2016-17, Overview and Scrutiny Management Board (OSMB) expressed its concerns at the increasing and significant forecast of in-year overspend. Related to this had been concerns about the use of agency staff and consultants across the authority and if there was robust management control in place at that time. It was agreed that a small cross-party working group would be established to examine what actions were being taken to drive down the number of agency staff and consultants and consequently reduce the associated financial impact.

The recommendations made by Members are based on information and evidence collated during the course of the review and their challenge of existing practices and developing protocols.

Under the Overview and Scrutiny Procedure Rules, the Cabinet is required to respond to any recommendations made by scrutiny and this report is submitted to meet that requirement.

Recommendations

1. That the Cabinet's response to the scrutiny review on the Use of Agency, Interim and Consultancy Staff be approved.
2. That the Cabinet's response be referred to the next meeting of the Overview and Scrutiny Management Board on 17 October 2018.

List of Appendices Included

Appendix A Cabinet's Response to Scrutiny Review on Use of Agency, Interim and Consultancy Staff

Background Papers

Report of the Overview and Scrutiny Management Board – [Scrutiny Review of Use of Agency, Interim and Consultancy Staff](#)

Consideration by any other Council Committee, Scrutiny or Advisory Panel

Overview and Scrutiny Management Board – 18 October 2018
Council – 31 October 2018

Council Approval Required

No

Exempt from the Press and Public

No

Response to Recommendations from Overview and Scrutiny Management Board – Use of Agency, Interim and Consultancy Staff

1. Recommendations

- 1.1 That the Cabinet's response to the scrutiny review on the Use of Agency, Interim and Consultancy Staff be approved.
- 1.2 That the Cabinet's response be referred to the next meeting of the Overview and Scrutiny Management Board on 17 October 2018.

2. Background

- 2.1 The purpose of the review was to seek assurance that the Council measures performance and value for money in its use of agency staff and consultants and was taking appropriate action to maintain spend within acceptable limits. The recommendations made by Members were based on information and evidence collated during the course of the review and their challenge of existing practices and developing protocols.
- 2.2 The review report was submitted to Council on 23 May 2018, which represented the formal publication of the report. Under the Overview and Scrutiny Procedure Rules, the Cabinet is required to respond to any recommendations made by scrutiny and this report is submitted to meet that requirement.

3. Key Issues

- 3.1 There are 12 broad recommendations arising from the scrutiny review of Use of Agency, Interim and Consultancy Staff, which are detailed in Appendix A. The schedule provides detail in respect of whether the recommendations are agreed, not agreed or deferred. Where recommendations are agreed, the schedule details what action will be taken, by when and who will be responsible.
- 3.2 By way of context, the twelve recommendations from Overview and Scrutiny Management were:
 - (i) That the following definition of agency, interims and consultancy staff is adopted and is applied consistently across the Council. It is suggested that a further report is provided to this sub-group in six month on its implementation.
 - (a) Agency Staff - Individuals employed and paid for through an agency. They may be covering a single specific vacancy or be covering a capacity gap left by a number of vacancies, by specific demand pressure or as a result of a skills gap. They may or may not have decision making authority or staff management responsibilities.

- (b) Interims - Individuals working day to day 'as though an employee' but not engaged through an agency contract. They may be covering a single specific vacancy or be covering a capacity gap left by a number of vacancies, by specific demand pressure or as a result of a skills gap. They may or may not have decision making authority or staff management responsibilities.
 - (c) Consultancy/Independent Contractor - An individual or a company engaged through a tender/procurement process to carry out a defined piece of specialist work or a project. The company or individual would not be expected to have any decision making authority or staff responsibilities and the work would be expected to culminate in an output e.g. a report. They may work predominantly on or off site depending on the nature of the piece of work.
- (ii) That the above definition is appended to the Workforce Management Board's (WMB) terms of reference to ensure that there is a shared and consistent understanding of the criteria. It is further recommended that the Head of Procurement escalates to the Board any issues or concerns arising out of an extension or variation to the tendered contract which takes it significantly beyond the original timeframe or agreed expenditure.
- (iii) That following the development of clear definitions relating to the appointment of agency, interims and consultants, that there are corresponding budget codes developed to ensure that accurate monitoring can be undertaken.
- (iv) That prior to the appointment of consultants, there should be a clear business case developed aligned to service plans to demonstrate the necessity of the appointment and why external resources are required to complete the task. To avoid 'drift', the business case should outline clear outcomes, timescales and what resources are required; with variations to the business case reported to the WMB by the Head of Procurement.
- (v) Wherever possible and appropriate, there should be a development element in the engagement of consultants in order to develop in-house capacity. The business case should outline how this is to be addressed.
- (vi) That the transformation plans for Adult Social Care are carefully monitored to ensure that agency and consultancy use is delivering value for money and practice improvements.
- (vii) That an audit is undertaken to clarify how many agency staff are in posts for more than 12 months; their length of service; if a business case was developed at the time of appointment and if so, whether this has been reviewed and by whom. On the basis of this information, that plans are drawn up as soon as possible to action permanent recruitment if there is a service requirement for the posts and if this cannot be demonstrated, that agency staff or interims are released.

- (viii) Following from this, to avoid 'drift', the business case developed to support the appointment of agency staff should outline clear outcomes, timescales and resources and explicit alignment to the service plan; with variations to the business case or extension to contract reported to the WMB.
- (ix) That further work be undertaken to lessen the requirement for seasonal agency staff. This should include annualising hours or ensuring operatives 'multi-task' and are able to share roles and functions. The review asks that a further report be provided exploring options.
- (x) That the WMB should have regular discussions with in-house trade unions and staff fora to seek their views if there are alternative options to the appointment of agency staff or consultants; particularly in services where there is the possibility of redundancies.
- (xi) That the WMB should explore the feasibility with other councils and public sector partners of developing an in-house 'bank' system or employment agency to reduce cost and reliance on external agencies.
- (xii) That OSMB convenes a sub-group bi-annually to review the progress of the WMB in meeting the priority measure and the implementation of accepted recommendations.

4. Options considered and recommended proposal

- 4.1 The options considered were detailed within the report and recommendations from the Overview and Scrutiny Management Board. A number of recommendations from the Overview and Scrutiny Management Board have already been implemented, with arrangements for review by the Workforce Management Board in place.
- 4.2 This report proposes that all of the recommendations from the Overview and Scrutiny Management Board be formally accepted by the Cabinet. The recommendations from scrutiny are welcomed and contribute to the ongoing strengthening of arrangements to manage the use of agency, interim and consultancy staff by the Council.

5. Consultation

- 5.1 There has been no further consultation on this report beyond the requirements of internal processes, alongside consultation with the Cabinet member.
- 5.2 It should be noted that Trade Unions were consulted as part of the review by the Overview and Scrutiny Management Board. In response to recommendation 10, it has been agreed that Trade Unions will be consulted at quarterly Joint Consultative Committee meetings for their views on alternative options to the appointment of agency staff or consultants.

6. Timetable and Accountability for Implementing this Decision

- 6.1 The timetable for implementing the recommended actions is set out in the attached schedule (Appendix A).
- 6.2 Various senior officers across the authority will be responsible for the implementation of the agreed recommendations. The Assistant Chief Executive and the Assistant Director of Human Resources and Organisational Development will be accountable for the overall implementation of the review's recommendations.

7. Financial and Procurement Advice and Implications

- 7.1 Finance and Procurement will develop and implement actions where appropriate in response to the recommendations in Appendix A. This includes communication of the revised definitions and the development of suitable controls and reports to monitor spend with clear escalation processes where required.

8. Legal Advice and Implications

- 8.1 There are no direct legal implications arising from the recommendations in this report.

9. Human Resources Advice and Implications

- 9.1 HR implications are contained in the recommendations shown in Appendix A. These recommendations will be incorporated into the Workforce Management Board terms of reference and Directorate board representatives charged with bringing full detail of agency, consultants and interim along with clear exit strategies to future board meetings.

10. Implications for Children and Young People and Vulnerable Adults

- 10.1 There are no implications for children and young people or vulnerable adults directly arising from this report.

11. Equalities and Human Rights Implications

- 11.1 There are no direct equalities or human rights implications arising from this report.

12. Implications for Partners and Other Directorates

- 12.1 There are no implications for partners arising from the recommendations from the Overview and Scrutiny Management Board.
- 12.2 All directorates of the Council will be required to work within and comply with the procedures adopted in respect of the use of agency, interim and consultancy staff.

13. Risks and Mitigation

- 13.1 There are no additional risks presented by the recommendations from the Overview and Scrutiny Management Board. The recommendations themselves and the proposed actions serve to mitigate risks in relation to lack of action or compliance. Furthermore, risks to the arising actions will be monitored by officers and will be reported to the Overview and Scrutiny Management Board when reviewing the implementation of its recommendations.

14. Accountable Officers

Shokat Lal, Assistant Chief Executive

Lee Mann, Assistant Director – Human Resources and Organisational Development

Approvals obtained on behalf of:-

	Named Officer	Date
Strategic Director of Finance & Customer Services	Nikki Kelly	22.08.2018
Assistant Director of Legal Services	Dermot Pearson	29.08.2018
Head of Procurement (if appropriate)	Karen Middlebrook	21.08.2018
Assistant Director – Human Resources (if appropriate)	Lee Mann	28.08.2018

*Report Author: Shokat Lal, Assistant Chief Executive
01709 822773 or shokat.lal@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=>

This page is intentionally left blank

Cabinet's Response to Scrutiny Review of Use of Agency, Interim and Consultancy Staff

Recommendation	Cabinet Decision <i>(Accepted/ Rejected/ Deferred)</i>	Cabinet Response <i>(detailing proposed action if accepted, rationale for rejection, and why and when issue will be reconsidered if deferred)</i>	Officer Responsible	Action by (Date)
<p>1. That the following definition of agency, interims and consultancy staff is adopted and is applied consistently across the Council. It is suggested that a further report is provided to this sub-group in six month on its implementation.</p> <p>(a) Agency Staff - Individuals employed and paid for through an agency. They may be covering a single specific vacancy or be covering a capacity gap left by a number of vacancies, by specific demand pressure or as a result of a skills gap. They may or may not have decision making authority or staff management responsibilities.</p> <p>(b) Interims - Individuals working day to day 'as though an employee' but not engaged through an agency contract. They may be covering a single specific vacancy or be covering a capacity gap left by a number of vacancies, by specific demand pressure or as a result of a skills gap. They may or may not have decision making authority or staff management responsibilities.</p> <p>(c) Consultancy/Independent Contractor - An individual or a company engaged through a tender/procurement process to carry out a defined piece of specialist work or a project. The company or individual would not be expected to have any decision making authority or staff responsibilities and the work would be expected to culminate in an output e.g. a report. They may work predominantly on or off site depending on the nature of the piece of work.</p>	Accepted	The definition has been adopted across the Council.	Shokat Lal, Assistant Chief Executive	Complete
<p>2. That the above definition is appended to the WMB's terms of reference to ensure that there is a shared and consistent understanding of the criteria. It is further recommended that the Head of Procurement escalates to the Board any issues or concerns arising out of an extension or variation to the tendered contract which takes it significantly beyond the original timeframe or agreed expenditure.</p>	Accepted	The Head of Procurement is now a member of WMB.	Karen Middlebrook, Head of Procurement	Complete

3. That following the development of clear definitions relating to the appointment of agency, interims and consultants, that there are corresponding budget codes developed to ensure that accurate monitoring can be undertaken.	Accepted	Budget codes will be updated accordingly. Details of the codes and descriptions will be communicated through a Manager Briefing.	Paul Stone	September 2018
4. That prior to the appointment of consultants, there should be a clear business case developed aligned to service plans to demonstrate the necessity of the appointment and why external resources are required to complete the task. To avoid 'drift', the business case should outline clear outcomes, timescales and what resources are required; with variations to the business case reported to the WMB by the Head of Procurement.	Accepted	Business case forms have been updated to reflect the changes. Head of Procurement now a member of WMB and will report on any variations.	Shokat Lal, Assistant Chief Executive	Complete
5. Wherever possible and appropriate, there should be a development element in the engagement of consultants in order to develop in-house capacity. The business case should outline how this is to be addressed.	Accepted	Business case forms have been updated to reflect the requested additional information.	Shokat Lal, Assistant Chief Executive	Complete
6. That the transformation plans for ASC are carefully monitored to ensure that agency and consultancy use is delivering value for money and practice improvements.	Accepted	Monitoring to take place through the WMB.	Shokat Lal, Assistant Chief Executive	Ongoing
7. That an audit is undertaken to clarify how many agency staff are in posts for more than 12 months; their length of service; if a business case was developed at the time of appointment and if so, whether this has been reviewed and by whom. On the basis of this information, that plans are drawn up as soon as possible to action permanent recruitment if there is a service requirement for the posts and if this cannot be demonstrated, that agency staff or interims are released.	Accepted	Audit has taken place and action plans developed.	Shokat Lal, Assistant Chief Executive	Complete
8. Following from this, to avoid 'drift', the business case developed to support the appointment of agency staff should outline clear outcomes, timescales and resources and explicit alignment to the service plan; with variations to the business case or extension to contract reported to the WMB.	Accepted	Processes and forms for WMB business cases updated to ensure additional info is considered by the Board	Shokat Lal, Assistant Chief Executive	Complete
9. That further work be undertaken to lessen the requirement for seasonal agency staff. This should include annualising hours or ensuring operatives 'multi-task' and are able to share roles and functions. The review asks that a further report be provided exploring options.	Accepted	Work ongoing and to be reviewed by WMB	Damien Wilson, Strategic Director – Regeneration and Environment	Ongoing – with monthly WMB review

10. That the WMB should have regular discussions with in-house trade unions and staff fora to seek their views if there are alternative options to the appointment of agency staff or consultants; particularly in services where there is the possibility of redundancies.	Accepted	Quarterly reports to be discussed with Trade Unions at JCC.	Shokat Lal, Assistant Chief Executive	Ongoing
11. That the WMB should explore the feasibility with other councils and public sector partners of developing an in-house 'bank' system or employment agency to reduce cost and reliance on external agencies.	Accepted	Deferred until later in 2018/19. Scoping and feasibility work to be deferred until later in 2018/19	Shokat Lal, Assistant Chief Executive	Q3 – Q4 2018/19
12. That OSMB convenes a sub-group bi-annually to review the progress of the WMB in meeting the priority measure and the implementation of accepted recommendations.	Accepted	This is a matter for the Overview and Scrutiny Management Board, but the recommendation is supported.	James McLaughlin, Head of Democratic Services	To be determined by OSMB

This page is intentionally left blank

Public Report
Cabinet and Commissioners' Decision Making Meeting

Summary Sheet

Committee Name and Date of Committee Meeting

Cabinet and Commissioners' Decision Making Meeting – 17 September 2018

Report Title

Archives Accreditation – Policy Approval

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

Yes

Strategic Director Approving Submission of the Report

Damien Wilson, Strategic Director of Regeneration and Environment

Report Author(s)

Lisa Broadest, Manager – Heritage Services
07748 143271 or lisa.broadest@rotherham.gov.uk

Ward(s) Affected

All wards

Summary

As a recognised Place of Deposit under the Public Records Act 1958, Rotherham Archives and Local Studies is required to submit an application under the Archives Accreditation Scheme. This scheme is the UK standard for archive services maintained by The National Archives and defines good practice and supports the ongoing development of archive services across the country.

The scheme covers three areas; organisational health, collections, stakeholders and their experiences and requires the submission of an online application along with supporting documentation including a Forward Plan and key policy documents.

A successful application would be essential not only for members of the public but also for future funders and partners, who can have confidence in the delivery of this Service.

Recommendations

1. That the Heritage Service's Forward Plan (2018-2022) and key policy documents to support the Council's application for Archives Accreditation be approved.

List of Appendices Included

- Appendix 1 Heritage Services Forward Plan, 2018-2022
- Appendix 2 Collections Development Policy
- Appendix 3 Collections Information Policy
- Appendix 4 Care and Conservation Policy
- Appendix 5 Access Policy

Background Papers

Archive Service Accreditation Standard

(<https://www.nationalarchives.gov.uk/documents/archives/archive-service-accreditation-standard-june-2018.pdf>)

Archive Service Accreditation Guidance

(<https://www.nationalarchives.gov.uk/documents/archives/archive-service-accreditation-guidance-june-2018.pdf>)

Consideration by any other Council Committee, Scrutiny or Advisory Panel

Overview and Scrutiny Management Board – 17 September 2018

Council Approval Required

No

Exempt from the Press and Public

No

Archives Accreditation – Policy Approval

1. Recommendations

- 1.1 That the Heritage Service's Forward Plan (2018-2022) and key policy documents to support the Council's application for Archives Accreditation be approved.

2. Background

- 2.1 Rotherham Archives and Local Studies was established in 1986 following the abolition of the South Yorkshire County Record Office to preserve records of all aspects of life within Rotherham Metropolitan Borough and to make them accessible for use by members of the public. Prior to this date, archives and local studies material was collected by Rotherham Libraries since at least the 1930s. The Service now holds more than 1,000 separate archive collections in a variety of formats. They document the borough's diverse history and culture from the 13th century to the present day and include the archives of people, organisations, local authorities and businesses in the Rotherham Borough reflecting the changing landscape, communities and economy.
- 2.2 Revenue expenditure per 1000 population (£405) is lower than average when compared to other similar English local authority size services (CIPFA Archive Services Data, 2016-17), which are defined as 'small'. During 2017/18, nearly 1,900 researchers visited the searchroom, staff dealt with nearly 900 remote enquiries and retrieved over 19,000 archive documents and local studies items for consultation and use. Onsite visits were slightly lower than the national average, whereas the number of retrievals and attendance at exhibitions and events was above average (with over 6,800 people visiting during 2017/18).
- 2.3 Enquiries (either onsite or remotely) cover a variety of topics and the most frequent reason is to undertake family history research, although this is declining. Other common reasons include military research; formal education research; work in connection with employment; local history research and academic research. This is comparable to UK data except for military research, which is significantly higher in Rotherham. Rotherham Archives and Local Studies can be important for providing evidential information for legal purposes.
- 2.4 The Archive Accreditation Scheme is the UK standard for archive services and is maintained by The National Archives (non-ministerial government department and the official archive of the UK Government for England and Wales). The standard defines good practice and agreed standards and supports the ongoing development of archive services.
- 2.5 The scheme provides reassurance that standards are being maintained by Archive Services approved as Places of Deposit. Places of Deposit for public records are appointed by The National Archives to hold specific record classes under section 4.1 of the Public Records Act 1958. Rotherham Archives and Local Studies was re-appointed as a Place of Deposit in October 2015.

- 2.6 The standard looks at an organisation's ability to develop, care for and provide access to its collections and those areas such as resources and planning, which underpin those activities.
- 2.7 The scheme was launched in 2013 and replaced the Standard for Record Repositories and the archive self-assessment programme with the first awards being made in late 2014.
- 2.8 The standard is made up of three sections:
- Organisational Health
 - Collections
 - Stakeholders and their Experiences

Each section is then broken down into three further requirements which are as follows:

- Policies; describing overall intentions and direction of an organisation as formally expressed by management.
 - Plans; forward looking documents that set out the objectives of the organisation and identify the actions needed to achieve these objectives, in line with the organisation's policies and in order to deliver its mission.
 - Procedures; describing a way to carry out an activity or a process in order to deliver a particular output or outcome.
- 2.9 Assessments are undertaken by trained assessors from the home nation assessor body i.e. The National Archives (England) and their recommendation is made to the Archive Service Accreditation Panel. This panel will then either award a full or provisional status (lasting two years) or reject the application.
- 2.10 Once an Archive Service has been accredited, it will be required to complete a review stage, three years after the initial award. This is to demonstrate i) progress against any actions or required improvements outlined in their feedback from their initial application; ii) any other development in the Archive Service since the award of accreditation.
- 2.11 Within the region, the following Services have received Accreditation:
- Sheffield City Archives (November 2015)
 - West Yorkshire Archive Service (July 2017)
 - Barnsley Archives (November 2017)
 - North Yorkshire County Record (November 2017)
 - Explore York (November 2017)

3. Key Issues

- 3.1 The Council's application for Archives Accreditation is scheduled to be discussed at the Archive Service Accreditation Panel meeting on 21 November 2018.

3.2 Further clarification and guidance from The National Archives has confirmed the Forward Plan and supporting policies should be approved by 'an appropriate delegated authority'.

3.3 Supporting policies are attached as Appendices 1-5. These include:

- Heritage Service Forward Plan 2018-22, which sets out the core purpose and vision for the Service and includes a detailed action plan
- Collections development policy, which examines the background and history to Rotherham Archives and Local Studies; the profile and scope of the collections identifying current limitations; priorities for future collections development and the Service's approach to appraisal and disposal
- Collections information policy, which documents Rotherham Archives and Local Studies' approach to maintaining and providing accurate documentation of collections
- Care and Conservation Policy, which covers the Service's strategic approach to conservation including the principles of collections care; ethics, legislation and standards; premises and storage; conservation assessment and treatment; environmental monitoring and control; housekeeping; access; training; security; emergency planning; and environmental awareness
- Access Policy, which details Rotherham Archives and Local Studies' approach to access (physical and intellectual, onsite, remote and through wider engagement) to the collections under its care

3.4 Consideration must also be given to the following, which clearly demonstrate the impact and benefit of achieving the Archive Accreditation award for Rotherham:

- offers a benchmark for gauging performance, recognising achievement, driving improvement within the archives sector for the benefit of the public, whilst demonstrating quality services;
- raises the profile of Rotherham Archives and Local Studies both internally and externally through increased awareness and understanding, which is critical for future funders;
- will help the service adapt and respond to community needs and interests supporting the place shaping agenda and ambition to become a child centred borough;
- will support critical funding bids ensuring funding organisations will have confidence in the delivery of services;
- will encourage more partnership working and will support the work of the South Yorkshire Archives Partnership to examine how best to deliver services.

4. Options considered and recommended proposal

4.1 Option 1 is to submit the application, with approval of the Heritage Service's Forward Plan and key policy documents (see Appendices 1-5). This is the recommended proposal.

- 4.2 Option 2 is to submit the application without approval of the Heritage Service's Forward Plan and key policy documents. Although the application may be approved, it will either be on a provisional basis or will be identified as an area of improvement and the key documents will still require approval at a later time.
- 4.3 Option 3 is not to submit the application. This will be challenged by The National Archives given that Rotherham Archives and Local Studies is a recognised Place of Deposit. This will result in the removal of the Place of Deposit status and the public records that the Council holds will need to be transferred to The National Archives at Kew. This would be at a significant cost to the Council and vital archives (relating to key bodies in the local area such as Magistrates Court; Coroner's Court; NHS) would be removed out of the region.

5. Consultation

- 5.1 Whilst there is no requirement for Rotherham Archives and Local Studies to formally consult on the Forward Plan, this document has been discussed internally with Senior Managers and updated to reflect feedback.
- 5.2 Appendix 2 (Collections Development Policy) has been distributed for comment to the three other Archive Services in South Yorkshire to ensure that collections are developed strategically, whilst avoiding duplication.

6. Timetable and Accountability for Implementing this Decision

- 6.1 The accreditation application will be submitted to be considered at the Archive Service Accreditation Panel meeting on 21 November 2018.
- 6.2 The National Archives anticipates that the outcome from the panel will be communicated to Archive Services within one week of the meeting.

7. Financial and Procurement Implications

- 7.1 The Forward Plan and supporting policies are based on existing budgets and the Accreditation Scheme takes into account the size of the returning organisation. This minimises any impact on budgets unless an area of improvement requires a level of investment. It is not expected that this will be the case following this application, should this be the case a further report will be submitted.
- 7.2 There are no known procurement implications associated with this report.

8. Legal Implications

- 8.1 There are no direct legal implications arising from the recommendation in this report.

9. Human Resources Implications

- 9.1 None.

10. Implications for Children and Young People and Vulnerable Adults

- 10.1 As outlined within the Service's Forward Plan, Rotherham's heritage and its stories provide significant and meaningful opportunities to enable it to become one of the most child-friendly museum and heritage services in the UK.
- 10.2 The Commitment within the Forward Plan also clearly states the Service will place children and young people at the heart of what it does to shape and drive forward these opportunities.
- 10.3 The Forward Plan outlines six strategic aims that the Service will deliver on, with three specifically focussing on children and young people. These are:
- Strategic Aim 1: Explore and shape the future direction of the Service with children and young people.
 - Strategic Aim 2: Implement a strong programme-led approach ensuring children and young people play a key role.
 - Strategic Aim 3: Create a framework for engagement, interaction and involvement for children and young people and their families, carers and other adults involved.
- 10.4 The key policy documents, where relevant, also support this direction of travel.

11 Equalities and Human Rights Implications

- 11.1 The Forward Plan also supports a more proactive approach to engagement with sectors of the community who have 'protected interests'. Examples of current projects include:
- 'Great Place' pilot, a scheme announced as part of the Culture White Paper in 2016. This project aims to reach out to deprived communities, particularly children and young people across Rotherham and Barnsley Boroughs transforming how people understand where their communities have come from. Archives play a critical role within this, alongside the historical landscape that has developed over the centuries;
 - Delivery of Discovery course in partnership with the University of Sheffield to inspire adults with their learning, particularly if they have not attended university. The course is innovative in its approach as the sessions feature discussion stimulated by objects and archives – these may be of personal significance to participants, or items from the museum and archive collections;
 - Potential project called Place Makers, Future Shapers (currently awaiting a decision from the Heritage Lottery Fund) focusing on a key heritage site in Rotherham (Clifton Park and Museum). This project is supported by the Different But Equal Board and in partnership with the Families, Children and Young People's Consortium and will enable children and young people (15-25 year olds from four key central Rotherham wards) to explore the history and development of local communities surrounding the site and will develop new narratives through their eyes, who will interpret and

present this heritage to their contemporary communities, particularly other young people.

12. Implications for Partners and Other Directorates

- 12.1 There are no immediate implications for partners and other directorates. Consideration will be given to developing beneficial partnerships to support the delivery of the Forward Plan.
- 12.2 Involvement in key partnerships will also continue and will be strengthened through the Archives Accreditation application owing to a greater level of clarity around the Service's direction of travel and its priorities.
- 12.3 This work directly supports the overall ambition of the Rotherham Plan to create a borough that is better for everyone who want to live, work, invest or visit, as well as supporting the delivery of key game changers by building stronger communities and creating a place to be proud of.
- 12.4 It also supports the delivery of the Council Plan with a strong focus on 'Every child making the best start in life' and 'A strong community in a clean, safe environment' and through the delivery of the emerging Cultural Strategy with a strong focus on strengthening the distinctive identity of the Borough; encouraging active engagement and participation and to optimise the impact on cross-cutting themes and priorities, such as health and wellbeing, place-making and the ambition to become a child-centred Borough.

13. Risks and Mitigation

- 13.1 Failure to achieve Archives Accreditation would effectively mean that the Archive Service would not be recognised as meeting UK standards. This would lead to the loss of the Service's Place of Deposit status requiring all public records to be transferred to The National Archives at Kew, at a direct cost to the Council.
- 13.2 This would also impact on the Archive Service's ability to apply for grants in the future as generally, accreditation makes up part of the eligibility criteria.
- 13.3 Depositors including those organisations with public records, along with members of the public will experience a loss of confidence in Rotherham Archives and Local Studies and may lead to collections either being withdrawn (at a cost to the Council) or will not deposit archives in the future. This will create gaps within Rotherham's collections impacting on their evidential value.
- 13.4 All of the above will lead to the loss of reputation for the Service and in turn the Council.
- 13.5 Following a submission, the application will be considered by the Archive Service Accreditation Panel. It is anticipated the application would be successful with a full or provisional award as the Service is able to meet the essential areas of requirement. If the award is provisional, Rotherham Archives and Local Studies will be given two years to act on any identified areas for improvement.

14. Accountable Officer(s)

Polly Hamilton – Assistant Director – Culture, Sport and Tourism
 Lisa Broadest, Manager – Heritage Services

Approvals Obtained on behalf of:-

	Named Officer	Date
Strategic Director of Finance & Customer Services	Fiona Earl	18.07.2018
Assistant Director of Legal Services	Ian Gledhill	12.07.2018
Head of Procurement (if appropriate)	Karen Middlebrook	17.07.2018
Head of Human Resources (if appropriate)	N/A	

Report Author: Lisa Broadest, Manager – Heritage Services

Tel: 07748 143271 Email: lisa.broadest@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=>

This page is intentionally left blank

Rotherham Heritage Services Forward Plan, 2018-2022

Author: Lisa Broadest, November 2017
Last updated: July 2018
Review: Annually

Contents

1. **Heritage Services Commitment** (Page 3-4)
2. **Executive Summary** (Page 5-6)
3. **Who we are and what we do** (Pages 7-12)
 - 3.1 **Organisational History and Collections Overview**
 - 3.2 **Organisational Scale and Reach**
 - 3.3 **Review of Performance: Successes and Achievements, 2014-2018**
4. **Vision, Statement of Purpose and Values** (P13)
5. **Review of Internal and External Environment (SWOT Analysis)** (Pages 14-17)
6. **Strategic and operational context** (Pages 18-26)
7. **Aims and Objectives** (Page 27-28)
8. **Finance and Resources** (Page 29)
9. **Monitoring and evaluation** (Page 29)
10. **Appendices**
 - 10.1 **Appendix 1 - Headline Figures, 2014-2018** (Page 30-31)
 - 10.2 **Appendix 2 - Action Plan, 2018-2022** (Pages 32-53)
 - 10.3 **Appendix 3 - Organisational Chart (June 2018)** (Page 54)

1. Heritage Services Commitment

Since the establishment of Rotherham Heritage Services in 2011, it has been an organisation that has continually changed and adapted and has now begun to lay the foundations of a more aspirational and ambitious vision that resonates not only locally but nationally.

The diversity of Rotherham's heritage and its stories provide significant and meaningful opportunities to enable it to *become one of the most child-friendly museum and heritage services in the UK, to create stronger and more connected communities across Rotherham and to inspire participation and engagement.*

The difference will be that this journey will *place children and young people at the heart of what we do* to shape and drive forward these opportunities for everyone, providing children with the best start to life and ensuring that the organisation and the services it delivers are equipped with the framework and structures to develop, change and grow into the future.

We want to pioneer change for children and for all communities in our borough and provide everyone with opportunities to explore and experience the wonder and joy of their own heritage and Rotherham's heritage.

We will bring people of all ages together to build connections, spark imaginations and create a positive and renowned Rotherham story for everyone.

The organisation will undergo a significant transformation in order to deliver on this promise and will create a framework to facilitate this work.

Together, we will:

create welcoming spaces that will enable children and young people and the wider community to discover, explore, spark and share stories of their heritage, linking it to places, people and the world today

encourage children and young people to experience their heritage and develop a sense of place, and ways of expressing and communicating their ideas, concepts and thoughts

open new doors and push boundaries through the power of objects and archives to create powerful connections and inspire links

create interactive opportunities for children and young people to develop their skills and creativity whilst unleashing their imagination

- develop, use and embrace a platform of co-creation ensuring children and young people and the wider community are actively involved and heard
- ensure opportunities and experiences are real, exciting, inspiring, positive and inclusive
- offer and identify opportunities for personal progression

Rotherham Heritage Services is also committed to ensuring that each and every contact will provide an opening to enjoy, experience, explore and connect

Ultimately, this is about... **Revealing Rotherham's small wonders and big stories**

2. Executive Summary

Our Vision

Heritage Service's Commitment sets out our core purpose, our vision and the difference we want to make for all communities, and particularly for children and young people, across Rotherham.

This Forward Plan sets out how the Service will lay the foundations and move towards delivering on this commitment between 2018 and 2022. There are six strategic aims at the heart of this plan, which provide a new focus for the Service and will challenge it to transform the way services are delivered for our audiences through collaborations with partners and stakeholders.

The Service has a unique role to play, not only in Rotherham but nationally and our ambition is to put Rotherham's heritage and its stories on the map to provide significant and meaningful opportunities to engage with and inspire all our communities and to become one of the most child-friendly museum and heritage services in the UK. This heritage will bring people together to build connections, spark imaginations and create a positive and renowned Rotherham story for everyone.

To achieve this, we already have amazing museum, archive and local studies collections, historical built assets and landscapes, unique stories, big ideas, passion and commitment. Investment is, however, needed to transform the way in which services are delivered to ensure children and young people are placed at the heart of everything we do. The vision will also require us to build our capacity, skills and resources to take forward new and exciting opportunities. The Service will also need to ensure that its museum, archive and local studies collections and the stories they contain truly represent and reflect the changing faces of Rotherham's communities over the generations.

Our future direction

During the lifespan of this plan, Heritage Services will lay the foundations and work towards:

Revealing Rotherham's small wonders and big stories

by:

- Becoming one of the most child-friendly museum and heritage services in the UK
- Creating stronger, more connected communities across Rotherham
- Inspiring participation and engagement
- Developing and enriching its museum, archives and local studies collections and their stories
- Raising the profile of Rotherham's heritage attracting more visitors and recognition
- Transforming service delivery and developing and strengthening the resilience of the organisation

We will explore and shape the future direction of the Service with children and young people and continue to raise the understanding, relevance and profile of Rotherham's heritage.

We will take a new programme-led approach during the course of this Forward Plan, which will as the organisation develops ensure children and young people play a key role within this. This will make sure our outputs are stronger, more relevant and audience engagement will be meaningful making the Service more resilient as a result.

We will engage with families, carers and other adults involved in the lives of children and young people creating a framework for engagement, interaction and involvement, which is inspiring and enjoyable for all.

We will review, develop and enrich the Service's museum, archive and local studies collections and the stories they contain to ensure they truly reflect the changing faces of Rotherham's communities over the generations and how they connect to the present and to the future.

We will raise the profile of Rotherham's heritage, putting it on the map, attracting more visitors and ensuring its stories and its collections receive a greater level of recognition

We will implement a robust approach to fundraising, diversifying the Service's income streams and will heavily invest in our workforce development making sure the Service is ambitious, confident and effective to realise this plan.

We are proud to be Rotherham and we want to create a positive and renowned story that intrigues, inspires and attracts local residents and visitors alike, which is relevant to their lives.

3. Who we are and what we do

3.1 Organisational History and Collections Overview

Rotherham Heritage Services was established in 2011 following the merger of the 'Museums, Galleries and Heritage' and 'Archives and Local Studies' Services. The Museums, Galleries and Heritage Service can trace its origins back to the foundation of Clifton Park Museum in 1893 and the original displays were put together under the supervision of the V&A Museum. These were made up of loans from other museums, local gentry or nobility, and local societies including Nottingham, Derby and South Kensington Museums; the Duke of Norfolk and Earl Fitzwilliam; Rotherham Naturalists Society and Rotherham Photographic Society. These objects have since been donated to the museum and over the last 125 years, the museum collections have developed and expanded with collections from all over the world and covering every aspect of history and art.

In the 1970s, the first full time professional curatorial staff were employed and the collections were further developed concentrating on local interest. At the same time a new, more secure, extension was built to replace the old buildings around the courtyard at the museum. In 2005, the museum was re-opened following a two year closure, with a complete re-display funded by the Heritage Lottery Fund.

The museum collections now contain approximately 100,000 objects including archaeological finds, ceramic and glass objects, fine art items, natural science specimens and social and industrial history objects. Within these collections, there are many objects of significance alongside popular items that members of the public return to see from year to year. These include:

- Roman finds from the Templeborough Fort
- Sagar Hoard
- Floor tiles and brickwork from the College of Jesus
- Glass ware potentially produced at Catcliffe Glass Cone
- Rockingham Pottery and the world renowned Rhinoceros Vase
- George Wright watercolour collection
- Significant 19th and 20th Century oil paintings and watercolours by Henry Redmore, John Rogers Herbert, John Russell, George Romney, Dame Ethel Walker, F N Souza and Henry Herbert La Thangue
- Sculptures 'The Sentry', 'Torfrida' and 'Bacchanalian Scene' by Charles Sargeant Jagger and 'Puck on a Toadstool' by Harriet Hosman
- Nelson, a Cape lion and Marco, a European brown bear
- Example of early taps and water valves from Guest and Chrimes, Brassworks

In 2014, the York and Lancaster Regimental Museum (established in 1985 with Rotherham Council as sole trustee) was co-located with Clifton Park Museum expanding the offer on site. The regimental museum collection consists of around 3,500 objects and around 15,000 photographs and archives that originate from or have an association with the York and Lancaster Regiment, or its forbears, the 65th and 84th Regiments of

Foot, dating from the mid-18th Century. The regiment recruited not only from Rotherham and its surrounding areas but from Sheffield and Barnsley and is inextricably linked with all these communities.

Rotherham Archives and Local Studies Services was established in 1986 following the abolition of the South Yorkshire County Record Office to preserve records of all aspects of life within Rotherham Metropolitan Borough and to make them accessible for use by members of the public. Prior to this date, archives and local studies material was collected by Rotherham Libraries since at least the 1930s.

The Service holds more than 1,000 separate archive collections in a variety of formats. They document the Borough's diverse history and culture from the 13th century to the present day and include the archives of people, organisations, local authorities and businesses in the Rotherham Borough reflecting the changing landscape, communities and economy. The collections specifically cover:

- Records of Rotherham Metropolitan Borough Council and its predecessors
- Records of places of worship and religious faiths, excluding Church of England
- Official records including parish councils and their predecessors, which cover the poor law unions; from public bodies such as magistrates/coroners court, health bodies and manorial records
- Records of organisations, businesses, individuals, societies, public and private institutions including: records of clubs and societies; records of local community groups; business archives; personal and family papers, including letters, diaries and photographs and archives of trade unions, political parties and pressure groups

Notable and significant collections and items include:

- York and Lancaster Regimental Archive
- Business archives of Guest & Chrimes, Brass Founders; Beatson Clark, Glass Manufacturers; Parkgate Iron & Steel Co.
- Feoffees of the Common Lands
- Dorothy Green papers
- Family and estate papers of Verelsts of Aston Hall; Walker Family; Bosviles of Ravenfield
- Parker Rhodes, Solicitors
- Lady Mabel College and Students' Association
- Rockingham Pottery pattern book

Rotherham Archives and Local Studies also collect other material such as books, pamphlets, locally produced publications, local newspapers and other printed material; photographs; ephemera and copies of significant archives relating to Rotherham but held elsewhere.

The Service is also responsible for the development and management of key heritage sites across Rotherham Borough, which includes:

- Boston Castle; 18th century aristocratic folly commissioned by the Earl of Effingham
- Keppel's column; 115ft tower built to mark the acquittal of Admiral Keppel, commissioned in 1778 by the 2nd Marquess of Rockingham
- Catcliffe glass cone; 18th century glass cone

- Waterloo pottery kiln; built in 1815 as part of the world renowned Rockingham Pottery works
- Payne Mausoleum; built in 1834 by Thomas Payne in memory of the Payne family of Newhill Hall
- Walker Mausoleum; built in 1780 in memory of the Walker family of Clifton House

Each building including Clifton House (Clifton Park Museum) has listed status including Grade 1, 2*, 2 and Ancient Scheduled Monument status and have been managed by different owners and organisations over the years.

The Service is also responsible for two outstores for the museum and archive and local studies collections. These outstores have been rationalised in recent years.

3.2 Organisational scale and reach

Rotherham Heritage Services is a service managed and delivered by Rotherham Metropolitan Borough Council. The Service's collections, stories and reach are local, regional, national and international with a strong focus on industrial development and engineering excellence, as well as reflecting the development of local communities across the borough.

The Service has an essential role in preserving, collecting and engaging with audiences to develop and share these stories, putting Rotherham on the map. It delivers formal and informal learning programmes, varied exhibitions, events and activities programme and provides a wide range of volunteering opportunities. It supports three active friends groups. It also provides an enquiry service and offers professional advice and guidance to individuals, community groups and other organisations.

Both Clifton Park Museum and the York and Lancaster Regimental Museum are accredited by Arts Council (England) and Rotherham Archives and Local Studies will be seeking accreditation from The National Archives in 2018 as required by all Places of Deposit. Clifton Park Museum building is also a Quality Assured Visitor Attraction under Visit England's Visitor Attraction Quality Assurance Scheme (VAQAS).

Rotherham Archives and Local Studies operates within the legislative framework of the Public Records Acts, Local Government Act, General Data Protection Regulation, Freedom of Information Act, Representation of the People Act and Environmental Information Regulations. All material in its care is made available for research in line with the Acts and Regulations. This material includes public and presentation records relating exclusively to the areas of Rotherham Metropolitan District to be placed in a local place of deposit under the Public Records Act 1958 and by designation of the Master of the Rolls through The National Archives, manorial and tithe documents as indicated by various legislation including the Law of Property Act, 1922 and the Tithe Act, 1936.

The organisation is a medium sized Service with 19.3 FTE, along with additional temporary staff working on specific projects. During 2017/18, the Service worked with approximately 22 active volunteers, as well as numerous members from the Service's Friends groups. The Service's annual net budget in 2017/18 was approximately £517,000.

3.3 Review of Performance: Successes and Achievements, 2014-2018

Over the last 4 years, the Service's offer has grown, becoming more relevant and engaging, with consistent positive feedback and there have been many successes and achievements¹.

These have included:

- Greatly enhanced visitor offer through:
 - development of a more co-ordinated offer across Clifton Park and Museum and Boston Castle and Parklands as single visitor destinations. Both sites saw their highest ever visitor figures in 2016/17 and 2017/18 respectively. Clifton Park Museum has also been recognised by VisitEngland through their Visitor Attraction Quality Assurance Scheme (VAQAS) and has seen its score increase from 69% to 81%;
 - improved and expanded online presence following the launch of new websites for Clifton Park and Museum, Boston Castle, Rotherham Heritage Learning and Clifton Conservation Service. Clifton Park and Museum also has a very popular and engaging Facebook page;
 - complete re-display of the York and Lancaster Regimental Museum drawing out fascinating stories linked to Rotherham, along with receiving a grant to catalogue the internationally significant regimental archive;
 - re-location of the Archives and Local Studies searchroom to Clifton Park Museum;
 - development of a more co-ordinated approach to improve accessibility to the museum and archive collections through exhibitions, events and activities, digitisation, as well as providing a comprehensive enquiry service for remote users
 - acquisition of significant items relevant to Rotherham. These include a 4th Century Roman pendant, medieval finger ring, three portraits of the Verelst family members of Aston Hall, two paintings of Chapel on the Bridge painted by Stephen Grady, a French resistance fighter who was stationed at Wentworth Woodhouse, papers and medals of Captain Simpson relating to his time in the York and Lancaster Regiment during World War One, South Yorkshire Coroner's (Rotherham District) records, Rotherham Magistrates Court registers, records from Maltby and Kiveton Park collieries and the business papers of D&S Clarke (Brickworks);
 - improvement in general visitor facilities through the Granary Café, gift shop and utilisation of space to better support the delivery of services, along with installing Wi-Fi at all key sites
- Delivery of increasingly ambitious and innovative engagement programme through:
 - improved and expanded offer through the Service's learning offer, which was re-launched in 2014 and now offers dynamic and relevant sessions. These include immersive sessions relating to Clifton House, Egyptians, Stone Age, Romans, as well as more recently introducing a new STEM session drawing on the Service's collections and the stories of Rotherham and its people;

¹ See Appendix 1 for Headline Figures, 2014-2018

- delivery of dynamic and forward thinking exhibitions and events, which not only resonated locally but also attracted visitors from further afield. Themes have included; commemorating significant events one hundred years after World War One; Rockingham Pottery, Victorians, The Steel Man, Childhood as well as opening up key heritage sites. Participation in events increased by 150% during this period enabling greater involvement by key target audiences including children and young people. A series of immersive events were also piloted as part of a wider fundraising project. The Service also partnered with the University of Sheffield focussing on 'Research and Practice: Engaging toddlers in museum practice';
 - delivery and involvement with key outreach and engagement projects including Boston Castle, an 18th Century aristocratic hunting lodge which was brought back in to use for members of the public; Discovery course to inspire adults with their learning, particularly if they had not attended university; Dearne Valley Landscape Partnership engaging local people with their heritage in this area, Three Cranes supporting the development of the heritage aspects of the building and with The Steel Man;
 - improved volunteer programme, which also supported a number of work experience placements to improve employability prospects. Closer links have also been built with the Service's three Friends groups.
- Improved organisational resilience through:
- development and involvement in key projects supporting delivery of services including the South Yorkshire Archive Partnership; Dearne Valley Landscape Partnership; Royal Armouries, Fundraising for Archives and the Future Proof Museums programme. This latter programme has enabled the Service to review its direction of travel and statement of purpose, whilst strengthening its business delivery model;
 - development and involvement with a broad portfolio of meaningful collaborative partnerships with key organisations and individuals including the Children, Young People and Families' Consortium, Rotherham Cultural Education Partnership, Rotherham Ethnic Minority Alliance, Barnsley Council, Wentworth Woodhouse Preservation Trust, Museums Sheffield, Royal Armouries, South Yorkshire Archives Partnership and Archives for Yorkshire;
 - retention of key professional standards including Museums Accreditation for both Clifton Park Museum and the York and Lancaster Regimental Museum with minimal areas for improvement. The Service continues to work towards Archives Accreditation. Prior to the Museums Accreditation application, the Service undertook a key collections management project to review its collecting priorities and was also able to secure funding to progress a critical project focussing on Care of Collections;
 - development of commercial and fundraising activities including venue hire extending the reach of individual sites, launch of Rotherham Heritage Learning and Clifton Conservation Services, development of Service's first fundraising strategy and case for support, participation in Audience Finder² and Archives Visitors' surveys. The Service has also

² National audience data and development tool developed by the Audience Agency

generally seen an increase in spend per head across the board and has reduced its reliance on local authority funding over four years;

- securing critical funding improving its track record in the delivery of key projects. These projects are outlined above;
- review of operational models to deliver more efficient and effective services including learning and events, whilst implementing a more robust performance management framework;
- implementation of new structure with clearly defined roles and responsibilities, creating capacity in project development, fundraising and commercial services. The Service has further grown in its thinking and ambition and in 2017; it was shortlisted for the Council's 'Big Hearts, Big Changes' Team of the Year Award.

DRAFT

4. Vision, Statement of Purpose and Values

In 2015/16, the Service had the opportunity to take part in the Future Proof Museums programme (delivered by the Arts Marketing Association funded by Arts Council (England)). This helped the Service to develop its new commitment, redefine its purpose and review its position against the Spectrum of Audience Engagement³. The outcome of this work is set out below:

<p style="text-align: center;">VISION</p> <p style="text-align: center;">Revealing Rotherham's small wonders and big stories</p> <p style="text-align: center;">And over the next 5-10 years by placing children and young people at the heart of what we do, we will:</p> <p style="text-align: center;">become one of the most child-friendly museum and heritage services in the UK; create stronger, more connected communities and inspire participation and engagement with everyone</p>				
<p style="text-align: center;">STATEMENT OF PURPOSE</p> <p style="text-align: center;">Rotherham Heritage Services will bring people together to build connections, spark imaginations and create positive and renowned Rotherham stories for everyone.</p>				
<p style="text-align: center;">VALUES</p> <p style="text-align: center;">Inspiring Inclusive Honest Challenging Real</p>				

³ Developed by Morris, Hargreaves, McIntyre (<https://mhminsight.com/>)

5. Review of Internal and External Environment (SWOT Analysis)

Strengths	Weaknesses
<p>Clear decision making and reporting infrastructure within the governing body</p> <p>Service placed within Culture, Sport and Tourism department allowing cross sectoral working and support</p> <p>Emerging working relationships and partnerships with different groups of children and young people</p> <p>Clear fundraising strategy and Case for Support with focus on children and young people</p> <p>Statutory funders demonstrating willingness to support Service</p> <p>Excellent track record in delivering externally funded projects</p> <p>Involvement with key partnerships to deliver services e.g. South Yorkshire Archives Partnership, Rotherham Cultural Education Partnership; Great Place Scheme</p> <p>Capital investment in recent years:</p> <ul style="list-style-type: none"> - York & Lancaster Regimental Museum; - Boston Castle; - Catcliffe Glass Cone; - Temporary Exhibition Gallery space at Clifton Park Museum - Conservation laboratory <p>Unique museum and archive and local studies collections with clear USPs linked to Rotherham's heritage; engineering</p>	<p>No strategic plan to develop heritage across borough</p> <p>Limited knowledge and data relating to users and potential users/profile of visitors across whole Service including children and young people</p> <p>No focused consultation with target audiences including children and young people available to inform development</p> <p>No clear engagement plan for medium to long term</p> <p>Little or no local information/data available about impact of services for target audiences with limited case studies</p> <p>Current governance arrangements limit fundraising opportunities with limited knowledge of fundraising practices within the wider Council</p> <p>No marketing strategy and clear identity/brand for Service</p> <p>Partnership working with particular key organisations/individuals at early stage in development</p> <p>Collections are not fully representative of communities within Rotherham (past and present)</p> <p>Limited development and management of museum collections with historical legacy issues, with poor storage conditions for part of collections</p> <p>Limited collections information available or accessible for</p>

<p>excellence and communities</p> <p>Beautiful historic buildings located in historical landscapes</p> <p>Strong core offer through learning service</p> <p>Unique offer through Clifton Conservation Service</p> <p>Showcasing Clifton Park Museum through delivery of celebratory services</p> <p>Good levels of staff expertise in key areas including formal learning; conservation; regimental collections; customer care</p> <p>Integrated delivery of services between museums, archives and local studies</p> <p>Complementary visitor facilities; café, retail, room hire with improved delivery of commercial services</p> <p>Accredited museums with Clifton Park Museum Quality Assured as Visitor Attraction by VisitEngland</p> <p>Free admission to sites</p> <p>Car parking available and easily accessible by public transport to town centre sites</p> <p>Active group of volunteers</p> <p>Strong digital presence for Clifton Park and Museum site</p> <p>Strong partnership and joint working with Clifton Park</p>	<p>members of the public and staff, with few stories revealed relevant to target audiences including children and young people</p> <p>Outdate exhibitions with limited immersive experiences</p> <p>Limited staff skills and knowledge to work with/be led by children and young people; co-production/co-designing services; of collections and their stories; fundraising, upselling commercial services; of key ICT systems; event management</p> <p>Limited capacity relating to long term strategic Service development, project development, partnerships, research and knowledge of the collections, fundraising, commercial services</p> <p>Working within a large organisation, limiting ability to be creative, take risks and respond to opportunities in timely manner</p> <p>Limited space with conflicting priorities to develop services relevant to audiences e.g. Children's Art Gallery</p> <p>Friends groups not representative of local population and overall user groups</p>
--	--

Opportunities	Threats
<p>Strategic transformation of services within the Culture, Sport and Tourism department addressing some capacity issues</p> <p>Development of and involvement with new Cultural Strategy, launch of Children's Capital of Culture</p> <p>Development of Visitor Attraction Model</p> <p>Development of Town Centre Master Plan</p> <p>Development of key partnerships and delivery of services; South Yorkshire Archives Partnership; Rotherham Cultural Education Partnership; Museums Sheffield</p> <p>Statutory funding bodies along with a number of trusts and foundations aiming to increase their funding outside of London demonstrating willingness to work with Rotherham organisations</p> <p>Diversify income streams through implementation of fundraising strategy, adopting project by project approach based on clear Case for Support</p> <p>Increase engagement and participation particularly with and by children and young people and audiences currently underrepresented</p> <p>Develop framework to enable children and young people to co-produce and co-design services, supported by and driven the Council and key partnerships in Rotherham</p> <p>Develop clear identity/brand for Service</p>	<p>Current economic climate and increasing pressures on budget</p> <p>Decrease in number of visitors/users impacting on relevance of Service and on income</p> <p>Competition from similar/other providers</p> <p>Current governance arrangements impacting on delivery of Fundraising Strategy</p> <p>High levels of competition for funding streams</p> <p>Poor storage for collections with pressure to relocate from main collections store within 3-5 years</p> <p>Aging museum's collections management system leading to loss of data</p> <p>Digital landscape including born digital records leading to black hole in archive and local studies collections</p> <p>Limited staff capacity and relevant skill sets particularly relating to collections management; development of historic sites; fundraising, events management and marketing</p> <p>Limited succession planning</p> <p>Changing legislation including 20 year rule; GDPR</p> <p>Unclear implications of impact of Brexit</p>

<p>Creation of destination management plan</p> <p>Rationalise and diversify collections to reflect communities within Rotherham whilst focussing on stories of relevance to children and young people</p> <p>High profile loans; attract touring exhibitions</p> <p>Delivery of key development projects; Care of Collections; Great Place; Young Roots</p> <p>Develop and diversify learning offer</p> <p>Develop volunteer programme; support work experience placements and apprentices; build on work of Friends groups</p> <p>Continue to develop commercial opportunities relating to the collections; Clifton Conservation Service; catering (development of new café for Clifton Park and Museum site); retail (grow offer including online); room hire</p> <p>Build on recommendations of external inspections including Health Check; Museums Accreditation; VAQAS</p> <p>Develop capacity, skills and knowledge of staff and volunteers drawing on sector support networks</p> <p>Develop digital strategy and identify key partners in digital sector to engage with audiences in different ways; improve efficiency of Service by streamlining systems and procedures</p> <p>Incorporation of visual arts within wider offer</p>	
---	--

6. Strategic and Operational Context

6.1 Strategic Context

6.1.1 Rotherham Heritage Services work is directed by Rotherham Metropolitan Borough Council's *Council Plan 2017-2020*, which has four key priorities. These are:

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

The Regeneration and Environment Directorate has its own service business plan to support delivery of the above and this feeds into the Culture, Sport and Tourism Service Plan. Both these plans have identified four key underlining themes to assist in shaping and developing services and service delivery, which are:

- Economic growth
- Modernisation
- Being more commercial and maximising income generation
- Engaging with and empowering communities

A Cultural Strategy is also due to be launched in 2018, which will shape Rotherham's vision for culture, leisure and green spaces.

6.1.2 Rotherham Heritage Services work is also informed by key strategic documents developed by lead organisations from within each sector and it has developed its aims and objectives to reflect these priorities. These aims and objectives are outlined in section 7.

The key strategic documents include:

- Arts Council's strategic framework; *Great art and culture for everyone* (<https://www.artscouncil.org.uk/about-us/our-mission-and-strategy-0>)
- Museums Association's vision document for museums; *Museums Change Lives* (<https://www.museumsassociation.org/museums-change-lives/the-impact-of-museums>)
- The National Archives' vision document *Archives Unlocked* (<http://www.nationalarchives.gov.uk/archives-sector/projects-and-programmes/strategic-vision-for-archives/>)

Great art and culture for everyone

At the heart of this framework are a series of goals, which are as follows:

- Goal 1: Excellence is thriving and is celebrated within arts, museums and libraries

- Goal 2: Everyone has the opportunity to experience and be inspired by the arts, museums and libraries
- Goal 3: The arts, museums and libraries are resilient and environmentally sustainable
- Goal 4: The leadership and workforce in the arts, museums and libraries are diverse and appropriately skilled
- Goal 5: Every child and young person has the opportunity to experience the richness of the arts, museums and libraries

These goals support each other, and success in one goal contributes to success in others. Arts Council England's core mission can be distilled into two goals; 'we want excellent arts and culture to thrive', and 'we want as many people as possible to engage with it'.

Underpinning Rotherham Heritage Service's work with children and young people will also see the integration of Arts Council England's *Quality Principles*, which are as follows:

- Striving for excellence and innovation
- Being authentic
- Being exciting, inspiring and engaging
- Ensuring a positive and inclusive experience
- Actively involving children and young people
- Enabling personal progression
- Developing belonging and ownership

Museums Change Lives

This visionary document from the Museums Association is a powerful statement of the difference that modern museums can make, which show they can be an essential part of the fabric of society and relevant to diverse and changing communities. It focuses on three key areas:

- Enhancing health and wellbeing
- Creating better places to live and work
- Inspiring engagement, debate and reflection

Archives Unlocked; Releasing the Potential

This visionary document from The National Archives focuses on the needs and ambitions of the archives sector, while making the case for realising their unique potential and relevance in preserving the diversity of the nation's heritage. It articulates three ambitions for the benefits of archives and emphasises that 'Archives will strengthen society through the *trust* they inspire, the *enrichment* they offer and their *openness* to all'.

In summary:

- People and institutions trust in the authenticity of archive records, and how they are preserved and presented
- Archives enhance and enrich our society intellectually, culturally and economically
- Archives cultivate an open approach to knowledge and are accessible to all

These ambitions, goals and key areas are reflected within the Service's aims and objectives. Other key strategic documents including those of key funders will also influence and shape the work of the Service going forward.

6.2 Operational Context

The work of Rotherham Heritage Services is guided by a series of policies, plans and procedures as required by the Council, Museums Accreditation and Archive Accreditation Standards. These include collections development, documentation and information, care and conservation, audience development, access, security, emergency and business continuity along with volunteering and safeguarding. It also works to a robust performance management framework, which ensures it utilises its resources efficiently and effectively.

The Service also needs a good understanding of its current audiences, visitors and users in order to develop and target its offer in the future and its position in 2017/18 was as follows:

Quantity

- On average, there were just over 7,300 visits per month to Clifton Park Museum and the York and Lancaster Regimental Museum (excluding July and August) although the winter months were quieter. During July and August, visitor numbers were higher at 12,000 and 19,500 visits respectively.
- Boston Castle (only open for a limited time during the spring and summer months) attracted on average 50 visitors a day.
- Service also welcomed just over a further 100 visitors to its other historic sites made accessible through a series of open days.
- Rotherham Archives and Local Studies searchroom welcomed nearly 1,900 researchers to its searchroom and dealt with nearly 900 remote enquiries and retrieved over 19,000 archive document and local studies items for consultation and use
- Rotherham Heritage Learning service delivered 65 school sessions for over 1,400 pupils. A further 9 schools visited Clifton Park Museum for unassisted visits.

Geographic

- 58% of visitors⁴ coming to Clifton Park Museum come from within the borough with a large proportion of other visitors travelling from within the wider region. A handful of national and international visitors also visit.
- Data collection and analysis for the geographical location of visitors to Boston Castle and the other historic sites is unknown.
- It is recognised that there is significant potential to expand audiences from major urban centres, which are further afield.
- Just over 80% of onsite visitors to Rotherham Archives and Local Studies are drawn from the wider region (with 37.5%⁵ from within the Rotherham Borough). Remote users are more widely located across the whole of the UK, with some located abroad. No formal research has been undertaken to determine this geographical spread and is a reasonable assumption that can be drawn from information provided by the user.
- In 2016/17, 93% of schools attending formal sessions were drawn from the Rotherham area, with Rotherham Central showing the greatest increase.

⁴ Audience Finder – Clifton Park Museum data entry 2017-18

⁵ CIPFA Survey of Visitors to UK Archives, 2016

Social

- General admission to all sites is free although there are charges for some services, activities and events. The Service aims to minimise financial barriers to the use of sites and the collections, where possible.
- The largest group of visitors to Clifton Park Museum are families and can be identified using the Audience Agency's segmentation tool as 'Facebook Families' and 'Trip and Treats'⁶. These segmentations make up nearly half of this group, which is significantly higher than the national average.
- It is, however, recognised that visitors do not fully reflect the social diversity of Rotherham, including representation from more deprived groups and wider geographic areas of the borough. This is a wider trend reflected amongst museum visitors nationally. Rotherham is currently the 52nd most deprived district.
- Further information is required to analyse visitors to Boston Castle, other historic sites and Rotherham Archives and Local Studies.
- In 2016/17, 29% of all individual schools visiting were located in deprived areas.

Cultural

- The cultural make-up of Rotherham⁷ is not sufficiently reflected within visitor numbers or user numbers and only a small proportion of these groups are represented. This will need to be addressed going forward.
- The only available data within the Service is for Clifton Park Museum and Rotherham Archives and Local Studies. Visitors to Clifton Park Museum who completed a visitor survey in 2017-18 identified themselves as following: 92% 'White British' or 'White other' (compared with 89% from the Yorkshire and Humber regional data); 4% Asian or Asian British compared to 2%; 3% Other compared to 1%; 1% as Mixed: Multiple ethnic background compared to 2%; 0% Black or Black British compared to 7%. Visitors to Rotherham Archives and Local Studies searchroom identified themselves as follows: 100% White⁸.

Age

- The majority of visitors to Clifton Park Museum are adults aged 25-44 who come as part of family groups. This is 20% higher than the Yorkshire and Humber regional data⁹. This is particularly notable at events and activities held at both the Museum and Boston Castle. The Service will build on this in line with its Commitment to put children and young people at the heart of everything it does.
- No detailed information is available about children and young people and this will be addressed during the lifespan of this Forward Plan in order to inform service developments.
- The majority of users of Rotherham Archives and Local Studies (through visits to the searchroom (71%) and through the Service's remote enquiry service (84%) are over 45, which is similar across the UK¹⁰.

⁶ Further information about the Audience Spectrum Pen Portraits can be found here: <https://www.theaudienceagency.org/audience-spectrum/profiles>

⁷ 'The population is increasingly diverse, with around one person in 10 from a minority ethnic group' – Rotherham Council's Borough Profile, 2018

⁸ CIPFA Survey of Visitors to UK Archives, 2016

⁹ Audience Finder – Clifton Park Museum data entry 2017-18

¹⁰ CIPFA Survey of Visitors to UK Archives, 2016 and CIPFA Distance Enquiry Services Survey, 2015

Motivations

- The top three motivations for visiting Clifton Park Museum were to spend time with friends and family (46%), which increased by 12% from 2016-17; to entertain children (13%) and to educate/stimulate children (8%)¹¹.
- The most frequent reason for visiting Rotherham Archives and Local Studies was to conduct family history research (44%), however this has declined since 2014 (64%). Other common reasons were military research (40%); local history research (20%) and academic research (17%). This is comparable to UK data except for military research, which is significantly higher in Rotherham¹².
- The most frequent reasons to contact Rotherham Archives and Local Studies were family history (54%); formal education (11%); work in connection with employment (12%) and for personal/leisure interests (10%)¹³. This is comparable across the UK.
- The motivations for visiting other historic sites including Boston Castle or accessing different services with Heritage Services have not been formally measured.

6.3 Review of Customer Feedback

A variety of methods are used to gather feedback from visitors and users, which include visitor surveys, comment books, comment cards, evaluation forms relating to particular events and activities, online reviews, as well as through comments made by visitors in person and/or staff observations. The Service also draws together feedback through its enquiry service and from the Council's suggestions form on the website. Complaints are dealt with through the Council's complaints procedures. The Service also works closely with its friends groups, who provide regular feedback at their meetings. This feedback is taken into account when reviewing, developing and planning services.

Participating in the VAQAS scheme also allows the Service to reflect upon its strengths and where there are areas for improvement.

Visitor comments are in the main very positive and any negative comments are discussed with the customer where possible and changes or improvements are made, where appropriate.

Below are some comments from visitors and users taken from feedback from visitor surveys, workshop and group visit evaluation forms, enquiries and from online reviews during 2016-17 and 2017-18:

- School review of Stone Age session; 'It was a brilliant well-resourced session and I would not hesitate to book it again...We are so lucky to have such a great team so close to home. Keep up the good work.' (January 2018)

¹¹ Audience Finder – Clifton Park Museum data entry, 2017-18

¹² CIPFA Survey of Visitors to UK Archives, 2016

¹³ CIPFA Distance Enquiry Services Survey, 2015

- School review of Ancient Egyptians session; 'An excellent morning. Really inspired our pupils at the start of their topic.' (September 2017)
- Comment from Dementia Tea Dance; 'Lovely to see people happy for a few hours.' (June 2017)
- Verbal feedback from attendee at talk about the Battle of the Somme; 'Talk has changed my view of the Somme offensive and that it was an eye opener' (June 2016)
- Feedback from a couple who got married at Clifton Park Museum; 'We were delighted with how helpful and friendly the staff were, which made our day even more special.' (May 2017)
- Feedback on reminiscence session from a Care Home; 'Absolutely amazing session enjoyed by residents and carers, so many giggles shared' (May 2017)
- Visitor to Clifton Park Museum from Chicago; 'Fabulous museum, ideas exceedingly well presented. Staff terribly kind and knowledgeable. You should win first place as the UK's Museum of the Year' (October 2017)
- Visitor to Boston Castle; 'My sister and I went on a trip down memory lane...The last time we had seen it, it was a sorry state, boarded up and neglected...Now, wow, such a transformation. Lottery funding has allowed this tired building to be brought back to former glory and to give us an insight to how life was in those bygone days' (August 2017)
- Feedback from The Steel Man exhibition; 'My grandad worked in mining and my father-in-law spent a lifetime in the steel industry...so I along with many Rotherham people can see our families reflected in the exhibition. It meant so much to me on a very personal basis to see the stories, the memories and the passion and ambition for the future'. (October 2016)
- Comment card about the Glass exhibition; 'It has made me think about the world in a different way' (Spring 2016)
- Customer testimonial for Clifton Conservation Service; 'I would recommend your services to anyone who required repair of valuable antique items' (October 2017)
- Comment from visitor to Rotherham Archives and Local Studies; 'We came from California to research family history from the 1820s. Staff was very friendly and extremely helpful. Much appreciated.' (April 2017)
- Feedback from user of Rotherham Archives and Local Studies; 'I am immensely and truly grateful to you for clearly taking time to look up and research members of my ancestry and I'm absolutely amazed by the amount of information that is available... I'm sure you agree we owe it to our ancestors to keep their spirit and legacy alive and it would be a great dishonour to forget them.' (May 2018)

6.4 Assessment of progress against Areas for Improvement

These improvements specifically relate to recommendations from Museum Accreditation, Appointment as Place of Deposit (pre Archives Accreditation) and VAQAS rather than customer feedback.

Museums

The areas for improvement as highlighted by the accreditation panel on 25 February 2016 are as follows:

- Management arrangements; provide an update on local authority structure and confirm changes to delegated powers to approve, following departure of commissioners;
- Workforce; ensure volunteer agreement includes a clause that clearly states it is not a legally binding contract for employment; provide brief update on vacant posts;
- Environmental Policy; provide plans for the production of a separate policy on environment;
- Collections Development; amend current collection development policies to include paragraph 16.12 and submit with appropriate signed approval
- Care and Conservation; produce a care and conservation policy, along with appropriate signed approval; develop current housekeeping plan into a care and conservation plan ensuring it includes all key areas
- Documentation; confirm progress against relevant actions in documentation backlog plan
- Users and non users; provide an update on audience data collection and its impact on programming

These have been progressed during the lifespan of the previous Forward Plan and will have been addressed as required for the next submissions.

The areas for improvement for Clifton Park Museum as highlighted by its VAQAS assessment, 2017 are as follows:

- Develop access statement in line with the new Accessibility guidelines;
- Update and improve the website; make events calendar more accessible; add more information about café menu;
- Develop visitor leaflet to include key events; seasonal opening times; include TripAdvisor logo with statement encouraging reviews;
- Ensure signage is kept tidy and up to date;
- Consider enhancing Victorian Kitchen gallery with displays of (preserved) meat, game and other ingredients;
- Consider the introduction of quiet music in certain spaces to evoke specific periods;
- Consider how the café menu can be themed to reflect the many stories and periods represented in the Museum itself and the Park;
- Further enhance the gift shop offer by gathering children's items into one or two free-standing display stands

These recommendations are being progressed, where possible within the Service's current resources. Where this is not possible, consideration is being given to how these can be resourced through future project work.

Archives and Local Studies

The areas for improvement highlighted following the confirmation as Place of Deposit on 23 October 2015 by The National Archives are as follows:

- Installation of a leak detection device in the strongroom at Clifton Park Museum;
- Consider introduction of a reader registration system in the searchroom

These recommendations have been considered but have not been progressed due to resource implication and the completion of a thorough risk assessment to determine the security of the archives whilst being consulted in the searchroom. This assessment concluded that a robust system already exists and the introduction of a reader registration system could become a barrier to access.

6.5 Deviations/Issues Arising from Previous Plan

There have been no significant deviations from the previous Forward Plan.

Issues have arisen relating to the progress of specific pieces of work or projects owing to resource availability and these include:

- Understanding audiences
- Developing clear benchmarking data
- Development of learning/audience development plan
- Development of environmental policy
- Establishment of a formal security working group
- Delayed implementation of the Care of Collections project

These pieces of work or projects are underway but are beyond the intended deadline and will be incorporated into the new Forward Plan for the Service.

6.6 Recommendations

This new Forward Plan has made some key decisions relating to the change of its vision and statement of purpose. This will need to be supported by an organisation that will undergo a significant transformation in order to deliver on this commitment and promise, creating a new framework for delivery.

The Service will work towards its new priorities informed by the Council's Plan, Cultural Strategy and the Culture, Sport and Tourism Service Plan, as well as taking into account key strategic documents from the museum and archive sectors. It will continue to work towards a sustainable

future, which will include the implementation of the Service's fundraising strategy, as well as building on key partnerships. It will also be able to demonstrate its social and economic impact more effectively.

The Service will adapt and grow in a demanding and changing environment, ensuring it puts children and young people at the heart of what it does.

DRAFT

7. Aims

Building on the Heritage Service's Commitment, vision and statement of purpose, a series of 6 aims and 13 objectives have been developed in order to deliver on this Forward Plan. These aims and objectives are underpinned by the delivery of the Service's action plan¹⁴.

7.1 Aims

Strategic Aim 1: Explore and shape the future direction of the Service with children and young people

Strategic Aim 2: Implement a strong programme-led approach ensuring children and young people play a key role across Heritage Services

Strategic Aim 3: Create a framework for engagement, interaction and involvement for children and young people and their families, carers and other adults involved

Strategic Aim 4: Review, develop and enrich the Service's museum, archive and local studies collections and the stories they contain

Strategic Aim 5: Raise the profile of Rotherham's heritage attracting more visitors and recognition

Strategic Aim 6: Develop and strengthen the resilience of the organisation

7.2 Objectives

These objectives reflect the Service's strategic aims as outlined above. As the action plan progresses, these objectives will adapt as the framework for delivery develops and the organisation undergoes significant transformation. These objectives are reflective of the current position of the Service in 2018.

Objective 1.1: Improve understanding of current audiences and potential audiences

Objective 1.2: Develop and implement organic model of audience engagement, embedding platform(s) for co-creation and co-production

Objective 2.1: Deliver high quality, ambitious and innovative programme of engagement

Objective 2.2: Build and develop collaborative partnerships to support delivery

Objective 3.1: Create welcoming spaces and enhance the visitor offer enabling children and young people and the wider community to explore their heritage, improve their quality of life and health and well being

Objective 3.2: Create participatory and interactive opportunities for children and young people to develop their skills, aspirations and creativity

¹⁴ See Appendix 2 for Action Plan, 2018-2022

Objective 4.1: Explore and develop the stories from the museum, archive and local studies collections enabling children and young people and the wider community to create powerful connections and to provide significant opportunities for engagement

Objective 4.2: Develop, open up and improve access to the museum, archive and local studies collections ensuring they reflect Rotherham's diverse communities and heritage

Objective 5.1: Develop recognised brand and values for Rotherham's heritage attracting more visitors and users

Objective 5.2: Develop co-ordinated approach to the development of heritage across the borough

Objective 6.1: Diversify the Service's income streams

Objective 6.2: Invest in workforce development

Objective 6.3: Ensure Service is flexible, trusted and reliable

DRAFT

8. Resources

In order to deliver and resource this Forward Plan, the Service will implement its new Fundraising Strategy, although this is currently limited in scope due to the Service's current governance arrangements. During 2018/19, the Service will utilise a grant from The National Archives Sector Sustainability Fund to investigate alternative governance arrangements relating to the South Yorkshire Archives Partnership, which would determine whether this would allow the Service to realise the full potential of its Fundraising Strategy. It is, however, anticipated that any recommendations would need to be approved and the new arrangements (e.g. development trust) implemented. In the interim, the Service will, therefore, work with funding bodies that will support local authorities services e.g. Heritage Lottery Fund, Arts Council (England), The National Archives and Historic England during the transition.

The Service will also review its current structure to ensure it is fit for purpose to deliver on this Forward Plan and has made a strong commitment to invest in staff to ensure the aims and objectives can be met. It will be essential for staff to be involved with the development of new ways of working and influencing the development of new systems to support the delivery of the new Commitment improving productivity and effectiveness of the whole of the Service.

The Service also has many valuable assets which are central to resourcing this Forward Plan:

- Museum and archive and local studies collections, which are a significant resource
- Heritage assets including buildings, which provide a strong link to local communities and Rotherham's heritage

As well as the Service's internal assets and resources, it will also be important to have an external focus which will be about working with key partners, stakeholders and audiences to achieve much more than it can deliver on its own. The Service already has a number of existing relationships with funders, partners and key stakeholders and will use them more proactively to support with developing participatory practice and engagement and to help promote and advocate for the Service.

The Service will continue to diversify its income streams as outlined within the action plan and ensure there is a balance so not to become over reliant on one funding stream.

9. Monitoring and Evaluation

The Forward Plan is reviewed annually and updated in line with wider Service Plans. The Action Plan is reviewed quarterly.

10. Appendices

Appendix 1 – Headline Figures, 2014-2018

	2014/15	2015/16	2016/17	2017/18
Visitor Figures				
Clifton Park Museum	101153	105647	115920	105001
Boston Castle	3868	2873	2773	5190
Other Sites	0	57	124	126
Archives and Local Studies	2100	1613	1784	1859
Attendance at Events				
All sites	2622	2335	6075	6584
No. of pupils attending formal school sessions				
All sites	934	1747	2193	1521
No. of volunteers hours (includes contribution from Friends groups)				
Museums/Historic Sites	2336	1276	2709	2221
Archives and Local Studies	84	115	151	222
Work Placements	1099 hours (11 placements)	722 hours (24 placements)	820 hours (19 placements)	248 hours (9 placements)
No. of enquiries				
Museum Collections	75	165	160	181
Archives and Local Studies	1397	1131	1143	895
No. of Retrievals				
Archives & Local Studies	11,187	10,001	10,312	19,388
Remote usage				
Clifton Park & Museum:				
Facebook Likes	N/A	2731	11198	15234
Page views	19,385	40,674	43,440	32,244
Boston Castle:				
Facebook Likes	Unavailable	Unavailable	Unavailable	788
Page views	5685	8234	5822	6948

Heritage Learning: Page views Twitter Followers	N/A N/A	N/A N/A	5379 N/A	1969 95
Clifton Conservation Service: Page views Twitter Followers	N/A N/A	N/A N/A	1871 59	2680 86
Archives and Local Studies page views (incl. 3 rd party providers)	34,980	Unavailable	17,447	51,435
Visitor Attraction Quality Assurance Scheme				
Clifton Park Museum	69%	72%	75%	81%
External Funding Secured				
All services	£36,509	£45,669	£49,290	£120,534
<p>Details of Grants:</p> <p>2014/15: Arts Council - Creative Employment Programme (supporting internship); Heritage Lottery Fund - Boston Castle; The Learning Tower; Museum Development Yorkshire – Developing new school session; Arts Council - Strategic Support Fund to review commercial services; Ministry of Defence – Supporting operational running costs of regimental museum</p> <p>2015/16: Arts Council - Creative Employment Programme (supporting two apprenticeships); V&A Purchase Fund, Army Museums Ogilvy Trust, Western Front Association; MCVC, Friends of Clifton Park Museum, Friends of Rotherham Archives, Regimental Association – Purchase of Captain Simpson collection; Heritage Lottery Fund – Boston Castle; the Learning Tower; Arts Council – Strategic Support Fund to review commercial services; Ministry of Defence – supporting operational costs of running regimental museum; Museum reserves – Care of Collections; Dearne Valley Landscape Partnership - Exhibition at Riverside House</p> <p>2016/17: Creative Employment Programme (supporting apprenticeship); Heritage Lottery Fund – Boston Castle; the Learning Tower; Arts Council – Museums Resilience Fund to develop fundraising capabilities; Ministry of Defence – supporting operational costs of running regimental museum; Museum reserves – Care of Collections; British Science Week; STEM activities for children; The National Archives – Development of South Yorkshire Archives Partnership</p> <p>2017/18: Arts Council – Ready to Borrow Scheme; Arts Council – Museums Resilience Fund to develop fundraising capabilities; Historic England – Development phase for Keppel's Column; V&A Purchase Fund, Headley Trust – Purchase of Medieval FingerRing</p>				

Strategic Aim 1: Explore and shape the future direction of the Service with children and young people

Objective 1.1: Improve understanding of current audiences and potential audiences

Service Action	Lead ¹⁵	Resources	Target/ Date	Outcome
Develop programme of audience research: <ul style="list-style-type: none"> - understand key target audiences - benchmark performance with similar organisations 	C&VEM VEO HEO	Core budget Staff time External funding	Annually During delivery of key projects	Improvement plan implemented to establish baseline for current audiences and potential audiences for all services Improved knowledge and understanding of target audiences Benchmark data and information available for all services Delivery mechanism for all services will be more relevant and better matched to the needs of existing and targeted audiences
Undertake and/or participate in consultation with target audiences to determine need	C&VEM P&DM	Core budget Staff time External funding	Annually During delivery of key projects	Key target audiences identified; consultation planned and implemented
Work with key organisations to determine and develop programme of evaluation and impact. To include: <ul style="list-style-type: none"> - Visitor Finder 	HSM C&VEM P&DM	Core budget Staff time External funding	Annually Reports to be received at quarterly internal performance meetings	Survey results and evaluation analysed and benchmarked. Information shapes improvement plans Statements of impact determined. Case studies available.

¹⁵ Accountable Officers is based on name of posts and are as follows: Heritage Services Manager (HSM), Commercial Manager (CM), Project Manager – Care of Collections (PM); Collections and Visitor Experience Manager (C&VEM), Projects and Development Manager (P&DM), Visitor Experience Officer (VEO), Collections Officer (CO), Archivist (A), Learning Officer (LO), Heritage and Events Officer (HEO), Conservator (C), Hospitality Officer (HO)

<ul style="list-style-type: none"> - Survey of Visitors to British Archives (CIPFA) - Archives: Distance Enquiry Service Survey (CIPFA) - Museums in Yorkshire Survey (Museum Development Yorkshire) - Great Place Team - Other lead specialists 				
---	--	--	--	--

Objective 1.2: Develop and implement organic model of audience engagement, embedding platform(s) for co-creation and co-production

Service Action	Lead	Resources	Target/Date	Outcome
Develop engagement strategy with strong focus on participatory practice	HSM	Staff time External funding	March 2021	<p>Approval and implementation of engagement strategy</p> <p>Improved understanding of new approach within organisation and by key partners</p> <p>Enhanced staff knowledge and skills to deliver on strategy</p>
Develop and implement series of pilot projects to support development of engagement strategy and participatory	HSM P&DM	Staff time Core budget External funding	Within project deadlines	<p>Delivery of series of pilot projects informing development of engagement strategy including:</p> <ul style="list-style-type: none"> - Year 1: Place Makers, Future Shapers (HLF Young Roots); Great Place (HLF) - Year 2: Impact of Visual Art for Children and Young People

practice				<p>(ACE Project Grant); Rotherham Show (HLF Heritage grant); Great Place (HLF)</p> <ul style="list-style-type: none"> - Year 3 and 4: To be determined by outcome of above <p>Increased engagement and participation by key target audiences</p> <ul style="list-style-type: none"> - Participation numbers from key target audiences - Examples of impact <p>Identification of working practices and methods to support delivery</p>
<p>Develop platform for co-production and co-creation across Service including:</p> <ul style="list-style-type: none"> - Development of children and young people's advisory board - Establish partnerships with key children and young people's groups to provide advice 	P&DM	Staff time External Funding	<p>Ongoing</p> <p>April 2019 (Review annually)</p> <p>Annually</p>	<p>Establishment of children and young people's advisory board working to determine programming meeting needs of existing and target audiences</p> <p>Areas of work identified within Service where co-production and co-creation will have impact. Principles agreed. Target audiences/users involved at first stages of design</p> <p>Staff understand and implement co-production/co-creation principles</p>

Strategic Aim 2: Implement a strong programme-led approach ensuring children and young people play a key role across Heritage Services

Objective 2.1: Deliver high quality, ambitious and innovative programme of engagement

Service Action	Lead	Resources	Target/ Date	Outcome
Develop clear programming policy for exhibition and events, with supporting system and processes	HSM C&VEM	Core budget Staff time	Mar 2019	<p>Implementation and adoption of programming policy (for whole Service) to support delivery of Forward Plan</p> <p>Key systems and processes agreed to support programming work</p> <p>Programming determines audience, key partners, activity (engagement and participation), learning offer, marketing and advocacy, fundraising and income generation</p>
Develop and deliver 3 year exhibition and events programme (2019-2022)	C&VEM P&DM	Core budget Staff time External funding	<p>Annually</p> <p>Agreed project deadlines</p>	<p>Variety of tailored exhibition and events delivered annually attracting more visitors/more often, engaging and encouraging participation with target audience determined through co-created model with children and young people</p> <ul style="list-style-type: none"> - Visitor Numbers/Previous Attendance/1st time visitors/users - Customer Satisfaction - Participation Numbers - Impact - No. of touring exhibitions/loans
Develop themes within the programme reflecting wider priorities			Mar 2019	Clear themes agreed supporting programming policy creating coordinated, accessible and relevant exhibitions and events programme
Attract high profile loans/touring exhibitions			Annually	See above

Implement new operational model for delivery of events across Service	P&DM HEO	Core budget Fees & Charges Staff time External funding	April 2018 Annually	Operational model implemented. Increased capacity to deliver events <ul style="list-style-type: none"> - Participation Numbers (based on objective of event – learning/skills development/health and well-being) - Impact - Customer Satisfaction
Develop and deliver learning service	P&DM LO	Core Funding Fees & Charges	Annually	Improved and tailored offer available to schools <ul style="list-style-type: none"> - Number of school bookings - Attendance figures - Take up within Rotherham - Impact - Customer Satisfaction

Objective 2.2: Build and develop collaborative partnerships to support delivery

Service Action	Lead	Resources	Target/ Date	Outcome
<p>Become lead partner in Rotherham Cultural Education Partnership (Embassy for Reimaging Rotherham)</p> <p>Progress overall aims and objectives of partnership and work to deliver key projects/concepts</p> <ul style="list-style-type: none"> - Children's 	HSM P&DM	Core budget External funding Staff time	April 2019 (Reviewed annually)	<p>Achieve objectives outlined within Partnership Agreement:</p> <ul style="list-style-type: none"> - Young People's voices are at the heart of everything we do - Recognisable culture and arts offer to all communities - Parents and carers engaged in cultural and artistic experiences aligned to the curriculum - New resources, projects, events created across the borough with increased engagement and promotion of wellbeing - Clear progression routes - Impact and value of work is shared - Arts are more integrated into cross cutting policies

<p>Capital of Culture</p> <ul style="list-style-type: none"> - Roll out Arts Award to all schools - Co-ordinated events programme 				
Support development and delivery of South Yorkshire Archives Partnership	C&VEM A	Core budget External funding Staff time	April 2019 (Reviewed annually)	See separate action plan, 2017-2024 outlining activity areas and actions. Progress reported to formal steering group each quarter
Support delivery of Great Place project	HSM P&DM	External funding Staff time	Reviewed bi-monthly through steering group	See separate project plan, 2017-2020 outlining stage and activity. Progress reported to formal steering group every 2 months
<p>Continue to build on/develop working relationships with other council services and external organisations to develop offer/services including:</p> <ul style="list-style-type: none"> - Friends groups - Green Spaces to ensure delivery of single visitor destinations - Events team to plan and deliver coordinated 	All managers	Staff time	Ongoing	Delivery of key initiatives/projects to meet Service's aims and objectives. See separate actions/outcomes within action plan

programme of events - Children and Young People's Service to develop/progress projects and initiatives - Children, Young Peoples, Families' Consortium - Different But Equal Board - Young Inspectors - Youth Cabinet				
Mentor South Yorkshire Transport Museum	HSM	Staff time	4/5 days per annum	Transport Museum successful in re-application for accreditation (Spring 2019)
Provide broad range of volunteering opportunities including: - Apprenticeships - Work experience placements - General volunteering	P&DM HEO	Core budget Staff time	Mar 2019 (Reviewed annually)	Demonstration of skills gain Increased organisational capacity adding value - Number of volunteers - Number of volunteer hours - Value of volunteer contribution - Impact assessment
Strategic Aim 3: Create a framework for engagement, interaction and involvement for children and young people and their families, carers and other adults involved				

Objective 3.1: Create welcoming spaces and enhance the visitor offer enabling children and young people and the wider community to explore their heritage, improve their quality of life and health and well being

Service Action	Lead	Resources	Target/ Date	Outcome
Develop Clifton Park and Museum masterplan	HSM	Staff time Core budget External funding	Mar 2019 Ongoing	Brief developed to identify scope of project Budget identified/secured to progress development phase
Support development of Visitor Attractions Model	HSM	Staff time External funding	Mar 2019	New service model developed and approved
Support development and delivery of key art projects including: <ul style="list-style-type: none"> - Tinsley Art Project - Gallery Town 	HSM P&DM	Staff time External funding	Mar 2019	Project plans developed
Undertake site improvements: <ul style="list-style-type: none"> - Planned maintenance programme for exhibitions and general improvements - Ensure 	C&VEM VEO	Core budget Staff time Premises Fund	Ongoing April 2018	Programme implemented and improvements made

<p>compliance through risk assessments and health and safety checks at all sites</p> <ul style="list-style-type: none"> - Work with Corporate Landlord Scheme to improve building assets 			Ongoing	<p>Risk assessments updated/actioned</p> <p>Building assets improved enhancing visitor offer</p>
Work in partnership with Service's Friends Groups to enhance visitor offer	VEO CE A	Staff time Core budget	Mar 2019 (Annually)	Agreement made between Service and Friends groups outlining focus and commitment to enhance visitor offer
Identify small scale funding to enhance visitor offer	VEO	Staff time External Funding	As and when required	<p>External funding secured to improve visitor offer enabling children and young people and the wider community to explore their heritage</p> <ul style="list-style-type: none"> - No. of grants/funding secured - Objectives achieved

Objective 3.2: Create participatory and interactive opportunities for children and young people to develop their skills, aspirations and creativity

Service Action	Lead	Resources	Target/ Date	Outcome
<p>Deliver key projects creating participatory and interactive opportunities including:</p> <ul style="list-style-type: none"> - Place Makers, Future Shapers (HLF Young Roots) - Impact of Visual Art for Children and Young People (ACE Project Grant); - Great Place - Rotherham Show (HLF Heritage grant) <p>Continue to attract external funding to deliver key projects to work with children and young people</p>	HSM P&DM C&VEM	Core budget Staff time External funding	<p>Dec 2020</p> <p>July 2021</p> <p>Dec 2020 Sept 2019</p> <p>Ongoing</p>	<p>Increased levels of participation and engagement particularly by those with protected characteristics</p> <ul style="list-style-type: none"> - Participation numbers from key target audiences - Examples of impact <p>Identification of working practices and methods to support delivery</p> <p>External funding secured to create participatory and interactive opportunities</p> <ul style="list-style-type: none"> - No. of grants/funding secured - Objectives achieved
<p>Involvement in key cultural events/activities</p> <ul style="list-style-type: none"> - Rotherham Show - Yorkshire Day - Great Place activities 	P&DM HEO	Core budget Staff time External Funding	<p>Sept (Annually) Aug 2020 Ongoing</p>	<p>Delivery of/participation with key cultural events/activities</p> <p>Increased levels of participation and engagement particularly by those with protected characteristics</p>

				<ul style="list-style-type: none"> - Participation numbers from key target audiences - Examples of impact <p>Identification of working practices and methods to support delivery</p>
Implement new operational model for delivery of events across Service	P&DM HEO	Core budget Fees & Charges Staff time External funding	April 2018 Annually	<p>Operational model implemented. Increased capacity to deliver events</p> <ul style="list-style-type: none"> - Participation Numbers (based on objective of event – learning/skills development/health and well-being) - Impact - Customer Satisfaction
Develop and deliver learning service	P&DM LO	Core budget Staff time Fees & Charges	Annually	<p>Improved and tailored offer available to schools</p> <ul style="list-style-type: none"> - Number of school bookings - Attendance figures - Take up within Rotherham - Impact - Customer Satisfaction
<p>Provide broad range of volunteering opportunities for young people including:</p> <ul style="list-style-type: none"> - Apprenticeships - Work experience placements - General volunteering 	P&DM HEO	Core budget Staff time	Mar 2019 (Reviewed annually)	<p>Demonstration of skills gain Increased organisational capacity adding value</p> <ul style="list-style-type: none"> - Number of volunteers - Number of volunteer hours - Value of volunteer contribution - Impact assessment

Strategic Aim 4: Review, develop and enrich the Service's museum, archive and local studies

collections and the stories they contain

Objective 4.1: Explore and develop the stories from the museum, archive and local studies collections enabling children and young people and the wider community to create powerful connections and to provide significant opportunities for engagement

Service Action	Lead	Resources	Target/ Date	Outcome
Improve research into collections drawing out key stories and identifying key moments in time	CO A	Staff time External funding	Mar 2019 Annually	Improved knowledge of collections Delivery of focused participatory/engagement projects/initiatives drawing out stories from collections Collections information disseminated within wider Service
Identify small scale funding to explore and develop stories from collections	C&VEM CO A C	External Funding	As and when required	External funding secured to improve knowledge of collections offer enabling children and young people and the wider community to create powerful connections and to provide significant opportunities for engagement <ul style="list-style-type: none"> - No. of grants/funding secured - Objectives achieved
Undertake mapping exercise to link museum and archive collections ensuring coordinated approach is taken for exhibitions, events and enquiries	CO A	Staff time External Funding	Mar 2020	Mapping exercise complete

Develop and deliver 3 year exhibition and events programme (2019-2022)	C&VEM P&DM	Core budget Staff time External funding	Annually Agreed project deadlines	Variety of tailored exhibition and events delivered annually attracting more visitors/more often, engaging and encouraging participation with target audience determined through co-created model with children and young people <ul style="list-style-type: none"> - Visitor Numbers/Previous Attendance/1st time visitors/users - Customer Satisfaction - Participation Numbers - Impact Research undertaken as part of programme disseminated within wider Service
--	---------------	---	--	--

Objective 4.2: Develop, open up and improve access to the museum, archive and local studies collections ensuring they reflect Rotherham's diverse communities and heritage

Service Action	Lead	Resources	Target/ Date	Outcome
Develop, rationalise and diversify the museum and archives and local studies collections through: <ul style="list-style-type: none"> - Work of Acquisition and Disposal Panel - Delivery of Care of Collections project - Updating Collections Management 	HSM C&VEM PM C&VEM	Core budget Staff time External Funding Reserves	Quarterly July 2019 Feb 2020 July 2019	All objects and archives acquired and disposed of according to Service priorities (as outlined with Collection Development Policies) Objectives of project met: <ul style="list-style-type: none"> - Complete outstanding flood recovery work - Replace museum's collections management database - Revalue museum collections Collections Development Policies updated and approved

Policies (Museums and Archives)				
<p>Improve access to collections in innovative and engaging ways</p> <ul style="list-style-type: none"> - Develop Digital Strategy and Action Plan - Replace museum collections management database - Participate in UK Art Sculpture Project - Develop social media presence - Develop project to create research room for production of archive and museum collections 	C&VEM CO A	Core Funding Staff time External funding	<p>Mar 2020</p> <p>July 2019</p> <p>Mar 2019</p> <p>Ongoing</p> <p>Feb 2020</p>	<p>Digital Strategy developed and approved. Action plan implemented</p> <p>Museum collections management database replaced</p> <p>Sculpture collection digitised and available through UK Art website</p> <p>Social media platforms improve access to collections</p> <p>Project developed and funding secured to create research room opening up museum collections, alongside archives</p>
Support development and delivery of South Yorkshire Archives Partnership	C&VEM A	Core budget External funding Staff time	April 2019 (Reviewed annually)	See separate action plan, 2017-2024 outlining activity areas and actions. Progress reported to formal steering group each quarter

<p>Deliver:</p> <ul style="list-style-type: none"> - Museums documentation backlog plan - Archives cataloguing action plan 	CO A	Core budget Staff time External funding	Mar 2019 (Annually)	<p>Key deadlines met to progress museums documentation backlog plan. See copy of plan for breakdown of targets</p> <p>Number of archive collections catalogued</p> <p>Number of archive records added to database</p>
Identify small scale funding to open up and improve access to the museum and archive and local studies collections	C&VEM CO A	External Funding	As and when required	<p>External funding secured to improve access to collections</p> <ul style="list-style-type: none"> - No. of grants/funding secured - Objectives achieved
Plan for exit from collections outstores	C&VEM	Staff time	Mar 2021	Plans agreed as to relocation of outstores
<p>Implement conservation programmes</p> <p>Develop Care and Conservation Plan</p>	<p>C</p> <p>C</p>	<p>Core budget</p> <p>Staff time</p>	<p>Mar 2019 (Annually)</p> <p>Nov 2018</p>	<p>Annual programme of conservation implemented ensuring delivery of exhibition programme, research interests and enquiries</p> <p>Care and Conservation Plan agreed and implemented</p>
Respond to collection enquiries	CO A	Staff time	Ongoing	<p>Enquiries answered</p> <ul style="list-style-type: none"> - No. of enquiries - Response rate - Customer Satisfaction

Work in partnership with Service's Friends Groups to enhance collections offer	VEO CO A	Staff time Core budget	Mar 2019 (Annually)	Agreement made between Service and Friends groups outlining focus and commitment to enhance collections offer
Strategic Aim 5: Raise the profile of Rotherham's heritage attracting more visitors and recognition				
Objective 5.1: Develop recognised brand and values for Rotherham's heritage attracting more visitors and users				
Service Action	Lead	Resources	Target/ Date	Outcome
Support development of new Culture, Sport and Tourism marketing and communication strategy	HSM	Staff time	Aug 2018	New marketing strategy in place. Measures and targets to be established for: <ul style="list-style-type: none"> - Income generation - Participation - Reputation/civic pride
Develop marketing and communication plans linked to raising profile of different elements of Service	CM VEO	Staff time	Dec 2019	Marketing and communication plans in place. Measures and targets agreed. To include: <ul style="list-style-type: none"> - Visitor Numbers/Previous Attendance/1st time visitors/users - Customer Satisfaction - Income - Spend per visitor (requires benchmark year)
Develop core values and identity for Service	HSM	Staff time External	Mar 2019	Core values and identity of Service agreed

		Funding		
Support development and delivery of South Yorkshire Archives Partnership	C&VEM A	Core budget External funding Staff time	April 2019 (Reviewed annually)	See separate action plan, 2017-2024 outlining activity areas and actions. Progress reported to formal steering group each quarter
Improve digital infrastructure; e.g. websites; signposting	CM VEO	Staff time	April 2019 (Reviewed annually)	Visitor and user information is easy to access - No. of webpage hits - Likes/Followers
Participate in regional and national initiatives as and when beneficial	C&VEM P&DM	Staff time	Ongoing	Participation in regional and national initiatives, which raise profile of services

Objective 5.2: Develop co-ordinated approach to the development of heritage across the borough

Service Action	Lead	Resources	Target/ Date	Outcome
Support development of Destination Management Plan	HSM	Staff time	Dec 2018	Plan established and implementation commenced
Develop Heritage Strategy	HSM	Staff time External Funding	Mar 2021	Development of Heritage Strategy in line with Service's Commitment Improved knowledge and understanding of Rotherham's heritage Clear understanding of social impact of heritage

Strategic Aim: Develop and strengthen the resilience of the organisation

Objective 6.1: Diversify the Service's income streams

Service Action	Lead	Resources	Target/ Date	Outcome
Implement Fundraising Strategy (see key themes below)	HSM	Core budget Staff time	Ongoing	Fundraising Strategy is implemented. Service's income streams are diversified in percentage terms
Explore alternative governance arrangements to support fundraising strategy <ul style="list-style-type: none"> - Deliver Archives Sector Sustainability Project 	HSM	External Funding	Mar 2019	Clear understanding of alternative governance arrangements to facilitate delivery of fundraising strategy
<ul style="list-style-type: none"> - Attract more external funding relevant to priorities of Service 	HSM P&DM C&VEM	Core budget Staff time External Funding	Ongoing	External funding secured to deliver on key aims and objectives for Service <ul style="list-style-type: none"> - No. of grants/funding secured - Objectives achieved
<ul style="list-style-type: none"> - Develop and maintain beneficial partnerships 				See 2.2

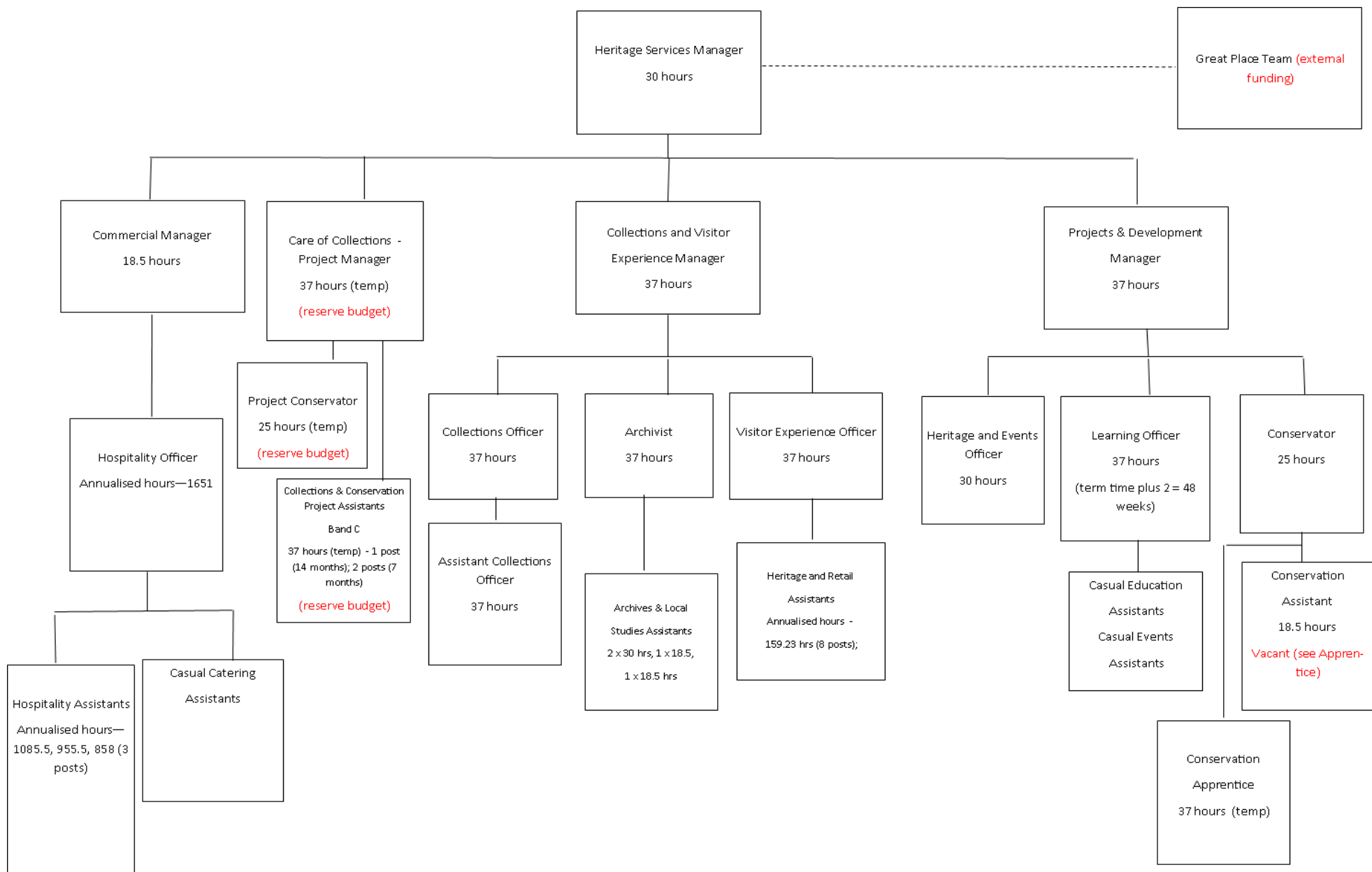
- Improve individual giving	VEO	Core budget Staff time	Mar 2019 (Reviewed annually)	Targets achieved
- Develop programme of immersive events	HEO LO	Core budget Staff time Fees and charges	Mar 2019 (Reviewed annually)	Programme delivered <ul style="list-style-type: none"> - Participation Numbers (based on objective of event – learning/skills development/health and well-being) - Customer Satisfaction - Income
- Develop legacy programme	HSM	Core budget Staff time External Funding	April 2020	Legacy programme launched
Continue to develop and improve performance of commercial services	CM	Core budget Staff time Income	Mar 2019 (Reviewed Annually)	See separate Clifton Park and Museum Business Development Action Plan, 2017-2020
Investigate options to generate income from collections	CM	Staff time	Dec 2019	Options review complete
Objective 6.2: Invest in workforce development				
Service Action	Lead	Resources	Target/ Date	Outcome

Review organisational structure to ensure Service fit for purpose	HSM	Staff time	Mar 2019	Structure fit for purpose to deliver on Forward Plan
Deliver ongoing appraisal and training of all staff to meet Service need	All managers	Staff time Core budget	June 2018 (Reviewed annually)	100% Performance and Development Reviews complete
Embed training and support for teams in following areas: <ul style="list-style-type: none"> - Individual giving - Upselling services - IT upskilling incl. use of EPOS and CRM systems 	All managers	Training budget	June 2019 (Reviewed annually)	Training plan implemented and delivered
Implement worksmart principles in work areas	All managers	Staff time	Summer 2019	Flexible workspaces created
Objective 6.3: Organisation is flexible, trusted and reliable				
Service Action	Lead	Resources	Target/ Date	Outcome
Ensure Service meets	HSM	Core		

<p>requirements of external inspections/standards including:</p> <ul style="list-style-type: none"> - Submission of Archives Accreditation application - Submission of Museum Accreditation applications – address areas for improvement (see section 6.4) - VAQAS 	<p>C&VEM</p> <p>C&VEM</p> <p>VEO</p>	<p>budget Staff time</p>	<p>Aug 2018</p> <p>Mar 2019</p> <p>Oct 2018 (Reviewed annually)</p>	<p>Archives Accreditation Standard achieved</p> <p>Areas for improvement met. Museum Accreditation Standard retained</p> <p>VAQAS retained with improvement of score</p>
<p>Service to become Arts Award provider</p>	<p>HEO</p>	<p>Core budget Staff time</p>	<p>Sept 2019</p>	<p>Service approved as Arts Award provider</p> <p>Programme of activity developed to support Arts Award</p>
<p>Develop and implement business plans for different elements of Service:</p> <ul style="list-style-type: none"> - Commercial Services - Heritage Learning - Clifton Conservation Service 	<p>CM</p> <p>LO C</p>	<p>Core budget Staff time External Funding</p>	<p>Ongoing</p>	<p>Business plans developed and implemented improving performance and meeting income targets</p>

Update Emergency and Business Continuity Plans	VEO C	Core budget Staff time	Jan 2019 (Reviewed annually)	Emergency and Business Continuity Plans fit for purpose
--	----------	---------------------------	---------------------------------	---

Appendix 3 – Organisational Chart (June 2018)



Rotherham Heritage Services

Archives and Local Studies

Collections Development Policy 2018 - 2022

Document title:	Rotherham Heritage Services Collections Development Policy, 2018-2022
Version & status:	Version 3 (July 2018)
Editor & date created:	Lisa Broadest/Jane Hubbard November 2017
Owner:	Lisa Broadest, Heritage Services Manager
Approved by & date:	
Review date:	Jan 2022
Further information:	

Rotherham Heritage Services
Archives and Local Studies

Collections Development Policy
2018-2022

Contents

1. Introduction
2. Background and History of Rotherham Archives and Local Studies
3. Profile of the Collections
4. Scope of the Collections
5. Acquisition and Disposal Principles
6. Limitations of the Collections
7. Priorities for Collections Development
8. Review
9. Appendices
 - 9.1 Appendix 1 - List of County Collections held at Sheffield Archives
 - 9.2 Appendix 2 - Terms of Reference for Rotherham Heritage Services Acquisition and Disposal Panel

1. Introduction

- 1.1 This policy is part of a suite of policies relating to the management, preservation, documentation and access of the archives and local studies collections to ensure their long-term survival and usability.
- 1.2 The policy supports the delivery of Rotherham Heritage Service's Forward Plan, 2018-2022. The overall vision for the Service is about 'Revealing Rotherham's small wonders and big stories', with a clear statement of purpose, which 'will bring people together to build connections, spark imaginations and create positive and renowned Rotherham stories.'
- 1.3 This policy examines the background and history to Rotherham Archives and Local Studies; the profile and scope of the collections identifying current limitations; priorities for future collections development taking into account collecting priorities for other services. It also states the Service's approach to appraisal and disposal.
- 1.4 The policy covers Archives and Local Studies collections. It does not cover objects, which are covered by a separate collections development policy or semi-current records of the Council held by the Records Management section, unless they have been identified as archives and transferred to the Service.

2. Background and History of Rotherham Archives and Local Studies

- 2.1 Rotherham Archives and Local Studies Service was established in 1986 following the abolition of the South Yorkshire County Record Office to preserve records of all aspects of life within Rotherham Metropolitan Borough and to make them accessible for use by members of the public. Prior to this date, archives and local studies material was collected by Rotherham Libraries since at least the 1930s.
- 2.2 It operates within the legislative framework of the Public Libraries Act, Public Records Acts, Local Government Act, General Data Protection Regulation, Freedom of Information Act, Re-use of Public Sector Information Regulations, Representation of the People Act and Environmental Information Regulations, together with the Parochial Registers and Records Measure. All material in the care of the Service will be documented and made available for research in strict accordance with these Acts and Regulations. This includes archives:
 - By designation of the Department for Digital, Culture, Media and Sport, public and presentation records relating exclusively to the areas of Rotherham Metropolitan District to be placed in a local place of deposit under the Public Records Act 1958, s. 4(1) (3) and 3(6);

- By designation of the Master of Rolls through the Royal Commission on Historical Manuscripts/The National Archives, manorial and tithe documents as indicated by various legislation including the Law of Property Act, 1922 and the Tithe Act, 1936.

- 2.3 Collections are stored securely, with the majority of storage areas meeting the requirements of BS 4971:2017 Conservation and care of archive and library collections.
- 2.4 Collecting has been guided through policy development since 1986 when Rotherham Archives and Local Studies was established, although in recent years it has become more formalised.

3. Profile of the Collections

- 3.1 Rotherham Archives and Local Studies currently hold more than 1,000 separate archive collections in a variety of formats. They document the borough's diverse history and culture from the 13th century to the present day.
- 3.2 The archive collections include archives of people, organisations, local authorities and businesses in the Rotherham Borough reflecting the changing landscape and communities of the area. The collections specifically cover:
- Records of Rotherham Metropolitan Borough Council and its predecessors;
 - Records of places of worship and religious faiths, excluding Church of England;
 - Official records including parish councils and their predecessors, which cover the poor law unions;
 - Records from public bodies such as magistrates/coroners court, health bodies and manorial records;
 - Records of organisations, businesses, individuals, societies, public and private institutions including: records of clubs and societies; records of local community groups; business archives; personal and family papers, including letters, diaries and photographs and archives of trade unions, political parties and pressure groups.
- 3.3 Notable and significant collections and items include:
- York and Lancaster Regimental Archive;
 - Business archives of Guest & Chrimes, Brass Founders; Beatson Clark, Glass Manufacturers; Parkgate Iron & Steel Co.;
 - Feoffees of the Common Lands;
 - Dorothy Green papers;

- Family and estate papers of Verelsts of Aston Hall; Walker Family; Bosviles of Ravenfield;
- Parker Rhodes, Solicitors;
- Lady Mabel College and Students Association and
- Rockingham Pottery pattern book.

3.4 The Local Studies collections contain books and pamphlets, trade directories, electoral registers, ephemera, journals and newsletters, annual reports, newspapers and press cuttings, photographs and printed maps and plans.

4. Scope of the Collections

4.1 The Service seeks to collect all types of archival records relating to the Metropolitan Borough of Rotherham with a strong focus on developing the stories of children and young people and creating a positive and renowned Rotherham story. It aims to be representative of Rotherham's diverse heritage and will acquire material guided by the Service's Manifesto and Statement of Purpose. Categories include:

- Records of Rotherham Metropolitan Borough Council and its predecessors
- Records of places of worship and religious faiths, excluding Church of England;
- Records of organisations, businesses, individuals, societies, public and private institutions and other activities relevant to the history of the Borough of Rotherham. These include: records of clubs and societies; records of local community groups; business archives; personal and family papers, including letters, diaries and photographs; archives of trade unions, political parties and pressure groups and
- Records relating to the York and Lancaster Regiment.

4.2 It seeks to cover all date periods, from the earliest times to the present day with the following exception:

- Photographs (analogue and digital); due to the volume of images created from the mid-20th Century onwards, images will be carefully selected to document the changing buildings and landscapes within the Borough of Rotherham, of people and their daily lives, of important and significant events, along with images outside of the Borough that have a strong link back to Rotherham

4.3 It will also continue to collect a variety of local studies material relating to the Metropolitan Borough of Rotherham including:

- Published or printed material; publications by local authors (those who were born or lived in the area of the Borough), including works of fiction and non-fiction relating to the Borough. The Service may also choose to collect published or printed material relating to areas surrounding the Borough (including the County of Yorkshire) where the contents are relevant to the Borough;
 - Electoral registers;
 - Trade directories;
 - Ephemera;
 - Journals and newsletters;
 - Annual reports;
 - Newspapers and press cuttings;
 - Photographs (also see 4.2) and
 - Printed maps and plans.
- 4.4 Publications giving guidance on the use and interpretation of materials will be acquired along with guides to holdings of other relevant libraries and archive services.
- 4.5 National indexes and other sources which relate to the whole country or particular regions will be acquired only if exceptionally important or there is a need to increase local access to national sources.
- 4.6 Rotherham Archives and Local Studies will not collect the following categories of archival records relating to the Borough:
- Records relating to County-wide organisations as determined by the Agreement for the Management of the South Yorkshire Joint Archives Service¹;
 - Anglican parish records, which are collected by the relevant appointed Diocesan Record Offices and
 - Records of the former West Riding County Council.
- 4.7 It will accept material by transfer (items that are in common ownership e.g. Rotherham Council), on deposit (including from public bodies), as a gift and will occasionally purchase significant archival items if there is a strong case for acquisition. Financial support can be through the Friends of Rotherham Archives, donations or by grant from a funding body.
- 4.8 A variety of formats and materials will be collected including parchment, paper, photographs, negatives, books, audio-visual (cassette, record and video), and glass, digital and electronic. Objects will not be collected unless they form an

¹ See Appendix 1 for list of County-wide organisations listed in agreement

intrinsic part of the collection or through the will of the depositor². Original film may be transferred to the Yorkshire Film Archive.

- 4.9 Acquisition will be determined by access and items will only be acquired if the Service holds the necessary equipment to facilitate this or access can be provided by different means.

5. Acquisition and Disposal Principles

- 5.1 Rotherham Heritage Service's Acquisition and Disposal Panel³ oversees the management of the acquisition and disposal of all items (objects and archives).
- 5.2 Before accepting items, Rotherham Archives and Local Studies must be satisfied that the transferor/donor has the proper authority or title to transfer or donate them.
- 5.3 Every effort will be made to avoid conflict and duplication with the collecting policies of other archive services/libraries.
- 5.4 Acquisition will not be outside the scope of this policy.
- 5.5 No attempt will be made to secure the acquisition or removal of any archives or local studies items held by another archive service/library, except with the consent of the owner and in consultation with the relevant organisation.
- 5.6 In the event of archive acquisitions by gift or loan, Rotherham Heritage Services standard terms of deposit, unless otherwise specified, will be applied.
- 5.7 As part of this process, it will also agree and transfer, where appropriate, intellectual property rights and confirm any access restrictions.
- 5.8 Rotherham Archives and Local Studies collects no more than two copies of any one local studies item.
- 5.9 Rotherham Archives and Local Studies accepts the principle there should be a strong presumption against disposal by sale of any items in its ownership.
- 5.10 Disposal does, however, have a valid role in collections development and the following will apply:

² Also refer to the Collections Development Policies – Rotherham Museum and Art Gallery and York and Lancaster Regimental Museum

³ See Appendix 2 for the Terms of Reference for the Panel

- Permission to dispose of items will be sought from the donor as part of the deposit agreement. No archival records will be disposed of in contravention of the terms of any current legislation;
- Where it has been identified that legacy material falls outside the scope of this collecting policy, it will be transferred with the consent of the owner, where feasible to a more appropriate archive service/library. Where this is not possible, the material will be returned to the owner and in some instances where this is not possible, it will be confidentially destroyed and recorded;
- If Rotherham Archives and Local Studies becomes unable, either temporarily or permanently, to provide proper care for the material, in which case they should be transferred, on such terms as may then be agreed in writing with the consent of the owner and of both governing bodies, to another appropriate archive service/library or
- The owner requests their return.

5.11 Following acquisition or disposal, collections are managed in accordance with other policies of Rotherham Heritage Services and Rotherham Archives and Local Studies.

6. Limitations of the Collections

- 6.1 The collections are strong in the areas of municipal government, established religious bodies and the York and Lancaster Regiment.
- 6.2 Areas where Rotherham Archives and Local Studies is weaker are stories about children and young people, local industry, landed families, educational institutions, non-official organisations such as local and voluntary groups and minority groups representative of Rotherham's current profile.
- 6.3 Public records relating to NHS bodies within Rotherham are significantly limited.
- 6.4 In addition, digital records are very limited across all areas.
- 6.5 These limitations have been identified by gaining a good understanding of current and potential audiences (compared to the Borough's profile⁴), reviewing the Service's overall vision and statement of purpose, analysing collections information held by Rotherham Heritage Services for both the museum and archive and local studies collections and consulting with stakeholders.

⁴ See section 6 of Rotherham Heritage Services Forward Plan, 2018-2022

7. Priorities for Collections Development

7.1 Rotherham Archives and Local Studies collections will be developed in the following areas to:

- Reflect stories of children and young people;
- Be more representative of Rotherham's communities now and in the past;
- Create a positive and renowned Rotherham story putting it on the map;
- Make certain significant archival evidence is preserved to ensure accountability and transparency;
- Meet statutory responsibilities.

7.2 Categories of archives will include:

- Non official organisations such as children and young people's groups, local and voluntary groups, sporting clubs and organisations, arts and cultural organisations, minority groups and pressure groups;
- Wider educational institutions (e.g. colleges, university centre);
- Local industry and business;
- Past landed families e.g. Walkers;
- Local government and
- Public records relating to Rotherham NHS bodies.

7.3 Arrangements for the transfer of semi-current records relating to the Council's records and Rotherham NHS bodies will be improved.

8. Review

8.1 This policy will be reviewed as required to take into account changes in circumstances and will be reviewed after 4 years in line with the Service's Forward Plan.

9. Appendices

9.1 Appendix 1 - List of County Collections held at Sheffield Archives

- South Yorkshire County Council
- South Yorkshire Joint Secretariat
- South Yorkshire Police – post 1974
- South Yorkshire Metropolitan Ambulance Service (SYMAS)
- South Yorkshire Fire Service
- South Yorkshire Passenger Transport Executive (SYLTE)
- South Yorkshire County Record Office Miners' Strike material
- South Yorkshire County Council aerial photographs
- Domesday books and Forms 37 (Finance Act 1910)
- Sheffield Regional Hospital Board
- Trent Regional Health Authority
- Yorkshire Water Authority
- South Yorkshire Valuation Court
- South Yorkshire Trading Standards
- West Riding County Council Development Plans

9.2 Appendix 2 - Terms of Reference for Rotherham Heritage Services Acquisition and Disposal Panel

Terms of reference – 22 May 2018

Review – 22 May 2019

Purpose / role of the group:

- Manage acquisition and disposal of items for Rotherham Heritage Services, in line with the Service's current Collections Development Policies and overall Manifesto and Statement of Purpose.
- The aims and objectives of this group are to:
 - Assess potential acquisitions against current Collections Development Policies and make a decision whether to acquire for Heritage Services collections.
 - Assess potential disposals against current Collections Development Policies citing clear disposal criteria and relevant professional guidelines and make a decision to remove from Heritage Services collections, with agreement on method and manner of disposal
 - Present recommendations and seek approval in line with disposal process from Cabinet Member
 - Assess requests for loans in and out of the Service, as appropriate

- Rationalise historic loans
- Assess progress against Documentation Backlog Plan and Cataloguing Action Plan

Membership:

- The membership of the group will be as follows:
 - Manager, Heritage Services (Chair)
 - Project Manager, Care of Collections
 - Collections Officer
 - Archivist (with support from Archives and Local Studies Assistant as appropriate)
 - Assistant Collections Officer (currently on maternity leave)
 - Conservator (when relevant)
 - Conservation Apprentice (minute taker)
 - Visitor Experience Officer or Learning Officer
- Where appropriate (through invite by the Chair), other officers will attend depending on the agenda. This may include:
 - Elected Members
 - Other Heritage Services staff
 - Representatives from other Council services
 - Representatives of other bodies including other museums or heritage organisations
- Membership will be reviewed annually or following staff changes

Accountability:

The decision making process will be clear and accountable in line with Rotherham Heritage Services and Council Policies. No decisions should be taken without a clear audit trail and reference to relevant policies or procedures. All decisions should be legal and ethical, in line with Council and national standards.

Process:

Items for consideration will be supported by relevant research, along with an initial assessment recommendation. Relevant paperwork will be presented to the Panel. Further guidance can be found in the museum documentation procedures manual [here](#) and the archive procedures relating to accessioning and cataloguing [here](#)

Assessments will take into account origin and ownership; relevance, importance and long term value; potential use; availability of contextual information; condition; preservation and conservation requirements; accessibility; cost and ethics⁵.

Panel will discuss recommendation, determine outcome and record decision.

Item will then be processed according to Service's relevant procedures.

Review:

- The group will review the relevance and value of its work and its terms of reference on an annual basis (or earlier required).
- The chosen working method will be:
 - meetings will be held monthly, or more frequently if required to tackle backlogs or influx of items
 - meetings will be held on a formal basis, with agendas and minutes made available.
 - meeting papers will be distributed no later than 5 days before the meeting
 - draft minutes will be distributed to all members within 2 weeks of the meeting, which will then be approved at following meeting
 - Other representatives attending the meeting will be invited by the Chair or a nominated representative

⁵ For further information, please see i) Museums Association Ethical Guidelines (Number 1 second ed. 2004); *Acquisition – Guidance on the ethics and practicalities of acquisition* ii) Archives and Records Association UK & Ireland (Approved 9 May 2018); *Code of Ethics*

This page is intentionally left blank

Rotherham Heritage Services

Archives and Local Studies

Collections Information Policy

2018 - 2022

Document title:	Rotherham Heritage Services Collections Information Policy, 2018-2022
Version & status:	Version 3 (July 2018)
Editor & date created:	Lisa Broadest/Jane Hubbard November 2017
Owner:	Lisa Broadest, Heritage Services Manager
Approved by & date:	
Review date:	Jan 2022
Further information:	

Rotherham Heritage Services
Archives and Local Studies

Collections Information Policy
2018-2022

Contents

1. Introduction
2. Purpose and Scope
3. Collections Information
4. Entry, Appraisal and Accessioning
5. Cataloguing and Indexing
6. Location and Movement Control
7. Withdrawal and Disposal
8. Staffing and Resource
9. Review

1. Introduction

- 1.1 This policy is part of a suite of policies relating to the management, preservation, documentation and access of the archives and local studies collections to ensure their long-term survival and usability. It should be read in conjunction with the Archives and Local Studies Collections Development and Access Policies, which set out the principles for acquiring and making archives and local studies material accessible.
- 1.2 It is vital that adequate accurate information about the collections is collected, recorded, kept securely and made available, where appropriate. This ensures a high level of transparency and accountability is upheld, standards of collections management are improved, succession planning is secure and the integrity of the collections is maintained.
- 1.3 This policy examines in more detail Rotherham Archives and Local Studies' approach to maintaining and providing accurate documentation of collections, ensuring an integrated approach with other collection management activities.
- 1.4 Rotherham Archives and Local Studies operates within the legislative framework of the Public Libraries Act, Public Records Acts, Local Government Act, General Data Protection Regulation, Freedom of Information Act, Re-use of Public Sector Information Regulations, Representation of the People Act and Environmental Information Regulations, together with the Parochial Registers and Records Measure. All material in the care of the Service will be documented and made available for research in strict accordance with these Acts and Regulations. This includes archives:
 - By designation of the Department for Digital, Culture, Media and Sport, public and presentation records relating exclusively to the areas of Rotherham Metropolitan District to be placed in a local place of deposit under the Public Records Act 1958, s. 4(1) (3) and 3(6);
 - By designation of the Master of Rolls through the Royal Commission on Historical Manuscripts/The National Archives, manorial and tithe documents as indicated by various legislation including the Law of Property Act, 1922 and the Tithe Act, 1936.

2. Purpose and Scope

- 2.1 This policy focuses on the provision of intellectual access to collections both by users and by staff. It describes how Rotherham Archives and Local Studies will aim to maintain and provide accurate documentation of its collections for the purpose of their improved control and access.

- 2.2 PAS197:2009 defines collection information as 'information an organisation collects, holds and maintains about its collections and/or collected items.'
- 2.3 The policy will assist in decision making and prioritising work relating to:
- Access to the collections balanced with their long-term preservation;
 - Meet legislative requirements;
 - Guide cataloguing work by staff and volunteers and
 - Support submission of relevant funding bids.
- 2.4 It will outline the framework within which collections information is collected, recorded and kept, which include:
- Entry of items and collections, appraisal and accessioning;
 - Cataloguing and indexing;
 - Location and movement control;
 - Withdrawal or disposal.
- 2.5 The policy covers Archives and broadly Local Studies collections, which are processed by the Library Service. It does not cover museum objects, which are covered by a separate Museum Documentation Policy or semi-current records of the Council held by the Records Management section, unless they have been identified as archives and transferred to the Service.
- 2.6 Rotherham Archives and Local Studies has not actively acquired born digital records and will amend its approach to accommodate this area of work. Further information can be found in its Digital Preservation Policy.

3. Collections Information

- 3.1 Archives have been collected by Rotherham Libraries since in the 1930s, and possibly earlier.
- 3.2 In 1986, Rotherham Archives and Local Studies was established, combining with the existing Local Studies section of the library. It inherited approximately 255 completely uncatalogued archive collections. Progress has been made against this backlog but this has slowed in recent years as pressure on resources increase.
- 3.3 It captures information at various stages during the processing of a collection or item, from its point of entry through to appraisal, accessioning, cataloguing and indexing, location and movement control and withdrawal or disposal if necessary.

- 3.4 This information is recorded and maintained in a variety of places and formats. These include but are not limited to:
- Potential acquisitions forms (PAF)
 - Accession receipt forms
 - Accession entries within the Rotherham Archives and Local Studies collections management database, along with depositor details
 - Accession correspondence files (paper)
 - Collections entries within collections management database
 - Electronic catalogue log
 - Electronic scoring assessment forms
 - Cataloguing action plan
 - Electronic locations index
 - Manual card index
- 3.5 In 2005, Rotherham Archive and Local Studies introduced its first collection management database (Axiell Calm¹). The database covers archives and local studies material.
- 3.6 In 2009, the database covering catalogued items was made available online. This can be accessed here: <http://archives.rotherham.gov.uk/calmview/>
- 3.7 All collections information, where required is held securely and in line with the General Data Protection Regulation. Where electronic records are held, access is restricted to Rotherham Heritage Services staff. These records are backed up daily through the Council's IT systems.

4. Entry, Appraisal and Accessioning

- 4.1 Rotherham Heritage Service's Acquisition and Disposal Panel oversees the management of the acquisition and disposal of all items (objects and archives).
- 4.2 As much information as possible is recorded about the item or collection at the point of entry to maintain its integrity and to ensure its provenance is fully understood. This determines ownership and legal status, along with any intellectual property rights, as well as preserving its administrative and custodial history.
- 4.3 PAFs are then completed and submitted with a recommendation to the Acquisition and Disposal Panel.

¹ All known accessions are recorded on Calm at least at Fonds level.

- 4.4 Where the recommendation is to acquire, all depositors are required to fill out a receipt/deposit form. One copy of this form is returned to the depositor as a receipt and the other is retained by the Service.
- 4.5 Information recorded on the receipt/deposit form is as follows:
- Date of deposit
 - Name and contact details of the depositor
 - Name and contact details of the owner
 - Accession category
 - Extent of deposit
 - Description of deposit to include approximate dates of creation
 - Any known access restrictions
 - Any known copyright restrictions
 - Any known administrative and custodial history
 - Authority to transfer or dispose
- 4.6 Each individual deposit is given a unique accession number, which is recorded on the receipt/deposit form. The item or collection is then processed following the 'Accessioning and Cataloguing Archives' procedure.
- 4.7 All accessions information (including depositor information) is added to the Accessions and depositors database on CALM using the guidelines set out in the Rotherham Archives and Local Studies CALM User Guide. It is then linked to the Catalogue database and assigned a catalogue reference number.
- 4.8 Information about new accessions is supplied to The National Archives (under the annual accessions to repositories data collection exercise).
- 4.9 Material is appraised during the accession process and any material removed from the collection as agreed with the depositor will be returned to the owner or destroyed. This process will be documented on the accession/catalogue entry in the collections management database.

5. Cataloguing and Indexing

- 5.1 Cataloguing archives and local studies material is essential in the delivery of the Service's vision and statement of purpose. Rotherham Archives and Local Studies through its collections can provide children and young people and the wider community with opportunities to explore and experience the wonder and joy of their own heritage and Rotherham's heritage.
- 5.2 The collections will bring people together to build connections, spark imaginations and create a positive and renowned Rotherham story. It is,

therefore, essential that Rotherham Archives and Local Studies manages cataloguing in a strategic and co-ordinated manner to meet these aims.

- 5.3 Assessing priority areas for cataloguing given its historical backlog is one approach that has been adopted. Collections are prioritised using the following criteria:
- If the collection is owned by the Council;
 - How long it has been on deposit;
 - If the collection has already been listed in some form;
 - Size;
 - Existing and potential demand;
 - Significance (in line with the Service's Forward Plan and priorities laid out in the Collections Development Policy).
- 5.4 Each criterion is assigned a numerical value, which are then calculated together. This total score is then used to assess where on the priority scale the collections fits. Collections are high, medium or low priority.
- 5.5 Once a priority has been assigned, the collection is added to the Cataloguing Action Plan. This plan then serves as the basis for any cataloguing work undertaken by the Service or informs any funding applications relating to cataloguing. This plan also includes the historical cataloguing backlog. Further information can be found in the Collections Information Plan.
- 5.6 All cataloguing conforms to current professional standards including:
- principle and mandatory elements of the General International Standard of Archival Description (ISAD(G));
 - International Council on Archives, International Standard Archival Authority for Corporate Bodies, Persons and Families [ISAAR(CPF)];
 - National Council on Archives, Rules for the Construction of Personal, Place and Corporate Names.
- 5.7 This is guided by Rotherham Archives and Local Studies CALM User Guide.
- 5.8 Publically accessible catalogue data is available via the online Calm catalogue which is updated quarterly.
- 5.9 Accruals to existing collections are amalgamated intellectually within the catalogue.

6. Location and Movement Control

- 6.1 Rotherham Archives and Local Studies aims to keep an accurate and up to date record of the location of all collections in its care.
- 6.2 All entries are located in one place and once processed and allocated with a reference number; the collection is added to the locations index. This records its exact location (and the location of any oversize items).
- 6.3 All boxes and/or items (depending upon the size of the collection for the latter) are clearly labelled.
- 6.4 The capacity management spreadsheet is then amended to calculate remaining accrual space.
- 6.5 Document request slips are used for retrieval and further information can be found in the 'Retrieving and Transporting Archives and Local Studies material' procedure.

7. Withdrawal and Disposal

- 7.1 Owners of archive material under the terms of deposit can withdraw material on a temporary or permanent basis. Further details can be found in the 'Donations, Deposits, Withdrawal of Archives and Local Studies material' procedure.
- 7.2 Rotherham Archives and Local Studies may review its collections in line with its Collections Development Policy and recommend transfer, disposal or destruction.
- 7.3 At the point of deposit, Rotherham Archives and Local Studies will seek permission from the owner the process to transfer or dispose of any material. Transfer or disposal will then only be carried out once all the relevant permission and consents have been obtained.
- 7.4 Rotherham Archives and Local Studies keeps a record of all disposals made, which include the rationale behind the decision. This is recorded in the collections management database.

8. Staffing and Resource

- 8.1 Rotherham Archives and Local Studies is directly staffed by 3.1 FTEs and supported by wider Heritage Services staff. It includes one full time qualified archivist.

- 8.2 Time each week is dedicated to generating collections information from accessioning through to cataloguing, from location and movement control to withdrawal. These tasks are delegated amongst the team in line with roles and responsibilities. Further information can be found in the Collections Information Plan.
- 8.3 Additional resource is secured, when possible, from Rotherham Archives and Local Studies Friends group, donations and funding bodies in line with the Service's priorities to progress cataloguing work.
- 8.4 Rotherham Archives and Local Studies also works with volunteers to add value to collections information, as guided by the Collections Information Plan.

9. **Review**

- 9.1 This policy will be reviewed as required to take into account changes in circumstances and will be reviewed after 4 years in line with the Service's Forward Plan.

Rotherham Heritage Services

Collections Care and Conservation Policy

2018 - 2022

Document title:	Rotherham Heritage Services Collections Care and Conservation Policy, 2018-2022
Version & status:	Version 3 (July 2018)
Editor & date created:	Jenny Mathiasson, Conservator December 2016
Owner:	Lisa Broadest, Heritage Services Manager
Approved by & date:	
Review date:	Jan 2022
Further information:	

Rotherham Heritage Services
Collections Care and Conservation Policy, 2018-2022

CONTENTS

1. Introduction
2. Definitions
3. Collections Care and Conservation Principles
4. Ethics, Legislation and Standards
5. Premises and Storage
6. Conservation Assessment and Treatment
7. Environmental Monitoring and Control
8. Housekeeping and Pest Management
9. Access and Handling
10. Reprography
11. Education and Training
12. Security
13. Emergency Planning
14. Environmental Awareness
15. Review

1. Introduction

- 1.1 This policy is part of a suite of policies relating to the management, preservation, documentation and access of Rotherham Heritage Service's collections (museums and archives and local studies) to ensure their long-term survival and usability.
- 1.2 It covers all aspects of collections care and conservation undertaken by or on behalf of Rotherham Heritage Services. It also applies to all buildings and venues in which the Service stores and makes its collections available.
- 1.3 The policy supports the delivery of Rotherham Heritage Service's Forward Plan, 2018-2022. The overall vision for the Service is about 'Revealing Rotherham's small wonders and big stories', with a clear statement of purpose, which 'will bring people together to build connections, spark imaginations and create positive and renowned Rotherham stories'.
- 1.4 In summary, the policy covers the Service's strategic approach to conservation including the principles of collections care; ethics, legislation and standards; premises and storage; conservation assessment and treatment; environmental monitoring and control; housekeeping; access; training; security; emergency planning; and environmental awareness. It is supported by the Collections Care and Conservation Plan and is in proportion to resources available.
- 1.5 All staff and freelancers are given this document as part of their induction and are asked to read and abide by the policy.

2. Definitions

For the purposes of this policy the following definitions have been adopted:

- 2.1 Collections care (also known as preventive conservation) is the passive protection of material where no direct chemical treatment occurs. It aims to avoid, slow or minimise deterioration or loss of collections.
- 2.2 Conservation (also known as remedial or interventive conservation) is the active protection using a physical or chemical treatment to prevent further deterioration and protect cultural or scientific value. It may include restoration where appropriate.

3. Collections Care and Conservation Principles

- 3.1 The collections and their stories are central to the work of Rotherham Heritage Services. The Service is, therefore, committed to caring for and using these collections in a sustainable way striking a balance between their long-term preservation and their accessibility for engagement and research, through the careful management of risk.
- 3.2 The Service strives to achieve best practice, which is guided and informed by a range of standards and legislation outlined in section 4.
- 3.3 Collections and conservation staff oversee the efficient and effective management of the care and conservation of all Heritage Service's collections. Where required, advice is sought externally, along with any treatments that do not fall within the current skill set of conservation staff. This includes conservation work for archives and local studies material.
- 3.4 Treatments are only undertaken if necessary and sympathetic to the object in question. All treatments are fully documented.

4. Ethics, Legislation and Standards

- 4.1 In caring for its collections, Heritage Services adhere to the following legislation and ethical guidelines:
 - Museums Association Code of Ethics (2015)
 - Archives and Records Association UK & Ireland Code of Ethics (2018)
 - ICOM Code of Ethics for Museums (2013)
 - Museums and Galleries Act (1992)
 - Health and Safety at Work Act (1974)
 - COSHH regulations (2002)
 - Management of Health and Safety at Work Regulations (2004)

 - Additionally, conservation practice is guided by the UK Institute of Conservation Code of Conduct (2014)
- 4.2 This policy and the work of the Service is also guided and informed by the following standards:
 - SPECTRUM 5.0: UK Collection Management Standard (2017)
 - Benchmarks in Collections Care for Museums, Archives and Libraries 2.1 (2018)
 - PAS 197:2009 Code of Practice for Cultural Collections Management
 - BS 4971:2017 Conservation and Care of Archive and Library Collections

- BS EN16893:2017 Conservation of Cultural Heritage. Specifications for location, construction and modification of buildings or rooms intended for the storage or use of heritage collections
- Standard for Record Repositories (2004)

5. Premises and Storage

- 5.1 Rotherham Heritage Services understands that the maintenance of its premises is fundamental to the preservation of both its buildings and collections. Its building assets are managed through the Council's Corporate Landlord Scheme and both parties will continue to improve the physical condition of its buildings and the storage within them.
- 5.2 The table below identifies the use of each building, the owner and who has responsibility.

Building	Used for	Owner	Responsibility for upkeep and improvements
Clifton Park Museum	Museum display and storage Archive and local studies searchroom, display and storage	Rotherham Council	Facilities Management overseen by Service's Collections and Visitor Experience Manager
Outstore 1	Museum storage Archive and Local Studies storage	Rotherham Council	Facilities Management overseen by Service's Collections and Visitor Experience Manager
Outstore 2	Museum storage	Rotherham Council	Facilities Management overseen by Service's Collections and Visitor Experience Manager
Riverside House (Council's Main Office)	Museum display Archive display	Rotherham Council	Facilities Management

- 5.3 All collections are stored securely and where possible are stored in areas which adhere to the standards listed in section 4. Where this is not possible, all reasonable steps are taken to minimise deterioration and degradation.
- 5.4 As far as feasible, collections are stored in a way that allows access for the purpose of supporting engagement and research.

- 5.5 All new collections are quarantined when appropriate and their condition is taken into account when presented to the Acquisition and Disposal Panel. Where damage is extensive and is beyond intrinsic value, the Panel may choose not to retain it.
- 5.6 All storage areas are kept tidy.
- 5.7 New collections, where feasible (size may be a hindrance) are packaged as soon as possible after receipt. Minimum protection is provided by simple boxing or wrapping, using archival quality materials.
- 5.8 Retrospective packaging is undertaken as part of projects; during exhibition change-overs; on retrieval for research; or when tackling historical backlogs.
- 5.9 The retrieval of any items from the collections is recorded.
- 5.10 Plans are being progressed over the next 5 years to exit from both collections outstores and this policy will guide the specification developed as part of this project.

6. Conservation Assessment and Treatment

- 6.1 Rotherham Heritage Services are committed to achieving the highest standards of remedial conservation and restoration (where appropriate) within the scope of resources.
- 6.2 Items will be selected for treatment according to the priorities set out in the Service's Forward Plan and in the Collections Care and Conservation Plan. The Service continues to assess and monitor the physical condition of the collections in order to inform future planning.
- 6.3 The Service's Conservator (within their current skill set) undertakes all remedial conservation on the Service's collections except for the Archives and Local Studies collections. This work is undertaken externally, where resources allow.
- 6.4 Condition assessments are carried out by all collections staff and trained volunteers, while treatments are only carried out by or under the supervision of the Conservator. Tasks such as cleaning or packing is delegated to other staff.
- 6.5 Where an external conservator is used, a written brief and specification will be provided. All external work will be supervised by the Conservator or the Collections Officer. External conservators are generally selected from the

ICON Conservation Register to ensure professional accreditation. In occasional circumstances a non-accredited professional or a Conservator not on the register may be selected.

- 6.6 All conservation treatments are fully documented and stored electronically in the museum's collection management database.

7. Environmental Monitoring and Control

- 7.1 Rotherham Heritage Services continues its commitment to maintain and, where necessary, improve environmental conditions in order to preserve the physical condition of its collections. This is done using a combination of automated (telemetric) and manual measurements.
- 7.2 Data collected is assessed and disseminated to relevant staff in order to inform and facilitate decisions about preservation and to ensure that remedial action can be taken promptly in the event of malfunction or breakdown of equipment.
- 7.3 Environmental monitoring is predominantly through the Eltek system installed in 2018. Relative humidity (RH) and temperature are recorded in selected museum galleries, display cases, and museum and archives and local studies stores. Spot-checking of light levels are done using a handheld manual device for UV and visible light level monitoring. Two telemetric loggers also record light level data.
- 7.4 All environmental recordings are collected, evaluated and retained in line with the Service's retention schedule.
- 7.5 Equipment is stored and calibrated in accordance with the manufacturer's recommendations.
- 7.6 Heating controls, humidifiers, and dehumidifiers are in place where required.
- 7.7 The following limits have been set as a guideline for the Service's museum collections:

Value	Normal range	Maximum range	Rate of change
Temperature	15-20°C	5-30°C	+/-3°C in 24 hours
Relative humidity	40-60%	20-75%	+/-5% in 24 hours
Visible light	under 100lux	under 300lux	n/a

Ultraviolet light	under 50µW/Lumen	under 75µW/Lumen	n/a
--------------------------	---------------------	---------------------	-----

BS 4971: 2017 sets out specific limits for archives:

Temperature	13-20°C
Relative humidity	35-60%

(With a maximum of 23°C in the hottest weather)

- 7.8 Every effort will be made to avoid displaying objects which emit gaseous pollutants in sealed environments.
- 7.9 Materials used to construct enclosures and cases will be evaluated before use and only acid free or conservation grade materials will be used whenever possible.

8. Housekeeping and Pest Management

- 8.1 Rotherham Heritage Services recognises that housekeeping plays an important part in the care and protection of the collections within its care. The Service continues to raise its housekeeping standards by implementing the Collections Care and Conservation Plan.
- 8.2 Pest levels are monitored and recorded according to the guidelines laid out in the Collections Care and Conservation Plan and the Integrated Pest Management Procedure. Pest traps are inspected three times per year and new traps laid out when necessary. Records of pests found are retained in line with the Service's retention schedule.
- 8.3 Dust levels will be kept as low as possible and dusting will only be done by trained staff and volunteers following the relevant procedures.

9. Access and handling

- 9.1 All collections staff and volunteers are trained in handling objects, and any additional staff who are asked to move objects are given best practice advice before doing so.
- 9.2 All access and handling risk assessments are undertaken for each task and reviewed every two years.
- 9.3 All Archives and Local Studies staff are trained in the safe and correct handling of items, along with manual handling.

- 9.4 Handling of any of the collections is carefully planned to minimise the risk of physical damage. Contractors, researchers, and volunteers are made aware of their responsibility and are given appropriate handling training, when required.
- 9.5 Handling guidelines are provided to users of the Archives and Local Studies searchroom. Staff supervising the searchroom recognise their role in ensuring the guidelines are adhered to. Further guidance is found in the procedures; 'Searchroom Guide for Users' and in 'Storing and Caring for Archives and Local Studies Material'.
- 9.6 Heavy and cumbersome objects are not moved unless those moving the object have undertaken the relevant manual handling training, and an appropriate risk assessment has been carried out and approved.
- 9.7 Appropriate equipment is provided for use, including trollies, foam supports, weights, gloves and polyester sleeves.
- 9.8 Items which have surrogates are not normally made available in their original format except in the case of a specialist request.
- 9.9 Routine preservation microfilm is undertaken of local newspapers. Where microfilms are available, use of the original papers will not be made unless the microfilm is illegible.
- 9.10 Where appropriate, digitisation will be used as means of providing surrogates. This has proved successful for the school log books and admission registers. For further information see Rotherham Heritage Service's Digitisation Policy, 2018-2022.

10. Reprography

- 10.1 For further information see Rotherham Heritage Service's Reprographics Policy, 2018-2022.

11. Education and Training

- 11.1 It is the responsibility of the Conservator and the Collections Team to oversee all staff and volunteers receive appropriate training in safe handling of objects and archives and local studies material. Staff and volunteers are encouraged to undertake additional training in collections care whenever possible.

- 11.2 Education and training is carried out in-house, by experts such as the Sheffield Conservation Unit, or by other external providers.
- 11.3 Training needs are identified through the Council's annual Performance and Development Reviews.

12. Security

- 12.1 Access to all collections is restricted to Rotherham Heritage Services staff.
- 12.2 Strongrooms are protected from unlawful intrusion and have fire detection systems.
- 12.3 An electronic key tracking system has been implemented at Clifton Park Museum, which covers access to display cases, galleries and storage areas. All other buildings have manual key tracking systems and code-restricted doors.
- 12.4 CCTV is utilised in a variety of locations.
- 12.5 Items removed from storage areas are logged and recorded.
- 12.6 The Service regularly assesses and reviews all risks to the collections and aims to manage and mitigate these to a level that is acceptable and balanced against the need for access.
- 12.7 For further information see Rotherham Heritage Service's Security Policy, 2018-2022.

13. Emergency planning

- 13.1 Rotherham Heritage Services has two plans as follows:
 - Emergency Plan detailing the process of dealing with an emergency
 - Incident Control Plan (Terrorism, Fire and Contractors) providing guidance on dealing with a specific incident
- 13.2 Key information is available in both plans relating to the collections and buildings, along with key contacts.
- 13.3 All staff within Rotherham Heritage Services have been issued with a control copy. Copies are also located in key locations across the buildings. Regular training is undertaken to familiarise staff with these plans.

13.4 Rotherham Heritage Services is also is part of the Rapid Response Network which can provide assistance during emergencies.

13.5 Both plans are subject to annual review, undertaken by the Visitor Experience Officer and members of the Collections team and the Conservator where necessary.

14. Environmental Awareness

14.1 Rotherham Heritage Services is aware of its responsibilities relating to the environment and climate change. It will take account of the expected collection lifetime and the energy demand arising from the conditions needed to achieve this. Wherever possible, the Service will reduce the amount of energy used for the collections, so long as this is appropriate and safe.

15. Review

15.1 This policy will be reviewed as required to take into account changes in circumstances and will be reviewed in 4 years in line with the Service's Forward Plan.

Rotherham Heritage Services

Archives and Local Studies

Access Policy

2018 - 2022

Document title:	Rotherham Heritage Services Access Policy, 2018-2022
Version & status:	Version 2 (July 2018)
Editor & date created:	Ruth Cummins December 2017
Owner:	Lisa Broadest, Heritage Services Manager
Approved by & date:	
Review date:	Jan 2022
Further information:	

Rotherham Heritage Services
Archives and Local Studies

Access Policy

2018-2022

CONTENTS

1. Introduction
2. Purpose and Scope
3. Ethics, Legislation and Standards
4. Access Principles
5. Onsite Access
6. Remote Access
7. Fees and Charges
8. Restrictions on Access
9. Engagement and Promotion
10. Review
11. Appendices
 - 11.1 Appendix 1 – Access Statement for Clifton Park Museum

1. Introduction

1.1 This policy is part of a suite of policies relating to the management, preservation, documentation and access of the archives and local studies collections to ensure their long-term survival and usability. It should be read in conjunction with the Archives and Local Studies Collections Development and Information Policies, which set out the principles for acquisition and the approach to maintaining accurate documentation of the collections, alongside the Rotherham Heritage Services Access Policy Statement.

1.2 It underpins the delivery of Rotherham Heritage Service's Manifesto and Forward Plan, 2018-2022.

1.3 Rotherham Heritage Service's overall vision is:

'Revealing Rotherham's small wonders and big stories'

And its statement of purpose is to:

'bring people together to build connections, spark imaginations
and
create positive and renowned Rotherham stories'

1.4 The vision and statement of purpose is further explored through the Service's Manifesto, which recognises the diversity of Rotherham's heritage and its stories provide significant and meaningful opportunities to enable it to *become one of the most child-friendly museum and heritage services in the UK, to create stronger and more connected communities and to inspire participation and engagement*. The difference will be that this journey will *place children and young people at the heart of what it does*.

1.5 There are six strategic aims at the heart of the Forward Plan, which provide a new focus for the Service and will challenge it to transform the way services are delivered for its audiences through collaborations with partners and stakeholders. These aims are as follows:

- **Strategic Aim 1:** Explore and shape the future direction of the Service with children and young people;
- **Strategic Aim 2:** Implement a strong programme-led approach ensuring children and young people play a key role across Heritage Services;
- **Strategic Aim 3:** Create a framework for engagement, interaction and involvement for children and young people and their families, carers and other adults involved;

- **Strategic Aim 4:** Review, develop and enrich the Service's museum, archive and local studies collections and the stories they contain;
- **Strategic Aim 5:** Raise the profile of Rotherham's heritage attracting more visitors and recognition and
- **Strategic Aim 6:** Develop and strengthen the resilience of the organisation.

1.6 The strategic aims are underpinned by a series of 13 objectives, which are laid out in a supporting Action Plan in the Forward Plan.

1.7 Rotherham Archives and Local Studies play a key role in the delivery of this plan and will aim to increase its relevance and engagement and participation with children and young people and underrepresented communities in Rotherham, whilst continuing to serve the wider archival community.

2. Purpose and Scope

2.1 This policy examines in detail Rotherham Archives and Local Studies planned approach to access (physical and intellectual, onsite, remote and through wider engagement) to the collections under its care, which meet the needs of its users, potential users and stakeholders.

2.2 It is supported by the Access Statement for Clifton Park Museum¹, which is the building where the Archives and Local Studies searchroom is located. This is a requirement for VisitEngland as part of the Visitor Attraction Quality Assurance Standard.

2.3 The policy confirms any restrictions on access, Rotherham Archives and Local Studies' commitment to comply with relevant legislation and regulations and outlines the role of fees and charges.

2.4 The policy does not cover museum objects, which are covered by a separate Access Policy Statement. This should be read alongside this.

2.5 It also does not cover the semi-current records of the Council held by the Records Management section, unless they have been identified as archives and transferred to the Service.

3. Ethics, Legislation and Standards

¹ See Appendix 1

3.1 Rotherham Archives and Local Studies operates within the legislative framework of the Public Libraries Act, Public Records Acts, Local Government Act, General Data Protection Regulation (hereafter GDPR), Freedom of Information Act (hereafter FOIA), Re-use of Public Sector Information Regulations, Representation of the People Act and Environmental Information Regulations, together with the Parochial Registers and Records Measure. All material in the care of the Service will be documented and made available for research in strict accordance with these Acts and Regulations. This includes archives:

- By designation of the Department for Digital, Culture, Media and Sport, public and presentation records relating exclusively to the areas of Rotherham Metropolitan District to be placed in a local place of deposit under the Public Records Act 1958, s. 4(1) (3) and 3(6);
- By designation of the Master of Rolls through the Royal Commission on Historical Manuscripts/The National Archives, manorial and tithe documents as indicated by various legislation including the Law of Property Act, 1922 and the Tithe Act, 1936.

3.2 It also adheres to the following:

- Archives and Records Association UK & Ireland Code of Ethics (2018);
- Standard for Record Repositories, The National Archives (2004);
- Customer Access Strategy, Rotherham Council (2018).

4. Access Principles

4.1 Rotherham Archives and Local Studies is committed to facilitating access to its collections and resources and to inspire participation and engagement.

4.2 Access to the collections and its resources through the Archives and Local Studies searchroom is provided free of charge.

4.3 Staff aim to deliver high levels of customer care, to facilitate access as efficiently as possible and develop services and access methods as required.

4.4 To observe the aims and objectives outlined within the Council's Customer Access Strategy.

5. Onsite Access

- 5.1 Rotherham Archives and Local Studies searchroom is located in Clifton Park Museum. It is open to the public 27 hours a week. The opening times can be found on the Council's Archives and Local Studies webpages².
- 5.2 Access to the building and its facilities is described in the Access Statement for Clifton Park Museum. See Appendix 1.
- 5.3 Users of the searchroom can expect the following;
- Trained staff available to advise on suitable sources of information held by Rotherham Archives and Local Studies or to signpost elsewhere;
 - Staff to be identifiable;
 - A range of finding aids, catalogues and reference material;
 - Advice and guidance on the suitable handling of original materials and appropriate equipment for use including foam supports, weights, gloves and polyester sleeves.
 - Free internet access and computing facilities with free access to the Findmypast website.
- 5.4 Where archives and local studies material is stored onsite, access is generally on demand. Where archives and local studies material is held offsite, material can be ordered in person, over the telephone or by email. Retrievals are undertaken weekly. This is advertised widely in order to meet expectation.
- 5.5 Items which have surrogates are not normally made available in their original format except in the case of a specialist request.
- 5.6 A range of reprographics services is available that meet the need of researchers without placing material at risk of damage and which are provided in line with the requirements of copyright legislation. Further information is available in the Rotherham Archives and Local Studies Reprographic Policy.
- 5.7 Rotherham Archives and Local Studies aim to provide access to material while ensuring the long-term preservation needs of the collections. The condition of an item and the likelihood further handling will cause damage will be taken into account before it is produced. If an item is unable to be produced, consideration will be given to other methods of access e.g. digitisation.

6. Remote access

² http://www.rotherham.gov.uk/info/200062/libraries/718/archives_and_local_history

- 6.1 Rotherham Archives and Local Studies understands that many of its users are unable to visit in person or would prefer to access information remotely. It has, therefore, developed a research service. This includes:
- Routine enquiries about archives and local studies services. This includes questions about opening hours, making bookings and the availability of certain sources. There is no charge for this service;
 - Requests for photocopies or transcripts, for example, extracts from books, pamphlets, newspapers and journals. There is a charge for this service. The cost includes the cost of the copies, staff time and postage;
 - Requests for research into original documents. There is a charge for this service and an estimate of the research charges is given in advance.

See section 7 for further information about fees and charges.

- 6.2 Rotherham Archives and Local Studies also provide information online about its collections and services both for local and more remote users through the Council's Archives and Local Studies webpages, the Clifton Park and Museum website and various social media platforms.
- 6.3 The online catalogue for Rotherham Archives and Local Studies can be accessed at <http://archives.rotherham.gov.uk/calmview/> and new collections information is added every 3 months.
- 6.4 Rotherham Archives and Local Studies also aim to make as much information as possible available in other web directories and regional/national networks such as The National Archives Discovery catalogue. This includes collections information, contact details and opening hours.
- 6.5 A variety of archive material has also been digitised in conjunction with a third party provider and copies of items are available through Findmypast (<https://www.findmypast.co.uk/>).
- 6.6 Rotherham Archives and Local Studies aims to use various social media platforms in order to provide information about the collections, along with up-to-date information on news and events. This includes the Council's Culture and Leisure Twitter feed and the Clifton Park and Museum Facebook page.

7. Fees and Charges

- 7.1 Any requests for information about Rotherham Archives and Local Studies collections and services will be provided free of charge.

- 7.2 Requests for photocopies or transcripts, for example, extracts from books, pamphlets, newspapers and journals and for more in-depth research will be charged as stated in the schedule of fees and charges for Rotherham Heritage Services.
- 7.3 Charges are also levied for digital copies; personal use of cameras in the searchroom and for reproduction. Where applicable, reproduction requests are subject to a preservation assessment, copyright law and re-use of public sector information regulations.
- 7.4 The schedule of fees and charges are available on request, in the searchroom and on the Council's website³.
- 7.5 Advance notice is given of any applicable fees and charges and where charges are payable they must be paid in advance.
- 7.6 Fees and charges are reviewed annually.

8. Restrictions on Access

- 8.1 Rotherham Archives and Local Studies makes all records (or the information they contain) that it holds routinely available for public consultation and research unless access is:

- Prevented by statutory exemption (see below);
- Against the wishes of a private depositor;
- Likely to risk loss of a depositor's property;
- Likely to cause physical damage to an item.

These restrictions may be waived

- For depositors consulting their own records subject to adequate identification;
- For researchers authorised (in writing) by the depositor;
- For Government security or law enforcement agencies, in line with relevant legislation outlined in section 3.

- 8.2 Statutory exemptions include:

8.2.1 Court records (FOIA (s.32), Sexual Offences (Amendment) Act 1992 s.1)

Exempt for 30 years, except in relation to sensitive personal data, which is exempt for 100 years. Requests for access within the exempt period must be made to the appropriate court. Anyone requesting access should make a Data Subject Access Request.

³ http://www.rotherham.gov.uk/downloads/file/3741/heritage_services_-_fees_and_charges

8.2.2 Coroners' Records (FOIA s.32)

Generally exempt for 30 years. Coroners' records are treated as Court records under FOIA once they have been transferred under the Public Records Act and are covered by an absolute exemption.

Coroners' records between 30 and 75 years old may contain sensitive personal data (e.g. witness statements). For access, a research request needs to be submitted. Permission from the depositing body (or successor body) may need to be contacted for permission prior to any release of information from the archives.

8.2.3 National Health Service records (FOIA ss.38, 40, 41, 44, GDPR and Statutory Instrument 2000 No. 413)

Exempt for 100 years for records containing sensitive personal data (except Register of Deaths which are open). If the date of birth is unclear the guidelines from After the One Hundred Year Rule⁴ are used:

- medical records of adults closed for 84 years
- medical records of children closed for 93 years
- medical records of infants closed for 100 years.

For further guidance from The National Archives on access to NHS Records transferred to a local place of deposit under the Public Records Act see <http://www.nationalarchives.gov.uk/documents/information-management/access-tonhs-records-transferred-to-places-of-deposit.pdf>

8.2.4 Local authority records (including predecessor urban and rural district councils, civil parishes and townships).

Generally open, except for records relating to legal actions or investigations (exempt s.30 (1)) for 30 years, and where GDPR and other legislation applies in relation to personal data.

Specific categories of local authority records are exempt for longer periods:

- School records (FOIA s.40, GDPR and Statutory Instrument 2000 No. 414)
Rotherham Council applies the following guidelines for access to school records: Exempt for 30 years – log books, admission registers, punishment books and managers' and governor's minutes.
Information can be requested as a Subject Access Request.
- Poor Law and Public Assistance Institutions (FOIA s.40 and GDPR)

⁴ *After the Hundred Year Rule*, Colin Gale and Catherine Redfern (Health Archives Group, 2004)

Exempt for 100 years – sensitive medical records and Creed Registers.

- Electoral registers (Representation of the People Act, 2002)
The current Full electoral register is available to view at Riverside House (by appointment through Customer Services).

Non-current electoral registers are open and available for use in Rotherham Archives and Local Studies searchroom.

Handwritten notes may be made only (no photocopying or equivalent).

8.2.5 Police records (Rotherham District); as guided by South Yorkshire Police. Please note that the depositing body may need to be contacted for permission prior to any release of information from the archives.

8.2.6 Methodist records

Guidelines issued by The Methodist Church Archives and History Committee

Minutes of meetings - exempt for 30 years.

Confidential material – exempt for 75 years (complaints, disciplinary records, assessment files).

8.2.7 Other privately deposited records (FOIA s. 41)

Some privately owned records may be exempt if they were deposited with a confidentiality agreement between Rotherham Archives and Local Studies and the owner.

- 8.2 There may be restrictions on access to uncatalogued material (FOIA s.22), in that they are intended for publication at a future date as part of Rotherham Archives and Local Studies cataloguing action plan.

9. Engagement and Promotion

- 9.1 Rotherham Archives and Local Studies has a commitment, guided by the Service's Forward Plan to open up the collections in a variety of ways to encourage engagement and active participation. This includes:

- Exhibitions;
- Events and activities;
- Workshops and talks;
- School sessions;
- Digitisation;
- Creative use to encourage wider engagement and active participation;
- Volunteering and work experience placements.

- 9.3 The long term aim of the Service is to develop, use and embrace a platform of co-creation ensuring children and young people are actively involved and heard within the Service. This will, therefore, determine future engagement and audience development plans.
- 9.4 The Archive and Local Studies collections will also be used for advocacy and promotion both internally and externally. Examples will include utilising the Service's websites and Facebook pages; local and national media and for fundraising.

10. Review

- 10.1 This policy will be reviewed as required to take into account changes in circumstances and will be reviewed after 4 years in line with the Service's Forward Plan.

11. Appendices

11.1 Appendix 1 – Access Statement for Clifton Park Museum

Photos are available in the full version

Access Statement for Clifton Park Museum

This access statement does not contain personal opinions as to our suitability for those with disabilities, but aims to accurately describe the facilities and services that we offer all our visitors.

Introduction

Clifton Park Museum is a Grade II* listed building set in a Grade II listed Park. The Museum is situated on a main road, approximately half a mile up a hill, with parts of it steep from Rotherham Town Centre. Benches are situated from the bottom of the park up to the Museum. The Museum which is VAQAS accredited tells the story of Rotherham and it's borough and the Walker family as well as being the home to the York & Lancaster Regimental Museum, Archives & Local Studies and the Registration Services venue for celebratory services.

The Museum is located on two floors with lift and stair access to galleries on the first floor. You should allow at least 1.5 hours for your visit. A wheelchair is available on request for loan, free of charge for use inside the Museum. Mobility scooters are available for use in both the Park and Museum from the nearby garden building which is accessed via a level tarmac surface. A £5.00 returnable deposit is required for a one-two hour use. Longer use can be agreed subject to availability.

There are many interactive elements within the galleries which visitors are encouraged to touch and use.

You can also enjoy our Café and Shop, which sells a broad range of souvenirs and gifts. These are both situated on the ground floor with step free access.

Visitor Services staff are available throughout the building should you require any assistance.

Pre-Arrival

For full details and maps on how to reach us please see the directions section of our website, alternatively you can plan your journey by car or public transport using <http://www.traveline.info>; simply enter your postcode and ours, which is S65 2AA to get directions.

The nearest train station is Rotherham which is approximately three quarters of a mile away. Taxis are available from here along with other taxi numbers. Alternatively the bus station is on the opposite side of the road, a couple of minutes flat walk away.

The nearest bus stop is directly outside the Museum. If travelling from the Bus Station you need to catch the number 14. When you get off the bus you will go up a moderate incline to the main Museum entrance which is step free with automatic doors. If travelling from the Museum back to the Bus Station you need to catch the number 14 on the opposite side of the road, a couple of minutes walk away on a relatively flat path.

The Museum is situated at the top of a hill if coming from the Town Centre or on a moderate hill if coming from the opposite direction. There is a moderate incline if walking from the main road to the Museum entrance, the paths around the Museum are hard surfaced with a layer of very small gravel chippings that do not impede wheelchair mobility.

Car Parking and Arrival

Car parking is available with 64 spaces in total, 5 of which are for Blue Badge parking although visitors displaying a Blue Badge can park in any available space within the main car park. The nearest Blue Badge spaces are 4100 cm (134ft, 5 in) from the main entrance, 1650cm (54 ft, 1 in) from the side (shop) entrance and 8100 cm (265 ft, 7 in) from the Café entrance. The car park surface is flat and tarmac; there are two tarmac footpaths with dropped kerbs, it is not necessary to go on the footpaths when parking in the Blue Badge spaces.

Access from the car park to the Museum via the main entrance, Shop and Café is via a flat tarmac or very small gravel chippings surface. All entrances have level access with automatic doors at the main entrance and Shop, the Café has a manual outward opening door. The main entrance glass doors open inwards and are 107 cm (3ft, 5 in wide, the glass shop doors slide sideways and are 190 cm (6 ft, 2 in) wide, the wooden café door opens outwards and is 90 cm (2 ft, 9 in) wide.

The car park gets very busy during school holidays and Saturdays throughout the summer; alternative parking is available at the opposite end of the park via the entrance on Doncaster Gate. There are tarmac paths from the car park to the Museum, some areas are up an incline which is slightly steep in places.

Main Entrance

The main entrance is situated on the ground floor at the front of the building; access is step free up a very slight smooth incline with double automatic inward opening doors. The entrance has a sunken mat just inside the doors and a marble floor. Access in this area is level.

Two seats are available in the parlour just off the main entrance.

The entrance is generally bright and airy and is lit with overhead period lighting; the area can feel darker in the winter months.

There is a large print gallery plan on the wall with take away plans to assist as you go around the building. There is also a house model to show how the building looked prior to becoming a Museum. Leaflets relating to the Museum and Park can also be found in this area. Large print information panels giving background information relating to the Museum can be found on the walls.

A member of staff is generally available in this area to assist as necessary.

Attraction displays

Throughout the galleries, there is a range of large print information panels which help tell the story of the Museum. The majority of objects are in upright glass cabinets and each object has a label to give further information. Due to the height of the cases some of the labels are harder to read from lower down.

The Library Gallery has a selection of albums to accompany the items on display.

A wide selection of interactives are available around the museum; these include photo books and computer terminals as well as colouring sheets and puzzles, all of which are at low level. Some of the interactives have sound which is controlled by pressing the button on and off.

The galleries are bright and lit with spotlights on the ceiling as well as each case having its own lighting. There is no background music.

A lift is available to take you to the first floor where further displays can be found. The lift has Braille buttons and sound to identify the floor; it is well lit and has a mirror on one side.

There are two staircases with handrails which take you to the first floor; one in the inner hall (28 steps) and the other in the servants corridor (28 steps).

Chairs and window seats are available around the museum in most rooms.

The majority of the galleries have level wooden floors apart from the parlour, period kitchen and servants corridor which are tiled and the lion's den which is carpeted.

Information leaflets relating to the Museum and local area can be found in the parlour which is next to the main entrance. Display boards advertising local events are situated in the shop and toilet corridor.

Public Toilets

All public toilets are located on the ground floor with level access from all areas. Access is through the shop down a slight ramp, a handrail is available at the ramp.

There is one unisex accessible toilet which does not require a key to access it. Access to the toilet is through an outward facing single light door with a twist lock. The toilet is 5790 cm (189 ft, 9 in) from the main entrance, 1380 cm (45 ft, 3 in) from the shop entrance and 660 cm (21 ft, 6 in) from the café.

The accessible toilet is 215 cm x 188 cm (7 ft, 5 in x 6 ft, 2 in). The height of the toilet above floor level is 46 cm (1 ft, 5 in); the toilet roll holder is on the left hand side at a height of 123 cm (4 ft, 3 in)

There is a colour contrast between the walls and critical surfaces, the utilities are white. The floor is non slip.

An emergency pull cord is to the left of the toilet, next to the toilet roll holder.

Wall mounted and drop rails are available on either side of the toilet.

The sink has a lever tap with a mirror above it. There are hand towels and an electric hand dryer to the right of the sink.

Coat hooks are on the back of the door.

A baby changing unit and nappy bin is also available within this toilet space.

Catering

The café is situated on the ground floor via level access to the rear of the museum; access is through a wooden outward opening door 90 cm (2 ft, 9 in) wide via the shop or through an outward opening door 90 cm (2 ft, 9 in) wide from the outside. The area is small but can accommodate wheelchairs.

There are 6 tables in total inside the café which are down each side with a walkway in the middle. Additional tables are available outside on the level terrace or in the shop area. The tables are 76 cm (2 ft, 5 in) high and all have a mixture of removable chairs with and without arms. The crockery contrasts in colour with the tables and tablecloths.

The café is counter service for ordering food and purchasing snacks/drinks, prepared food is served to the table. Staff will assist with taking purchased items to the table if this is required. Menus are available on each table and can be taken from the counter to the outside seating area, there are also several free standing blackboards and a specials board on the wall. Food is prepared on site and staff will try to accommodate any special dietary needs.

The area is light with a mixture of natural daylight and ceiling lights.

The same dark wooden flooring is used throughout the café, shop, archives and local studies searchroom and the early Rotherham galleries.

The accessible toilet is down a small corridor from the café.

Shop Entrance

Access to the shop is from the car park side of the building, via level access through double sliding automatic doors. The shop has plenty of space to manoeuvre between the displays. There is a reception desk with a low level counter and a hearing loop system which staff are trained to use.

Tickets for events are sold from the shop and all telephone calls are answered here.

The products are displayed primarily on open shelving at a variety of heights; retrieval of items on the highest shelves may require assistance for wheelchair users.

Additional café seating is available in the shop, the moveable tables are 74 cm (2 ft, 4 in) high and all have a mixture of removable chairs with and without arms.

There is a gallery plan on the wall with take away plans to assist as you go around the building. Leaflets and posters relating to the Museum and Park can also be found in the shop area. The toilets, café, archives & local studies searchroom and the main museum galleries can all be accessed from the shop. All areas have clear signage on the doors as well as directional signage on the walls.

A member of staff is always available in this area to assist as necessary.

Additional Information

All staff participate in regular training including customer care and disability awareness. We have set evacuation procedures and should someone require assistance to evacuate the building, staff are available to provide this. We also have an evacuation chair to assist.

Assistance dogs are welcome and water is available outside the café. As the Museum is situated within a park there are ample areas to walk the dogs.

Text from our leaflets can be made available in large print on request.

Clear signage is used throughout the whole attraction using a clear font with large black letters on a white background.

Future Plans

We are planning to provide more of our labels as handouts over the next year and will provide a magnifier on request to use with these.

We are planning to review our website and move to a new purpose designed site which will be more accessible and informative.

We will review actions from our most recent access group audit and carry out any outstanding recommendations where possible.

Contact Information

Address: Clifton Park Museum, Clifton Lane, Rotherham. S65 2AA
Grid reference: SK 435 928
Telephone: 01709 336633
Minicom: 01709 823536
Email: cliftonparkmuseum@rotherham.gov.uk
Website: www.rotherham.gov.uk/cliftonparkmuseum
Hours of operation: Monday to Friday 10.00 a.m. – 5.00 p.m.
Saturday 9.30 a.m. – 5.00 p.m.
Sunday April – September 1.30 p.m. – 4.30 p.m.
Closed Christmas Day, Boxing Day, New Years Day and Good Friday

This page is intentionally left blank

Public Report
Cabinet and Commissioners' Decision Making Meeting

Summary Sheet

Name of Committee and Date of Committee Meeting

Cabinet and Commissioners' Decision Making Meeting – 17 September 2018

Report Title

New Applications for Business Rates Discretionary Relief

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

No

Strategic Director Approving Submission of the Report

Judith Badger, Strategic Director of Finance and Customer Services

Report Author(s)

Diane Woolley, Team Leader – Local Taxation
01709 255158 or diane.woolley@rotherham.gov.uk

Ward(s) Affected

All

Summary

To consider the applications for the award of a business rate discretionary relief for the organisations listed in Section 2. This is in accordance with the Council's Discretionary Business Rates Relief Policy (approved 12th December 2016).

Recommendations

1. That 20% top up relief is awarded to Barnsley Sexual Abuse and Rape Crisis Services, The Spectrum, Coke Hill, Rotherham, S60 2HX for the period 1 April 2018 to 31 March 2019.
2. That 20% top up relief is refused for Sheffield YWCA, 89 Laughton Road, Dinnington, Sheffield, S25 2PN for the period 26 March 2018 to 31 March 2019.

List of Appendices Included

None

Background Papers

Discretionary Rate Relief Policy - Approved on 12 December 2016

Consideration by any other Council Committee, Scrutiny or Advisory Panel

No

Council Approval Required

No

Exempt from the Press and Public

No

New Applications for Discretionary Rate Relief

1. Recommendation

- 1.1 That 20% top up relief is awarded to Barnsley Sexual Abuse and Rape Crisis Services, The Spectrum, Coke Hill, Rotherham, S60 2HX for the period 1 April 2018 to 31 March 2019.
- 1.2 That 20% top up relief is refused for Sheffield YWCA, 89 Laughton Road, Dinnington, Sheffield, S25 2PN for the period 26 March 2018 to 31 March 2019.

2. Background

- 2.1 Section 47 of the Local Government Finance Act (LGFA) 1988 conveys power on local authorities to allow discretionary relief that would be additional to the mandatory relief. This is given when the property is used wholly or mainly for charitable purposes by a charity or other non-profit body whose main objects are charitable or benevolent, or concerned with education, social welfare, science, literature or the arts.
- 2.2 The Council can grant discretionary relief to:-
 - Registered Charitable Organisations, including Community Amateur Sports Clubs. The relief granted is up to 20% of the rate liability as these organisations are eligible for 80% mandatory rate relief.
 - Other organisations or institutions that are not established or conducted for profit and whose aims are charitable or otherwise, philanthropic, religious, concerned with education, social welfare, science, literature or fine arts. Relief can be granted up to 100% of the business rates liability.
 - Properties occupied by not for profit sports or social clubs, societies or other organisations for the purposes of recreation. Relief can be granted up to 100% of the business rates liability.
 - Rate relief to ratepayers – Section 47 of the LGFA 1988 was amended by Section 69 of the Localism Act 2011. This amendment gives the Council the discretion to grant relief to any other body, organisation or ratepayer, having due regard to its Council Tax payers.
- 2.2.1 The Council has operated a system of awarding relief through the application of a policy that was approved by the former Cabinet on 24th April 2013 which has more recently been revised and subsequently approved by Cabinet on 12 December 2016.

2.2.2 The funding for Discretionary Rate Relief was, until the introduction of the Government's Business Rates Retention Scheme (April 2014), shared with Central Government through the National Non-Domestic Rate Pool. Local authorities were reimbursed with 25% of the cost of discretionary rate relief granted to charities and Community Amateur sports Clubs, and 75% of the cost of relief granted to other bodies. Now, with the localisation of business rates, Central Government and Councils share every £1 of rates due on a 50/50 basis as follows:

Central Government	50%
South Yorkshire Fire and Rescue Authority	1%
Rotherham MBC	49%

**2.3 Application 1:
Barnsley Sexual Abuse & Rape Crisis Services
The Spectrum, Coke Hill, Rotherham, S60 2HX**

2.3.1 Barnsley Sexual Abuse & Rape Crisis Services is a registered charity who provides an Independent Sexual Violence Advocacy to victims of Child Sexual Exploitation whilst working alongside the National Crime Agency.

2.3.2 Cabinet previously approved an award of discretionary top up relief to the charity who have now moved to new premises and are applying for a continuation of this relief at their new address.

2.3.3 The application for the award of discretionary relief is in line with the Council's qualifying criteria as set out in its Policy. The charity provides a service available to any survivor of Child Sexual Exploitation in Rotherham. The service they provide indirectly relieves the Authority of the need to do so.

2.3.4 Barnsley Sexual Abuse & Rape Crisis Services is applying for 20% discretionary top up relief with regard to their 2018/19 rates liability. The financial implication of awarding the rate relief is set out in section 7 of this report.

**2.4 Application 2:
Sheffield YWCA
89 Laughton Road, Dinnington, Sheffield, S25 2PN**

2.4.1 Sheffield YWCA aims to provide a better future for women, children and families.

The organisation has applied for relief on a property which is in use as a charity shop to raise funds for their activities and services.

2.4.2 The application for the award of discretionary relief is not in line with the Council's qualifying criteria as set out in its Policy. Charity shops operate in competition with other shops within the area which may be liable for full business rates. To award relief would give the organisation an unfair trading advantage over some of its competitors.

2.4.3 Sheffield YWCA is applying for 20% discretionary top up relief with regard to their 2017/18 and 2018/19 rates liability. The financial implication of awarding the rate relief is set out in section 7 of this report.

3. Key Issues

- 3.1 To consider the applications requesting the award of discretionary relief to the organisations listed in Section 2.

4. Options considered and recommended proposal

- 4.1 Given the discretionary nature of the relief requested, the Council has the discretion to either award or not award a discretionary relief.
- 4.2 In helping Members make such a decision, the Council has put in place a specific Policy framework to consider individual applications. In accordance with that Policy, applications (including supporting documentation) for relief have been considered in line with the qualifying criteria and other considerations set out in that Policy.
- 4.3 In line with the Council's Business Rates Discretionary Relief Policy, having regard to the financial cost of the proposed relief, the charitable use of the premises and the contribution that these businesses make to the local community, it is recommended that an award for discretionary relief be granted to Barnsley Sexual Abuse & Rape Crisis Services and refused for Sheffield YWCA.

5. Consultation

- 5.1 The recommendations in the report are based on the application of an existing policy. There has been no specific consultation carried out in relation to any individual organisations referred to within this report.

6. Timetable and Accountability for Implementing this Decision

- 6.1 The applicants will be advised by letter of the outcome of their application for relief within 10 working days of the Cabinet decision.

7. Financial and Procurement Implications

- 7.1 The applicants have provided financial information in support of their applications for discretionary relief.
- 7.2 The total potential cost of granting the relief for the financial years 2017/18 and 2018/19 is set out below in paragraph 7.3 alongside the specific cost to the Council.

7.3	Year	Total Amount of Relief	Cost to RMBC
-----	-------------	-------------------------------	---------------------

Barnsley Sexual Abuse & Rape Crisis Services

18/19	£478.21	£234.32
-------	---------	---------

Sheffield YWCA

17/18	£7.56	£3.70
18/19	£473.28	£231.91

8. Legal Implications

- 8.1 The statutory framework for discretionary relief is set out in the body of the report.

9. Human Resources Implications

- 9.1 No direct implications from this report

10. Implications for Children and Young People and Vulnerable Adults

- 10.1 No direct implications from this report

11. Equalities and Human Rights Implications

- 11.1 No direct implications from this report

12. Implications for Partners and Other Directorates

- 12.1 No direct implications from this report

13. Risks and Mitigation

- 13.1 The Government has issued guidance notes to advise Authorities what criteria should be used in considering applications for Discretionary Rate Relief. Authorities have been strongly advised to treat each individual case on its own merits and to not adopt a policy or rule which allows them to not consider each case without proper consideration. In cognisance of these guidance notes, the Council has formally adopted a Policy framework for considering individual discretionary business rates relief applications with the decision to award reserved for Cabinet.

14. Accountable Officer(s)

Approvals obtained on behalf:-

	Named Officer	Date
Strategic Director of Finance & Customer Services	Graham Saxton	02.08.2018
Assistant Director of Legal Services	Neil Concannon	19.07.2018
Head of Procurement (if appropriate)	N/A	N/A
Assistant Director of Human Resources and Organisational Development (if appropriate)	N/A	N/A

*Report Author: Diane Woolley – Team Leader, Local Taxation
01709 255158 or diane.woolley@rotherham.gov.uk*

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

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

This page is intentionally left blank

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

Summary Sheet

Name of Committee and Date of Committee Meeting

Cabinet and Commissioner's Decision Making Meeting – 17 September 2018

Report Title

Disposal of Land at William Street/ Whitelee Road, Swinton

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

Not a key decision though on the forward plan

Strategic Director Approving Submission of the Report

Damien Wilson, Strategic Director of Regeneration and Environment

Report Author

Jonathan Marriott, Estates Manager
01709 823898 or jonathan.marriott@rotherham.gov.uk

Ward(s) Affected

Swinton

Executive Summary

To consider the recommendation to dispose of an area of land used as a private car park by way of a private treaty to the occupier.

Recommendations

1. That approval be given to the disposal of land as shown edged and hatched in red at Appendices 1 and 2 as detailed within Option 1 of this report.
2. That the Assistant Director of Planning, Regeneration and Transport be authorised to negotiate and agree the terms and conditions of the proposed disposal, with the Assistant Director of Legal Services negotiating and completing the necessary legal documentation.

List of Appendices Included

Appendix 1 Location Plan
Appendix 2 Site Plan
Appendix 3 Exempt Addendum

Background Papers

None

Consideration by any other Council Committee, Scrutiny or Advisory Panel

None

Council Approval Required

No

Exempt from the Press and Public

While the main report is an open item, exemption for Appendix 3 is requested under paragraph 3 (Information relating to the financial or business affairs of any particular person (including the authority holding that information)) of Part I of Schedule 12A of the Local Government Act, as it contains sensitive commercial information with regards to the Council's contracts.

Disposal of Land at William Street/ Whitelee Road, Swinton

1. Recommendations

- 1.1 That approval be given to the disposal of land as shown edged and hatched in red at Appendices 1 and 2, as detailed within Option 1 of this report.
- 1.2 That the Assistant Director of Planning, Regeneration and Transport be authorised to negotiate and agree the terms and conditions of the proposed disposal, with the Assistant Director of Legal Services negotiating and completing the necessary legal documentation.

2. Background

- 2.1 The area of land subject to this report equates to 1.15 acres (0.06 hectares) and is located off William Street/ Whitelee Road, Swinton and edged and hatched red at Appendices 1 and 2. The land is located within an established industrial area, directly opposite the manufacturing and distribution centre of Stelrad Radiators.
- 2.2 Stelrad has used the land as a secure car park for use by staff since 2002. Stalrad is holding over under the terms of an expired lease. Under this protected tenancy Stelrad has the continued option to purchase the freehold interest in this land at an agreed Market Value.

3. Key Issues

- 3.1 Stelrad have recently approached Asset Management with a request to purchase the land in order to secure parking provisions for its staff, which is key to its long term plans for retaining the manufacturing and distribution centre in Swinton.

4. Options considered and recommended proposal

- 4.1 Option 1 – Cabinet resolves to dispose of the land to Stelrad by way of private treaty sale at the agreed purchase price detailed within paragraph 2.9 of the exempt addendum at Appendix 3. The Market Value is to be established by way of an independent valuation.
- 4.2 Other options have been considered but discounted; these are to either Option 2, retain this land for future revenue; or Option 3, dispose of it on the open market. Neither of these options can be considered at this stage in the process because the option to purchase has been triggered by Stelrad, which the Council is obliged to progress.
- 4.3 It is recommended that Option 1 is agreed, considering Stelrad's option to purchase is contained within its protected tenancy. This will also give certainty to a major local employer, whilst offering a cost effective method of disposal without the need for incurring marketing costs. This will also ensure that the capital receipt will be received within the current financial year.

5. Consultation

- 5.1 Ward Members have been consulted though no responses have been received at the time of writing this report.

6. Timetable and Accountability for Implementing this Decision

- 6.1 If Option 1 is agreed then the decision can be implemented immediately and the Assistant Director of Legal and Democratic Services instructed to complete the necessary legal documentation.

7. Finance and Procurement Implications

- 7.1 Considered within the exempt addendum within Appendix 3

8. Legal Implications

- 8.1 There are no immediate legal implications arising from the recommendations in the report.

9. Human Resource Implications

- 9.1 There are no HR implications arising from this report.

10. Implications for Children and Young People and Vulnerable Adults

- 10.1 None considered

11. Equalities and Human Rights Implications

- 11.1 None considered

12. Implications for Partners and Other Directorates

- 12.1 None considered

13. Risks and Mitigation

- 13.1 In order to ensure best value and compliance with the terms of the lease agreements option to purchase, a jointly appointed Independent Valuation Report has been jointly instructed by the Council and Stelrad to calculate the Market Value which will determine the price payable. The surveyor's fee for this valuation is to be shared equally between both parties.

14. Accountable Officer(s)

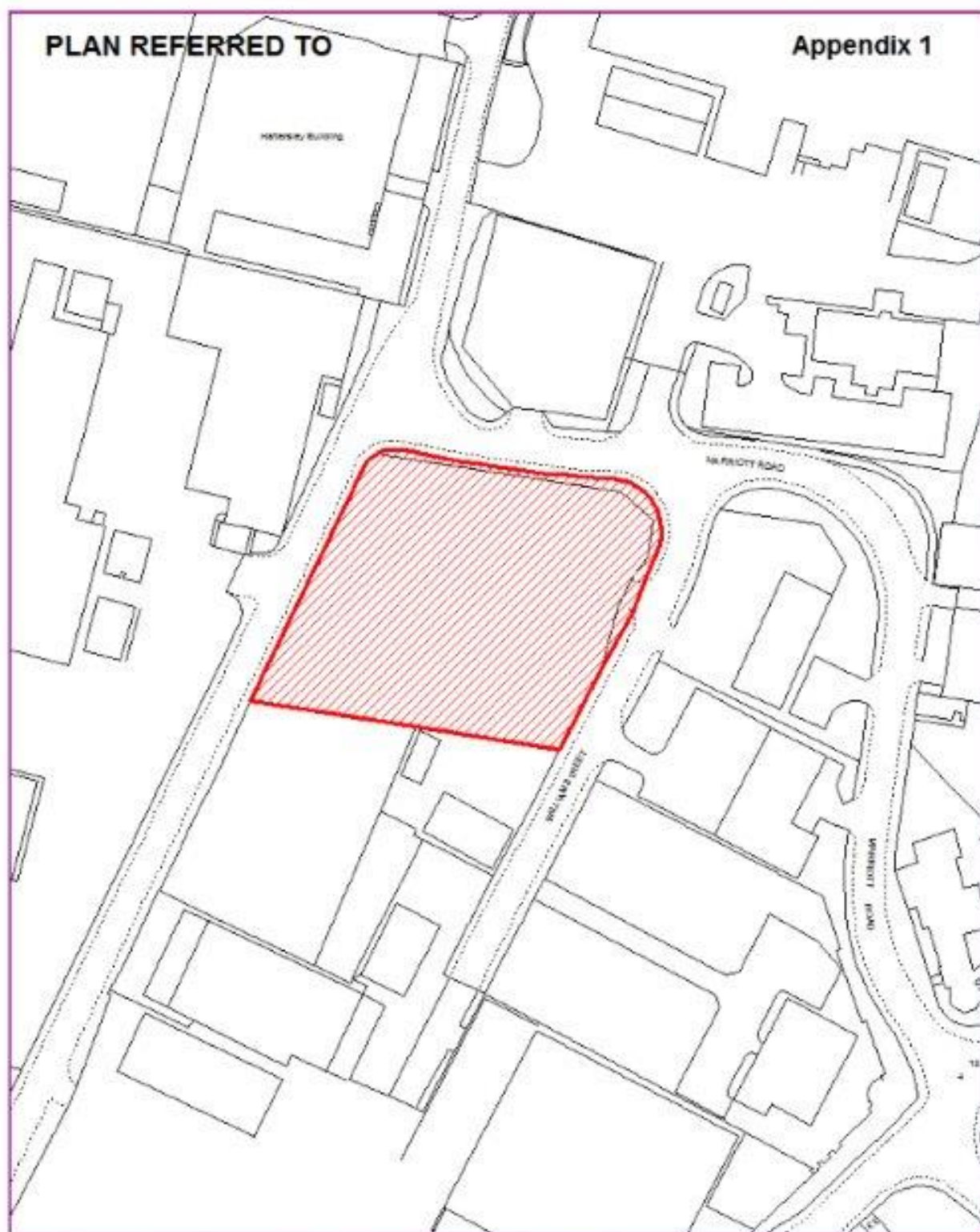
Damien Wilson, Strategic Director of Regeneration and Environment
Jonathan Marriott, Estates Manager Asset Management

Approvals obtained on behalf of:-

	Named Officer	Date
Strategic Director of Finance & Customer Services	Jon Baggaley	13.07.2018
Assistant Director of Legal Services	Ian Gledhill	13.07.2018
Head of Procurement (if appropriate)		
Assistant Director – Human Resources (if appropriate)		

Report Author: Jonathan Marriott, Estates Manager
01709 823898 or jonathan.marriott@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=>



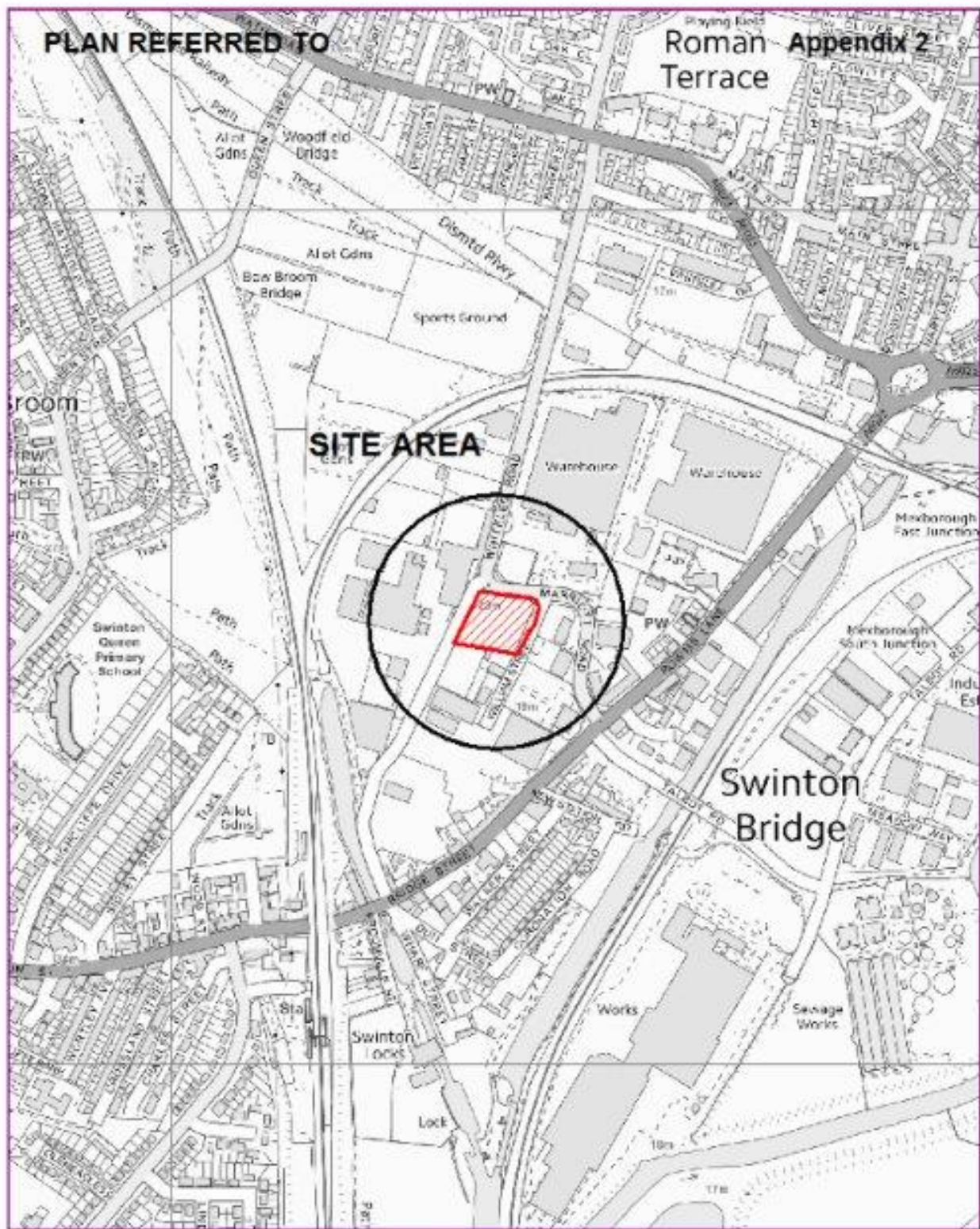
Based upon the Ordnance Survey mapping with the permission of the Controller of Her Majesty's Stationery Office © Crown copyright.
 Unauthorised reproduction infringes Crown copyright and may lead to prosecution or civil proceedings. Rotherham MBC Licence No. LA276287.


 Scale 1:1250

**1.15 Acres of Land at William Street/Whitelee Road
 Swinton
 Rotherham**

FOR IDENTIFICATION ONLY

Rotherham
 Metropolitan
 Borough Council 



Based upon the Ordnance Survey mapping with the permission of the Controller of Her Majesty's Stationary Office © Crown copyright.
 Unauthorised reproduction infringes Crown copyright and may lead to prosecution or civil proceedings. Rotherham MBC Licence No. LA070207


 Scale 1:6000

1.15 Acres of Land at William Street/Whitelee Road
 Swinton
 Rotherham

FOR IDENTIFICATION ONLY

Rotherham
 Metropolitan
 Borough Council

This page is intentionally left blank

By virtue of paragraph(s) 3 of Part 1 of Schedule 12A
of the Local Government Act 1972.

Document is Restricted

This page is intentionally left blank

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

Summary Sheet

Name of Committee and Date of Committee Meeting

Cabinet and Commissioners' Decision Making Meeting – 17 September 2018

Report Title

Wath District Office, Church Street, Wath

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

This is not a Key Decision but it has been put on the Forward Plan.

Strategic Director Approving Submission of the Report

Damien Wilson, Strategic Director of Regeneration and Environment

Report Author

Rory Hague – Estates Surveyor
01709 254067 or rory.hague@rotherham.gov.uk

Ward(s) Affected

Wath

Executive Summary

The purpose of this report is to seek approval to the disposal of the former Wath District Office, Church Street, Wath.

Recommendations

1. That Cabinet approve the disposal of Wath District Office as shown edged in red at Appendix 1, as detailed within Option 1 of this report (should the disposal not complete within the six-month statutory moratorium period then it is recommended that Option 2 is pursued instead).
2. That the Assistant Director of Planning, Regeneration and Transport be authorised to negotiate and agree the terms and conditions of the proposed disposal in consultation with the Cabinet Member for Jobs and the Local Economy, with the Assistant Director of Legal Services negotiating and completing the necessary legal documentation.

List of Appendices Included

Appendix 1 Site and Retained Rights Plan
Appendix 2 Proposed Restrictive Covenants Plan
Appendix 3 Exempt Financial Addendum

Background Papers

None

Consideration by any other Council Committee, Scrutiny or Advisory Panel

None

Council Approval Required

No

Exempt from the Press and Public

While the main report is an open item, exemption for Appendix 3 is requested under paragraph 3 (Information relating to the financial or business affairs of any particular person (including the authority holding that information)) of Part I of Schedule 12A of the Local Government Act, as it contains sensitive commercial information with regards to the Council's contracts.

Wath District Office, Church Street, Wath

1. Recommendations

- 1.1 That Cabinet approve the disposal of Wath District Office as shown edged in red at Appendix 1, as detailed within Option 1 of this report (should the disposal not complete within the six-month statutory moratorium period then it is recommended that Option 2 is pursued instead).
- 1.2 That the Assistant Director of Planning, Regeneration and Transport be authorised to negotiate and agree the terms and conditions of the proposed disposal in consultation with the Cabinet Member for Jobs and the Local Economy, with the Assistant Director of Legal Services negotiating and completing the necessary legal documentation.

2. Background

- 2.1 The Council own the former Wath District Office (DO) which comprises of the old Town Hall, a Grade II listed building, and an interconnecting 1960's office extension. The asset also includes surrounding grassed open space and part of a war memorial. The whole asset is identified as edged red on the plan at Appendix 1. The site is approximately 1.8 acres in size with the DO building extending to circa 900 square meters Gross Internal Area. The buildings are generally in a poor state of repair.
- 2.2 The DO was declared surplus and has been vacant since mid-2014. The services previously provided at the site were relocated to the neighbourhood hubs in Rawmarsh and Swinton. Since this time Wath Hall Ltd have been in occupation under a licence.
- 2.3 Wath Hall Ltd was initially given access to enable them to secure funding so that a community asset transfer lease may be granted.
- 2.4 The site is subject to a public right of way that runs around the perimeter of the site as shown coloured yellow on the plan at Appendix 1, with a vehicular right of way (as shown coloured blue on the plan at Appendix 1) in favour of the All Saints' Church. The areas of green space, as shown coloured green on the plan at Appendix 2, are used by the local community several times throughout the year. Because of the continued community use of these areas it is proposed that, should the site be disposed of, a restrictive covenant will be put in place restricting any future development and any new owner from preventing access for community purposes.

3. Key Issues

- 3.1 The property was informally marketed for Expressions of Interest from 12th March 2018 with a deadline for interest to be received by 11th May 2018. This property was advertised through traditional marketing channels for all disposal options to establish the best future use of the property. There were five proposals received through this soft marketing process to gauge the level of interest in the property. These bids were then considered by the Asset Management Board who recommended Wath Hall Ltd's bid for resolution by Cabinet. The details of these bids are in Appendix 3
- 3.2 Wath DO was registered as an Asset of Community Value in November 2016. The nomination expires on the 11th November 2021. Therefore, the procedures set out in Part 5, Chapter 3 of the Localism Act 2011 apply and will be followed despite the proposal to dispose of the property to Wath Hall Ltd. This nomination gives community interest groups a right to bid on the property. Therefore, from the date that the decision to dispose of the property is made, a 6 month moratorium period will apply. The first part of this moratorium is a 6 week interim period. During this 6 week period, community interest groups can make a written request to be treated as a potential bidder.
- 3.3 If none do so, then the asset can be disposed of at the end of the 6 weeks. If a request is made, the remainder of the 6 months will operate. During this time, the Council are free to market the property and negotiate a disposal but may not exchange contracts.
- 3.4 Once the 6 month period expires, the Council will be free to dispose of the property as they see fit (subject to the normal Council disposal procedures). Under the Assets of Community Value Regulations 2012, the property may be disposed of to a community interest group during the moratorium period.
- 3.5 Should any parties come forward to register their interest, their proposals will be considered at the time of receipt and they will be registered as bidders in accordance with the regulations. All proposals will be considered by the Council.
- 3.6 If the disposal to Wath Hall Ltd is verified at less than best value; then the Council can dispose of property at less than best consideration (difference between fair value and consideration) that can reasonably be obtained so long as it does not exceed £2m. If the Council considers that it will help to secure the promotion or improvement of the economic, social or environmental wellbeing of its area.

- 3.7 The Council considers that the proposed future community use along with the proviso for the grounds to be available for the continued holding of public events will promote and improve the social and environmental wellbeing of the area. This proposal is in line with the Council Plan as it complies with one of the four key priorities – A strong community in a clean safe environment. This proposal helps to build a stronger community and secures the future of this building as a community hub. It promotes partnership working with local community groups by transferring this asset to Wath Hall Ltd and promotes health and wellbeing as it provides for the community greenspaces to encourage safe and healthy pursuits.

4. Options considered and recommended proposal

- 4.1 Option 1 – That Cabinet resolves to dispose of Wath District Office (as shown edged in red at Appendix 1) in accordance with the statutory procedures for disposal of Assets of Community Value and to delegate to the Assistant Director for Planning, Regeneration and Transport, in consultation with the Cabinet Member for Jobs and the Local Economy, the authority to conclude the disposal of the land, subject to independent valuation, and to do so at less than the best consideration that can reasonably be obtained if the requirements of the General Disposal Consent (England) 2003 are met and completion takes place during the statutory 6 month moratorium period. This is the recommended option because it would allow the District Office to be used for the benefit of the local community by a community interest group. Wath Hall Ltd are such a group but other community interest groups would have the opportunity to bid during the statutory moratorium period. If no bids from community interest groups result in completion being achieved during the statutory moratorium period the District Office would be disposed of at market value.
- 4.2 Option 2 – That Cabinet resolves to dispose of Wath District Office (as shown edged in red at Appendix 1) in accordance with the statutory procedures for disposal of Assets of Community Value at market value and to delegate to the Assistant Director for Planning, Regeneration and Transport, in consultation with the Cabinet Member for Jobs and the Local Economy, the authority to conclude the disposal of the land, subject to independent valuation. This is not the recommended option because while it might produce a greater capital receipt if the District Office were sold at market value it would not enable the premises to be used for the benefit of the local community unless a community interest group were the highest bidder.

5. Consultation

- 5.1 Ward Members have been consulted on the proposal and are supportive of the recommendation.
- 5.2 The surrounding greenspace is classified as Public Open Space and therefore when the heads of terms are agreed and legal is instructed, the future disposal will be advertised under Section 123 of the Local Government Act 1972 to

identify if there is any public support or objection to the proposal for the Council to fully consider before proceeding with the sale.

6. Timetable and Accountability for Implementing this Decision

- 6.1 The purchaser will be given six months to secure the necessary funding and complete the purchase.
- 6.2 Once the options have been considered and a course of action agreed, Asset Management will conclude the negotiations.
- 6.3 Dependent on the outcomes of the negotiations and funding applications by the purchaser, the capital receipt is targeted in the financial year 2019 - 2020.

7. Finance and Procurement Implications

- 7.1 The anticipated capital receipt from the proposed disposal of this asset is contained within the exempt financial addendum at Appendix 3.
- 7.2 This will assist in the Council achieving a minimum £2m of capital receipts required as part of the Council's approved Budget for 2018/19.
- 7.3 It is anticipated that the cost of obtaining an independent valuation, for a private treaty disposal, will be in the region of £2k plus VAT. The valuation is for the Council's internal purposes only but the cost is usually met by the purchaser.
- 7.4 It is anticipated that the Council's legal and professional fees in dealing with the disposal will be met by the purchaser. These will amount to circa £3k (plus VAT, if required) plus the cost of any associated Council expense that the Council's legal team incur whilst acting on its behalf.
- 7.5 There are no general holding costs associated with this asset, with the exception of occasional repairs, the costs of which are managed within approved Asset Management revenue budgets, as all premises running costs are met by the current occupier. Thus there are no anticipated revenue savings.
- 7.6 There are no procurement implications with regards to this report for the sale of the property.

8. Legal Implications

- 8.1 As above, Wath District Office is on the Council's Register of Assets of Community Value. The Localism Act 2011 and the Assets of Community Value (England) Regulations 2012 set out the procedures for the disposal of Assets of Community Value.

- 8.2 Once any decision to make a relevant disposal of the premises has been made the Register must be updated to show the intention to dispose and to give the interim and full moratorium end dates, and the end date of the protected period. In addition Wath Hall Limited, as the organisation which nominated the premises as an Asset of Community Value must be informed. All these matters must be publicised in the neighbourhood of the premises/asset in question.
- 8.3 During the 6 weeks interim moratorium period a community interest group may request in writing to be treated as a potential bidder for the premises; this will bring the full 6 month moratorium period into force, during which the Council would not be able to dispose of the premises unless it was to a community interest group. It is also possible to sell the premises to a community interest group during the interim moratorium period.
- 8.4 If there is no community interest during the interim moratorium period, or at the expiry of the full moratorium period, the Council would be free to sell to any purchaser and no further moratorium would apply for the remainder of the 18 month protected period.

9. Human Resource Implications

- 9.1 There are no HR implications arising from this report.

10. Implications for Children and Young People and Vulnerable Adults

- 10.1 None.

11. Equalities and Human Rights Implications

- 11.1 None considered.

12. Implications for Partners and Other Directorates

- 12.1 None considered.

13. Risks and Mitigation

- 13.1 The Council's legal and surveying fees will be requested upfront prior to the completion of negotiations to protect the Council's position, in the event that the community group withdraws or cannot obtain funding to complete the disposal.

14. Accountable Officer(s)

Damien Wilson, Strategic Director of Regeneration and Environment
Paul Smith, Head of Asset Management
Rory Hague, Estates Surveyor, Asset Management

Approvals obtained on behalf of:-

	Named Officer	Date
Strategic Director of Finance & Customer Services	Julie Copley	13.07.2018
Assistant Director of Legal Services	Ian Gledhill	13.07.2018
Head of Procurement (if appropriate)	N/A	
Assistant Director of Human Resources and Organisational Development (if appropriate)	N/A	

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

Appendix 1 – Site and Retained Rights Plan

By virtue of paragraph(s) 3 of Part 1 of Schedule 12A
of the Local Government Act 1972.

Document is Restricted

This page is intentionally left blank