

OVERVIEW AND SCRUTINY MANAGEMENT BOARD

- Date and Time :-** Wednesday, 2 October 2019 at 11.00 a.m.
- Venue:-** Town Hall, Moorgate Street, Rotherham.
- Membership:-** Councillors Cowles, Cusworth, R. Elliott, Jarvis, Keenan, Mallinder, Steele (Chair), Taylor, Tweed, Walsh and Wyatt.

This meeting will be webcast live and will be available to view [via the Council's website](#). The items which will be discussed are described on the agenda below and there are reports attached which give more details.

Rotherham Council advocates openness and transparency as part of its democratic processes. Anyone wishing to record (film or audio) the public parts of the meeting should inform the Chair or Governance Advisor of their intentions prior to the meeting.

AGENDA

1. Apologies for Absence

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

2. Minutes of the previous meeting held on 11 September 2019

To consider the minutes of the previous meeting of the Overview and Scrutiny Management Board and approve them as a true and correct record of the proceedings.

3. Declarations of Interest

To receive declarations of interest from Members in respect of items listed on the agenda.

4. Questions from Members of the Public and the Press

To receive questions relating to items of business on the agenda from members of the public or press who are present at the meeting.

5. Exclusion of the Press and Public

To consider whether the press and public should be excluded from the meeting during consideration of any part of the agenda.

For Discussion/Decision:-

6. Update - Overview and Scrutiny Management Board work programme 2019/20 (Pages 1 - 11)

To receive an update on the work programme

7. Statutory Guidance on Overview and Scrutiny in Local Government (Pages 12 - 47)

To consider any learning or improvements that can be made to scrutiny in Rotherham arising from the recommendations of the Statutory Guidance on Overview and Scrutiny in Local and Combined Authorities.

For Information/Monitoring:-

8. Children's Services Financial Monitoring and Review 2019/20 (Pages 48 - 53)

To receive an update on implementation of CYPS' two-year budget recovery plan to reduce the budget pressures from previous years (£15.7m in 2018/19) and deliver budget savings.

9. Council Plan Quarter 1 (April to June 2019) Areas for Improvement (Pages 54 - 128)

To discuss the measures highlighted as areas for improvement, within the exception report and the actions required to improve performance.

10. Annual Compliments and Complaints Report 2018-19 (Pages 129 - 171)

To receive an outline the complaints and compliments that the Council received in 2018/19 in line with statutory requirements and identify key trends within complaints and compliments over a five year period.

11. Youth Cabinet/Young People's Issues

To receive an update on the activities of the Youth Cabinet and other Young People's Issues.

12. Work in Progress - Select Commissions

To receive updates from the Chairs of the Select Commission on work undertaken and planned for the future.

13. Call-in Issues

To consider any issues referred for call-in from recent Cabinet meetings.

14. Urgent Business

To determine any item which the Chair is of the opinion should be considered as a matter of urgency.

15. Date and time of next meeting

The next meeting of the Overview and Scrutiny Management Board will be held on Wednesday 16 October 2019 at 11.00 a.m. at Rotherham Town Hall.

Sharon Kemp.

**SHARON KEMP,
Chief Executive.**

Public Report
Overview and Scrutiny Management Board

Overview and Scrutiny Management Board – 02 October 2019

Title: Update – Overview and Scrutiny Management Board work programme 2019/20

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

No

Strategic Director Approving Submission of the Report

Assistant Chief Executive

Report Author(s)

Caroline Webb, Governance Advisor

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Ward(s) Affected

All

Summary

1.1 The work programme has been developed following a Scrutiny Chairs' work planning session held on June 19, 2019 with Cabinet Members and the Strategic Leadership Team. Since that point, Overview and Scrutiny Management Board (OSMB) has had ongoing discussions to refine its draft work programme. It asked that regular updates be provided to the Board for further discussion and re-prioritisation as necessary.

1.2 OSMB has prioritised its work programme with reference to the '**PAPERS**' framework. This is as follows:

Public Interest: the concerns of local people should influence the issues chosen for scrutiny (including reference to equality duties);

Ability to change: priority should be given to issues that the Committee can realistically influence;

Performance: priority should be given to the areas in which the Council and other agencies are not performing well;

Extent: priority should be given to issues that are relevant to all or large parts of the district;

Replication: work programmes must take account of what else is happening in the areas being considered to avoid duplication or wasted effort;

Statutory responsibility: where an issue is part of a statutory duty to scrutinise or hold to account (or the area under scrutiny is a statutory, high profile responsibility including reference to equality duties)

1.3 Appendix 1 has a summary of work to date, recommendations and progress against agreed tasks. Work undertaken since the recess includes:

- A sub-group has been established to undertake detailed pre-decision scrutiny on the outcomes of the Library Strategy Consultation (September 2019).
- Expressions of interest have been sought to be part of a sub-group to examine progress in relation to the Customer Access Strategy (provisionally October 2019).

- Performance Sub-Group, expressions of interest have been sought to be part of a subgroup to examine the following measures:
 - 3.A2 An increase in the % of positive outcomes over the year for reported Hate Crime cases
 - 3.B2 (a) effective enforcement action taken where evidence is found a) flytipping (fixed penalty notices and prosecutions)
 - 5. D2 Sickness is managed and well-being supported.

1.4 The Board should be mindful of the timeliness of the matters within its work programme and ensure that it leaves sufficient flexibility to undertake any pre-decision scrutiny arising from matters in the Forward Plan of Key Decisions or be able to reprioritise should any items be referred to it from the Cabinet or other sources.

Recommendations:

1. That Members consider the work programme as outlined in Appendix 1;
2. That updates are provided to each 'ordinary' meeting of OSMB on the progress of the work programme and for further prioritisation as required.

List of Appendices Included

Appendix 1: OSMB Work Programme 2019-20

Background Papers

N/A

Consideration by any other Council Committee, Scrutiny or Advisory Panel

No

Council Approval Required

No

Exempt from the Press and Public

No

| Date of meeting | Agenda items | Notes | Action |
|---|---|---|---|
| 5 June 2019 28 May (pre-decision) | <ul style="list-style-type: none"> <li data-bbox="376 272 730 416">– Looked After Children and Care Leavers Sufficiency Strategy 2019-2022 <li data-bbox="376 432 730 504">– Rotherham's Cultural Strategy 2019 - 2026 <li data-bbox="376 647 730 751">– Rotherham Employment and Skills Strategy <li data-bbox="376 1254 730 1366">– Adoption of a Sex Establishments Policy | <p data-bbox="752 272 1621 392">Support recommendations Report to Improving Lives Select Committee (January 2020)</p> <p data-bbox="752 432 1621 632">Support recommendation Report to OSMB in 12 months after implementation Request that the Equality Impact Assessment is amended to reflect protected characteristics Governance 'flow chart' requested</p> <ul style="list-style-type: none"> <li data-bbox="808 647 1621 711">– ensuring the document was designed to be accessible <li data-bbox="808 727 1621 839">– for consideration of steps that could be taken to address barriers to employment or training such as lack of photographic identification or a bank account <li data-bbox="808 855 1621 967">– provision of meaningful work experience opportunities for young people (linked to 2018 Children's Commissioner's Takeover Challenge) <li data-bbox="808 983 1621 1094">– to review the Equality Analysis to make sure it reflected gender inequality in the employment and skills market <li data-bbox="808 1110 1621 1222">– for a detailed action plan to be provided with clear targets, milestones and measures to IPSC in September 2019 <p data-bbox="752 1254 1621 1366">Recommendations supported</p> | <p data-bbox="1632 312 2141 392">Referred to ILSC for inclusion on work programme</p> <p data-bbox="1632 472 2141 592">To schedule June 2020 Complete Complete</p> <p data-bbox="1632 647 2141 679">Update to be provided to IPSC</p> |

| Date of meeting | Agenda items | Notes | Action |
|---|--|--|--|
| | <ul style="list-style-type: none"> - Proposal for a Public Space Protection Order in the Fitzwilliam Road area | An update will be provided to IPSC on implementation after six months. | Referred to IPSC for inclusion on work programme |
| <p>3 July (24 June)</p> <p>(pre-decision)</p> | <ul style="list-style-type: none"> - Revised Foster Carer Fees and Allowances Payment Scheme - Advice Services Review - Phase 2 - Local Plan Core Strategy Five Year Review | Request that sub-group is set up to scrutinise development of Phase 3 | To set up sub-group |
| | <ul style="list-style-type: none"> - Scrutiny Annual Report 2018-19 (Draft) - Council Plan refresh | Submitted to Council | Complete |
| <p>10 July</p> <p>Special meeting</p> | <ul style="list-style-type: none"> - South Yorkshire Fire and Rescue Service Integrated Risk Management Plan | Letter sent to CFO James Courtney outlining the OSMB's response to the consultation. | Complete |
| <p>17 July (9 July)</p> <p>(ordinary)</p> | <ul style="list-style-type: none"> - Safer Rotherham Partnership Annual Report) | <ul style="list-style-type: none"> - Request made for a seminar for Members to update them on the implementation of the changes to the Probation Service. - That an update be provided to the Improving Lives Select Committee on the actions and recommendations to address stalking and harassment. - That a further update is provided to the Board on steps taken to address hate crime. - That the Board be involved in any pre-scrutiny work | |

| Date of meeting | Agenda items | Notes | Action |
|---|---|--|---|
| | <ul style="list-style-type: none"> - Council Plan Quarter 4 (January to March 2019) and 2018-2019 Annual Performance Report - Financial Outturn 2018-19 - May Financial Monitoring Report 2019/20 - Children and Young People's Services - High Needs Block Update and Recovery Plan - Forge Island Update - Cabinet Response to Scrutiny Review Modern Methods of Construction | <p>about the Hate Crime Strategy and its development.</p> <ul style="list-style-type: none"> - That consideration be given to the inclusion in the work programme for the following performance outcomes; hate crimes, flytipping, work related sickness and a further report be provided on the gender pay gap <p>That regular updates continue to be provided to the Board in respect of actions taken within Adult Social Care and CYPS to reduce the deficits.</p> <p>That updates be provided to Improving Lives Select Commission on the implementation of the SEND Sufficiency Strategy.</p> <p>That a 'lessons learned' report be submitted to the Improving Places Select Commission post completion of the current modern methods of construction pilot project</p> | <ul style="list-style-type: none"> - Expression of interest sought to be part of sub-group <p>Directorates Alerted</p> <p>Referred to ILSC for inclusion on work programme</p> <p>Referred to IPSC for inclusion on work programme</p> |
| <p>11 September (2 September) (pre-decision)</p> | <ul style="list-style-type: none"> - Adults Independent Advocacy Services - Commissioning and Procurement Approach | <p>Recommendations supported</p> | |

| Date of meeting | Agenda items | Notes | Action |
|---|--|---|--|
| | <ul style="list-style-type: none"> <li data-bbox="376 193 719 368">– Special Educational Needs and Disability (SEND) Phase 2 – New Education Places <li data-bbox="376 384 719 456">– Community Energy Switching Scheme <li data-bbox="376 552 719 735">– Strategic Management and Maintenance of Rotherham’s Highways <li data-bbox="376 751 719 895">– Children’s Commissioner Takeover Challenge Report | <p data-bbox="763 186 1178 218">Recommendations supported</p> <p data-bbox="763 384 1491 504">Recommendations supported Referral to Improving Places Select Commission for ongoing monitoring</p> <p data-bbox="763 552 1178 584">Recommendations supported</p> <p data-bbox="763 751 1585 1142"> <ul style="list-style-type: none"> <li data-bbox="808 751 1585 863">– Receive the report and note the conclusions and recommendations as outlined in sections 6 and 7 of the review report in Appendix 1. <li data-bbox="808 879 1585 983">– Agree for the report to be forwarded to Cabinet and partners for their consideration and to Council for information. <li data-bbox="808 999 1585 1142">– Request a detailed response to the recommendations to be presented to the Overview and Scrutiny Management Board and Rotherham Youth Cabinet in January 2020. </p> | <p data-bbox="1637 424 2101 544">For inclusion in work programme Oct/Nov 2020 (12 months post-implementation)</p> <p data-bbox="1637 1023 2085 1054">Scheduled for 29 January 2020</p> |
| <p data-bbox="91 1155 264 1278">2 October (23 September)</p> <p data-bbox="91 1326 232 1358">(ordinary)</p> | <ul style="list-style-type: none"> <li data-bbox="376 1155 685 1267">– Exception Council Plan Performance Monitoring <li data-bbox="376 1283 651 1386">– CYPS budget/ performance quarterly update | | |

| Date of meeting | Agenda items | Notes | Action |
|--|---|---|--------|
| | <ul style="list-style-type: none"> - Complaints – Annual Report - Briefing: Statutory Guidance on Overview and Scrutiny in Local and Combined Authorities | | |
| 9 October Workshop | <ul style="list-style-type: none"> - Adult Social Care - ASC Financial and Performance Update (six monthly) - TOM | <ul style="list-style-type: none"> - Exception reports in relation to Council Plan Performance Measures - Priority 2 | |
| 16 October (7 October) (pre-decision) | | | |
| 13 November (4 November) (pre-decision) | | | |
| 27 November (18 November) (ordinary) | <ul style="list-style-type: none"> - Scrutiny Review – Agency/Consultancy Update - September 2019/20 Financial Monitoring Report - Update - Budget Options 2019/20 and | Requested by OSMB (27 March 2019) | |

| Date of meeting | Agenda items | Notes | Action |
|--|--|--|--------|
| | 2020/21 (TBC) | | |
| 11 December (2 December) (pre-decision) | <ul style="list-style-type: none"> – Initial report on budget depending on settlement – Council Housing Rents (TBC) – Employee Opinion Survey | | |
| 15 January 2019 (6 January) (pre-decision) | | | |
| 29 January 2019 (20 January) (ordinary) | <ul style="list-style-type: none"> – CYPS Budget /performance monitoring (quarterly update) – Exception Council Plan Measures Performance Monitoring – Exception financial monitoring | <ul style="list-style-type: none"> – High Needs Block – Exception report on significant projected or actual overspends/ underspends in R&E, ACX, F&CS directorates | |

| Date of meeting | Agenda items | Notes | Action |
|---|---|--|--------|
| | <ul style="list-style-type: none"> - Cabinet Response CCTOC | <ul style="list-style-type: none"> - Requested 11 September 2019. | - |
| 12 February (3 February) (pre-decision) | <ul style="list-style-type: none"> - The Budget and Council Tax 2019/20 report - PSPO Town Centre | <ul style="list-style-type: none"> - (resolution from OSMB 30 January 2018) | |
| 4 March (ordinary) | <ul style="list-style-type: none"> - Adult Budget /performance monitoring (update) | | |
| 18 March (10 March) (pre-decision) | | | |

Sub-Groups Requested by OSMB

| Issue | Referral | Notes | Progress |
|--------------------------------------|---|---|----------|
| Customer Access Strategy | Work programme prioritisation following 19/20 Budget discussion | Expressions of interest sought To commence October 2019 | |
| Library Strategy Consultation | OSMB request | Meeting set up 18 September | |
| Advice Review (Phase 3) | OSMB request | To discuss timescales and schedule | |
| Performance Sub-group | OSMB request (17.07.19) | <p>Expressions of interest sought for focus sub-group to examine following Council Plan Measures (to take place in October 2019)</p> <p>3.A2 An increase in the % of positive outcomes over the year for reported Hate Crime cases</p> <p>3.B2 (a) effective enforcement action taken where evidence is found a) flytipping (fixed penalty notices and prosecutions)</p> <p>5. D2 Sickness is managed and well-being supported</p> <p>Dates TBC</p> | |

Issues/ Reports To Schedule

| | | |
|--|--|--|
| | <ul style="list-style-type: none">- Hate Crime Strategy TBC- Equalities Annual Report (TBC)- Welfare reform- Controlling migration report- Selective Licencing (impact and evaluation) <p>NOTE – Updates on Forge Island to taken on exception basis</p> | |
|--|--|--|

Public Report
Overview and Scrutiny Management Board

Overview and Scrutiny Management Board – 02 October 2019

Title: Statutory guidance on overview and scrutiny in local government

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

No

Strategic Director Approving Submission of the Report

Assistant Chief Executive

Report Author(s)

Caroline Webb, Governance Advisor

(01709) 822765 caroline.webb@rotherham.gov.uk

Ward(s) Affected

All

Summary

- 1.1 The Ministry of Housing, Communities & Local Government (MHCLG) published on 7 May 2019 new statutory guidance on overview and scrutiny in local government (attached as Appendix 1). The new statutory guidance for local (and combined) authorities in England stresses the role of scrutiny committees in holding decision makers to account and its importance in supporting the successful functioning of local democracy.
- 1.2 This paper summarises the key points outlined in the guidance and provides an opportunity for members of Overview and Scrutiny Management Board (OSMB) to comment and determine any learning or improvements that can be made to overview and scrutiny in Rotherham.

2 Background

- 2.1 The updated statutory guidance for local authorities suggests a number of procedures and practice that authorities should adopt or should consider adopting when deciding how to carry out their overview and scrutiny function. Its stated aim is *“to ensure local authorities are aware of the purpose of overview and scrutiny, what effective scrutiny looks like, how to conduct it effectively and the benefits it can bring.”*
- 2.2 The guidance highlights that legislation provides a great degree of flexibility to local authorities to determine which overview and scrutiny arrangements best suit their own individual needs. Local and combined authorities however **must have regard to** the guidance when exercising their scrutiny functions. The guidance has been issued under section 9Q of the Local Government Act 2000 and under paragraph 2(9) of Schedule 5A to the Local Democracy, Economic Development and Construction Act 2009. ‘Must have regard to’ within the context of the statutory guidance does not mean that the statutory guidance must be followed in every detail but that it should be followed unless there is a good reason not to do so in particular circumstances.

- 2.3 The guidance reiterates the statutory powers of overview and scrutiny committees (OSCs) to scrutinise the decisions the executive is planning to take, those it plans to implement, and those already taken and/or implemented and make recommendations to enable improvements to be made to policies and how they are implemented. OSCs can also play a valuable role in developing policy.
- 2.4 The Chair and Vice-Chair of OSMB attended a symposium facilitated by the Centre for Public Scrutiny (CfPS) on 20 June 2019 on the subject of the statutory guidance. On the basis of the discussions, they were assured that the approach and processes adopted by overview and scrutiny in RMBC were compliant with the guidelines and in some instances, demonstrated good practice. However, in order to identify if there are any further areas for improvement to overview and scrutiny procedures and practices in Rotherham, OSMB may wish to undertake a detailed baseline assessment against the guidance criteria set out in paragraph 3.

3 Guidance

- 3.1 The guidance contains sections setting out advice and good practice in the following areas which is summarised below:

- Culture
- Resourcing
- Selecting Committee Members
- Power to access information
- Planning work
- Evidence sessions

3.2 Culture

The guidance acknowledges that the prevailing organisational culture, behaviours and attitudes within a local authority will determine whether overview and scrutiny is successful. The importance of overview and scrutiny being owned and led by Members is emphasised. It is also highlighted within the guidance that the performance of overview and scrutiny and its effectiveness or failings can be considered by external bodies such as regulators and inspectors and published in public reports.

The guidance lists a range of suggested mechanisms to help ensure that the organisational culture is supportive of the role of scrutiny, including:

- a) recognising the legal and democratic legitimacy of overview and scrutiny - the need for all members and officers to recognise the importance and legitimacy of overview and scrutiny, which has specific powers set out in law, is highlighted within the guidance;
- b) identifying a clear role and focus - it is recommended that there is a need for overview and scrutiny to have a clearly defined role within the organisation that is focussed on adding value. It is emphasised that there needs to be a clear division of responsibilities between overview and scrutiny and audit functions;
- c) ensuring early and regular engagement between the Cabinet and overview and scrutiny - it is recommended that there should be early and regular discussions between overview and scrutiny and the Cabinet, particularly in regard to the Cabinet's future work programme;
- d) managing disagreement - the guidance recommends that a protocol is developed to manage any instances when the Cabinet disagrees with recommendations of overview and scrutiny;

- e) providing the necessary support - the guidance recognises that determining the level of support available for overview and scrutiny is a matter for individual authorities, but it does highlight that appropriate support should be given to allow members to access information required to fulfil their duties;
- f) ensuring impartial advice from officers - the guidance reconfirms the need for officers to be able to give impartial advice to overview and scrutiny highlighting, in particular, the importance of the 'statutory officer' roles (Head of Paid Service, Chief Financial Officer, Monitoring Officer and Statutory Scrutiny Officer);
- g) communicating the role and purpose of overview and scrutiny - the guidance highlights that a lack of awareness of the role of overview and scrutiny can act as an impediment to its success. The importance of overview and scrutiny and the role it plays in decision-making should be communicated, to ensure that officers are aware of the role of overview and scrutiny and the importance of providing support to the overview and scrutiny function;
- h) maintaining the interest of the Council in the work of overview and scrutiny - the guidance highlights the importance that other non-scrutiny members are kept informed of the work of overview and scrutiny. The suggested mechanism for this is through the submission reports and recommendations to full Council;
- i) communicating the role of overview and scrutiny to the public - the guidance suggests engaging with the Communications Team to publicise and raise awareness of the work of overview and scrutiny in the local community; and
- j) ensuring that overview and scrutiny members are supported in having an independent mindset.

3.3 Resourcing.

The guidance does not prescribe a specific level of officer support to be allocated to overview and scrutiny, but it does highlight that an appropriate level of support is necessary to ensure that it functions effectively. The guidance also highlights that any support should also include the way the wider body of officers engages with overview and scrutiny.

3.4 Selecting Committee Members

The guidance emphasises the need to consider experience, expertise, interests, ability to act impartially, ability to work as part of a group and capacity to serve when selecting members to serve on overview and scrutiny committees. The guidance recognises the importance that the role of the chair plays in the success of overview and scrutiny, with this role being responsible for establishing its profile, influence and ways of working. It is recommended that ongoing training is provided for Scrutiny Members to allow them to fulfil their roles successfully.

The guidance also recognises the value that can be added by outside expertise through either co-option of members onto a committee or the use of technical advisors for specific subject.

3.5 Power to Access Information

The guidance emphasises the legal powers for overview and scrutiny to access information in order to be able to carry out its work. This includes regular access to key sources of information such as data on finance, performance and risk. The guidance also sets out a number of considerations for overview and scrutiny when requesting information from external organisations including the need to explain the purpose of scrutiny, highlighting the benefits of an informal approach, how to encourage compliance with the request and who best to approach.

3.6 Planning work

The guidance stresses the importance of work programming to the success of overview and scrutiny, with a focus needed on items that can make a tangible difference. It is recommended that overview and scrutiny should have in the main a long-term plan, but with enough flexibility to ensure that urgent, short term issues can be considered as needed.

It is recognised that there needs to be coordination across the work programmes of individual overview and scrutiny committees, with necessary prioritisation to ensure that the intended outcome for a specific item remains focussed.

The guidance recommends using a variety of sources to inform the work programme, including the public, partners and the Cabinet. In addition, it outlines information sources scrutiny can access, including performance information, finance and risk, complaints, reports and recommendations from inspections and ombudsmen.

The guidance also recommends the use of shortlisting processes to decide which topics to include in the work programme, to ensure that the items selected for overview and scrutiny activity can add value. The guidance sets out a number of different ways in which topics can be scrutinised, including having a single item on an agenda, dedicating a whole meeting to one item, a short task and finish group, a longer-term task and finish group or a standing panel.

3.7 Evidence Sessions

The guidance highlights that evidence sessions are a key way for overview and scrutiny committees to inform their work. It is recommended that consideration is given to setting overall objectives for each session and the types of questions that need to be asked to achieve such objectives. In drafting recommendations from evidence sessions, the guidance advocates the need for these to be evidence based and SMART (specific, measurable, achievable, relevant and timed). The guidance also suggests that a maximum of six to eight recommendations per topic should be sufficient to ensure that a focussed response is received.

4 Recommendations:

1. That the report be noted;
2. That consideration be given to any learning or improvements that can be made to scrutiny in Rotherham arising from the recommendations of the Statutory Guidance on Overview and Scrutiny in Local and Combined Authorities.

List of Appendices Included

Appendix 1: Ministry of Housing, Communities and Local Government (2019), Statutory Guidance on Overview and Scrutiny in Local and Combined Authorities.

Background Papers

N/A

Consideration by any other Council Committee, Scrutiny or Advisory Panel

No

Council Approval Required

No

Exempt from the Press and Public

No



Ministry of Housing,
Communities &
Local Government

Statutory Guidance on Overview and Scrutiny in Local and Combined Authorities



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Ministerial Foreword

The role that overview and scrutiny can play in holding an authority's decision-makers to account makes it fundamentally important to the successful functioning of local democracy. Effective scrutiny helps secure the efficient delivery of public services and drives improvements within the authority itself. Conversely, poor scrutiny can be indicative of wider governance, leadership and service failure.

It is vital that councils and combined authorities know the purpose of scrutiny, what effective scrutiny looks like, how to conduct it and the benefits it can bring. This guidance aims to increase understanding in all four areas.

In writing this guidance, my department has taken close note of the House of Commons Select Committee report of December 2017, as well as the written and oral evidence supplied to that Committee. We have also consulted individuals and organisations with practical involvement in conducting, researching and supporting scrutiny.

It is clear from speaking to these practitioners that local and combined authorities with effective overview and scrutiny arrangements in place share certain key traits, the most important being a strong organisational culture. Authorities who welcome challenge and recognise the value scrutiny can bring reap the benefits. But this depends on strong commitment from the top - from senior members as well as senior officials.

Crucially, this guidance recognises that authorities have democratic mandates and are ultimately accountable to their electorates, and that authorities themselves are best-placed to know which scrutiny arrangements are most appropriate for their own individual circumstances.

I would, however, strongly urge all councils to cast a critical eye over their existing arrangements and, above all, ensure they embed a culture that allows overview and scrutiny to flourish.

A handwritten signature in blue ink, appearing to read 'Rishi Sunak'.

Rishi Sunak MP
Minister for Local Government

About this Guidance

Who the guidance is for

This document is aimed at local authorities and combined authorities in England to help them carry out their overview and scrutiny functions effectively. In particular, it provides advice for senior leaders, members of overview and scrutiny committees, and support officers.

Aim of the guidance

This guidance seeks to ensure local authorities and combined authorities are aware of the purpose of overview and scrutiny, what effective scrutiny looks like, how to conduct it effectively and the benefits it can bring.

As such, it includes a number of policies and practices authorities should adopt or should consider adopting when deciding how to carry out their overview and scrutiny functions.

The guidance recognises that authorities approach scrutiny in different ways and have different processes and procedures in place, and that what might work well for one authority might not work well in another.

The hypothetical scenarios contained in the annexes to this guidance have been included for illustrative purposes, and are intended to provoke thought and discussion rather than serve as a 'best' way to approach the relevant issues.

While the guidance sets out some of the key legal requirements, it does not seek to replicate legislation.

Status of the guidance

This is statutory guidance from the Ministry of Housing, Communities and Local Government. Local authorities and combined authorities must have regard to it when exercising their functions. The phrase 'must have regard', when used in this context, does not mean that the sections of statutory guidance have to be followed in every detail, but that they should be followed unless there is a good reason not to in a particular case.

Not every authority is required to appoint a scrutiny committee. This guidance applies to those authorities who have such a committee in place, whether they are required to or not.

This guidance has been issued under section 9Q of the Local Government Act 2000 and under paragraph 2(9) of Schedule 5A to the Local Democracy, Economic Development and Construction Act 2009, which requires authorities to have regard to this guidance. In addition, authorities may have regard to other material they might choose to consider, including that issued by the Centre for Public Scrutiny, when exercising their overview and scrutiny functions.

Terminology

Unless 'overview' is specifically mentioned, the term 'scrutiny' refers to both overview and scrutiny.¹

Where the term 'authority' is used, it refers to both local authorities and combined authorities.

Where the term 'scrutiny committee' is used, it refers to an overview and scrutiny committee and any of its sub-committees. As the legislation refers throughout to powers conferred on scrutiny committees, that is the wording used in this guidance. However, the guidance should be seen as applying equally to work undertaken in informal task and finish groups, commissioned by formal committees.

Where the term 'executive' is used, it refers to executive members.

For combined authorities, references to the 'executive' or 'cabinet' should be interpreted as relating to the mayor (where applicable) and all the authority members.

For authorities operating committee rather than executive arrangements, references to the executive or Cabinet should be interpreted as relating to councillors in leadership positions.

Expiry or review date

This guidance will be kept under review and updated as necessary.

¹ A distinction is often drawn between 'overview' which focuses on the development of policy, and 'scrutiny' which looks at decisions that have been made or are about to be made to ensure they are fit for purpose.

1. Introduction and Context

1. Overview and scrutiny committees were introduced in 2000 as part of new executive governance arrangements to ensure that members of an authority who were not part of the executive could hold the executive to account for the decisions and actions that affect their communities.
2. Overview and scrutiny committees have statutory powers² to scrutinise decisions the executive is planning to take, those it plans to implement, and those that have already been taken/implemented. Recommendations following scrutiny enable improvements to be made to policies and how they are implemented. Overview and scrutiny committees can also play a valuable role in developing policy.

Effective overview and scrutiny should:

- Provide constructive 'critical friend' challenge;
- Amplify the voices and concerns of the public;
- Be led by independent people who take responsibility for their role; and
- Drive improvement in public services.

3. The requirement for local authorities in England to establish overview and scrutiny committees is set out in sections 9F to 9FI of the Local Government Act 2000 as amended by the Localism Act 2011.
4. The Localism Act 2011 amended the Local Government Act 2000 to allow councils to revert to a non-executive form of governance - the 'committee system'. Councils who adopt the committee system are not required to have overview and scrutiny but may do so if they wish. The legislation has been strengthened and updated since 2000, most recently to reflect new governance arrangements with combined authorities. Requirements for combined authorities are set out in Schedule 5A to the Local Democracy, Economic Development and Construction Act 2009.
5. Current overview and scrutiny legislation recognises that authorities are democratically-elected bodies who are best-placed to determine which overview and scrutiny arrangements best suit their own individual needs, and so gives them a great degree of flexibility to decide which arrangements to adopt.
6. In producing this guidance, the Government fully recognises both authorities' democratic mandate and that the nature of local government has changed in recent years, with, for example, the creation of combined authorities, and councils increasingly delivering key services in partnership with other organisations or outsourcing them entirely.

² Section 9F of the Local Government Act 2000; paragraph 1 of Schedule 5A to the Local Democracy, Economic Development and Construction Act 2009.

2. Culture

7. The prevailing organisational culture, behaviours and attitudes of an authority will largely determine whether its scrutiny function succeeds or fails.
8. While everyone in an authority can play a role in creating an environment conducive to effective scrutiny, it is important that this is led and owned by members, given their role in setting and maintaining the culture of an authority.
9. Creating a strong organisational culture supports scrutiny work that can add real value by, for example, improving policy-making and the efficient delivery of public services. In contrast, low levels of support for and engagement with the scrutiny function often lead to poor quality and ill-focused work that serves to reinforce the perception that it is of little worth or relevance.
10. Members and senior officers should note that the performance of the scrutiny function is not just of interest to the authority itself. Its effectiveness, or lack thereof, is often considered by external bodies such as regulators and inspectors, and highlighted in public reports, including best value inspection reports. Failures in scrutiny can therefore help to create a negative public image of the work of an authority as a whole.

How to establish a strong organisational culture

11. Authorities can establish a strong organisational culture by:

- a) **Recognising scrutiny's legal and democratic legitimacy** – all members and officers should recognise and appreciate the importance and legitimacy the scrutiny function is afforded by the law. It was created to act as a check and balance on the executive and is a statutory requirement for all authorities operating executive arrangements and for combined authorities.

Councillors have a unique legitimacy derived from their being democratically elected. The insights that they can bring by having this close connection to local people are part of what gives scrutiny its value.

- b) **Identifying a clear role and focus** – authorities should take steps to ensure scrutiny has a clear role and focus within the organisation, i.e. a niche within which it can clearly demonstrate it adds value. Therefore, prioritisation is necessary to ensure the scrutiny function concentrates on delivering work that is of genuine value and relevance to the work of the wider authority – this is one of the most challenging parts of scrutiny, and a critical element to get right if it is to be recognised as a strategic function of the authority (see chapter 6).

Authorities should ensure a clear division of responsibilities between the scrutiny function and the audit function. While it is appropriate for scrutiny to pay due regard to the authority's financial position, this will need to happen in the context of the formal audit role. The authority's section 151 officer should advise scrutiny on how to manage this dynamic.

While scrutiny has no role in the investigation or oversight of the authority's whistleblowing arrangements, the findings of independent whistleblowing investigations might be of interest to scrutiny committees as they consider their wider implications. Members should always follow the authority's constitution and associated Monitoring Officer directions on the matter. Further guidance on whistleblowing can be found at:

https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/415175/bis-15-200-whistleblowing-guidance-for-employers-and-code-of-practice.pdf.

- c) **Ensuring early and regular engagement between the executive and scrutiny** – authorities should ensure early and regular discussion takes place between scrutiny and the executive, especially regarding the latter's future work programme. Authorities should, though, be mindful of their distinct roles:

In particular:

- The executive should not try to exercise control over the work of the scrutiny committee. This could be direct, e.g. by purporting to 'order' scrutiny to look at, or not look at, certain issues, or indirect, e.g. through the use of the whip or as a tool of political patronage, and the committee itself should remember its statutory purpose when carrying out its work. All members and officers should consider the role the scrutiny committee plays to be that of a 'critical friend' not a de facto 'opposition'. Scrutiny chairs have a particular role to play in establishing the profile and nature of their committee (see chapter 4); and
- The chair of the scrutiny committee should determine the nature and extent of an executive member's participation in a scrutiny committee meeting, and in any informal scrutiny task group meeting.

- d) **Managing disagreement** – effective scrutiny involves looking at issues that can be politically contentious. It is therefore inevitable that, at times, an executive will disagree with the findings or recommendations of a scrutiny committee.

It is the job of both the executive and scrutiny to work together to reduce the risk of this happening, and authorities should take steps to predict, identify and act on disagreement.

One way in which this can be done is via an 'executive-scrutiny protocol' (see annex 1) which can help define the relationship between the two and mitigate any differences of opinion before they manifest themselves in unhelpful and unproductive ways. The benefit of this approach is that it provides a framework for disagreement and debate, and a way to manage it when it happens. Often,

the value of such a protocol lies in the dialogue that underpins its preparation. It is important that these protocols are reviewed on a regular basis.

Scrutiny committees do have the power to 'call in' decisions, i.e. ask the executive to reconsider them before they are implemented, but should not view it as a substitute for early involvement in the decision-making process or as a party-political tool.

- e) **Providing the necessary support** – while the level of resource allocated to scrutiny is for each authority to decide for itself, when determining resources an authority should consider the purpose of scrutiny as set out in legislation and the specific role and remit of the authority's own scrutiny committee(s), and the scrutiny function as a whole.

Support should also be given by members and senior officers to scrutiny committees and their support staff to access information held by the authority and facilitate discussions with representatives of external bodies (see chapter 5).

- f) **Ensuring impartial advice from officers** – authorities, particularly senior officers, should ensure all officers are free to provide impartial advice to scrutiny committees. This is fundamental to effective scrutiny. Of particular importance is the role played by 'statutory officers' – the monitoring officer, the section 151 officer and the head of paid service, and where relevant the statutory scrutiny officer. These individuals have a particular role in ensuring that timely, relevant and high-quality advice is provided to scrutiny.
- g) **Communicating scrutiny's role and purpose to the wider authority** – the scrutiny function can often lack support and recognition within an authority because there is a lack of awareness among both members and officers about the specific role it plays, which individuals are involved and its relevance to the authority's wider work. Authorities should, therefore, take steps to ensure all members and officers are made aware of the role the scrutiny committee plays in the organisation, its value and the outcomes it can deliver, the powers it has, its membership and, if appropriate, the identity of those providing officer support.
- h) **Maintaining the interest of full Council in the work of the scrutiny committee** – part of communicating scrutiny's role and purpose to the wider authority should happen through the formal, public role of full Council – particularly given that scrutiny will undertake valuable work to highlight challenging issues that an authority will be facing and subjects that will be a focus of full Council's work. Authorities should therefore take steps to ensure full Council is informed of the work the scrutiny committee is doing.

One way in which this can be done is by reports and recommendations being submitted to full Council rather than solely to the executive. Scrutiny should decide when it would be appropriate to submit reports for wider debate in this way, taking into account the relevance of reports to full Council business, as well as full Council's capacity to consider and respond in a timely manner. Such

reports would supplement the annual report to full Council on scrutiny's activities and raise awareness of ongoing work.

In order to maintain awareness of scrutiny at the Combined Authority and provoke dialogue and discussion of its impact, the business of scrutiny should be reported to the Combined Authority board or to the chairs of the relevant scrutiny committees of constituent and non-constituent authorities, or both. At those chairs' discretion, particular Combined Authority scrutiny outcomes, and what they might mean for each individual area, could be either discussed by scrutiny in committee or referred to full Council of the constituent authorities.

- i) **Communicating scrutiny's role to the public** – authorities should ensure scrutiny has a profile in the wider community. Consideration should be given to how and when to engage the authority's communications officers, and any other relevant channels, to understand how to get that message across. This will usually require engagement early on in the work programming process (see chapter 6).
- j) **Ensuring scrutiny members are supported in having an independent mindset** – formal committee meetings provide a vital opportunity for scrutiny members to question the executive and officers.

Inevitably, some committee members will come from the same political party as a member they are scrutinising and might well have a long-standing personal, or familial, relationship with them (see paragraph 25).

Scrutiny members should bear in mind, however, that adopting an independent mind-set is fundamental to carrying out their work effectively. In practice, this is likely to require scrutiny chairs working proactively to identify any potentially contentious issues and plan how to manage them.

Directly-elected mayoral systems

12. A strong organisational culture that supports scrutiny work is particularly important in authorities with a directly-elected mayor to ensure there are the checks and balances to maintain a robust democratic system. Mayoral systems offer the opportunity for greater public accountability and stronger governance, but there have also been incidents that highlight the importance of creating and maintaining a culture that puts scrutiny at the heart of its operations.
13. Authorities with a directly-elected mayor should ensure that scrutiny committees are well-resourced, are able to recruit high-calibre members and that their scrutiny functions pay particular attention to issues surrounding:
 - rights of access to documents by the press, public and councillors;
 - transparent and fully recorded decision-making processes, especially avoiding decisions by 'unofficial' committees or working groups;
 - delegated decisions by the Mayor;
 - whistleblowing protections for both staff and councillors; and
 - powers of Full Council, where applicable, to question and review.

14. Authorities with a directly-elected mayor should note that mayors are required by law to attend overview and scrutiny committee sessions when asked to do so (see paragraph 44).

3. Resourcing

15. The resource an authority allocates to the scrutiny function plays a pivotal role in determining how successful that function is and therefore the value it can add to the work of the authority.
16. Ultimately it is up to each authority to decide on the resource it provides, but every authority should recognise that creating and sustaining an effective scrutiny function requires them to allocate resources to it.
17. Authorities should also recognise that support for scrutiny committees, task groups and other activities is not solely about budgets and provision of officer time, although these are clearly extremely important elements. Effective support is also about the ways in which the wider authority engages with those who carry out the scrutiny function (both members and officers).

When deciding on the level of resource to allocate to the scrutiny function, the factors an authority should consider include:

- Scrutiny's legal powers and responsibilities;
- The particular role and remit scrutiny will play in the authority;
- The training requirements of scrutiny members and support officers, particularly the support needed to ask effective questions of the executive and other key partners, and make effective recommendations;
- The need for ad hoc external support where expertise does not exist in the council;
- Effectively-resourced scrutiny has been shown to add value to the work of authorities, improving their ability to meet the needs of local people; and
- Effectively-resourced scrutiny can help policy formulation and so minimise the need for call-in of executive decisions.

Statutory scrutiny officers

18. Combined authorities, upper and single tier authorities are required to designate a statutory scrutiny officer,³ someone whose role is to:
- promote the role of the authority's scrutiny committee;
 - provide support to the scrutiny committee and its members; and
 - provide support and guidance to members and officers relating to the functions of the scrutiny committee.

³ Section 9FB of the Local Government Act 2000; article 9 of the Combined Authorities (Overview and Scrutiny Committees, Access to Information and Audit Committees) Order 2017

19. Authorities not required by law to appoint such an officer should consider whether doing so would be appropriate for their specific local needs.

Officer resource models

20. Authorities are free to decide for themselves which wider officer support model best suits their individual circumstances, though generally they adopt one or a mix of the following:

- Committee – officers are drawn from specific policy or service areas;
- Integrated – officers are drawn from the corporate centre and also service the executive; and
- Specialist – officers are dedicated to scrutiny.

21. Each model has its merits – the committee model provides service-specific expertise; the integrated model facilitates closer and earlier scrutiny involvement in policy formation and alignment of corporate work programmes; and the specialist model is structurally independent from those areas it scrutinises.

22. Authorities should ensure that, whatever model they employ, officers tasked with providing scrutiny support are able to provide impartial advice. This might require consideration of the need to build safeguards into the way that support is provided. The nature of these safeguards will differ according to the specific role scrutiny plays in the organisation.

4. Selecting Committee Members

23. Selecting the right members to serve on scrutiny committees is essential if those committees are to function effectively. Where a committee is made up of members who have the necessary skills and commitment, it is far more likely to be taken seriously by the wider authority.
24. While there are proportionality requirements that must be met,⁴ the selection of the chair and other committee members is for each authority to decide for itself. Guidance for combined authorities on this issue has been produced by the Centre for Public Scrutiny⁵.

Members invariably have different skill-sets. What an authority must consider when forming a committee is that, as a group, it possesses the requisite expertise, commitment and ability to act impartially to fulfil its functions.

25. Authorities are reminded that members of the executive cannot be members of a scrutiny committee.⁶ Authorities should take care to ensure that, as a minimum, members holding less formal executive positions, e.g. as Cabinet assistants, do not sit on scrutinising committees looking at portfolios to which those roles relate. Authorities should articulate in their constitutions how conflicts of interest, including familial links (see also paragraph 31), between executive and scrutiny responsibilities should be managed, including where members stand down from the executive and move to a scrutiny role, and vice-versa.
26. Members or substitute members of a combined authority must not be members of its overview and scrutiny committee.⁷ This includes the Mayor in Mayoral Combined Authorities. It is advised that Deputy Mayors for Policing and Crime are also not members of the combined authority's overview and scrutiny committee.

Selecting individual committee members

27. When selecting individual members to serve on scrutiny committees, an authority should consider a member's experience, expertise, interests, ability to act impartially, ability to work as part of a group, and capacity to serve.

⁴ See, for example, regulation 11 of the Local Authorities (Committee System) (England) Regulations 2012 (S.I. 2012/1020) and article 4 of the Combined Authorities (Overview and Scrutiny Committees, Access to Information and Audit Committees) Order 2017 (S.I. 2017/68).

⁵ See pages 15-18 of 'Overview and scrutiny in combined authorities: a plain English guide': <https://www.cfps.org.uk/wp-content/uploads/Overview-and-scrutiny-in-combined-authorities-a-plain-english-guide.pdf>

⁶ Section 9FA(3) of the Local Government Act 2000.

⁷ 2(3) of Schedule 5A to the Local Democracy, Economic Development and Construction Act 2009

28. Authorities should not take into account a member's perceived level of support for or opposition to a particular political party (notwithstanding the wider legal requirement for proportionality referred to in paragraph 24).

Selecting a chair

29. The Chair plays a leadership role on a scrutiny committee as they are largely responsible for establishing its profile, influence and ways of working.

30. The attributes authorities should and should not take into account when selecting individual committee members (see paragraphs 27 and 28) also apply to the selection of the Chair, but the Chair should also possess the ability to lead and build a sense of teamwork and consensus among committee members.

Chairs should pay special attention to the need to guard the committee's independence. Importantly, however, they should take care to avoid the committee being, and being viewed as, a de facto opposition to the executive.

31. Given their pre-eminent role on the scrutiny committee, it is strongly recommended that the Chair not preside over scrutiny of their relatives⁸. Combined authorities should note the legal requirements that apply to them where the Chair is an independent person⁹.

32. The method for selecting a Chair is for each authority to decide for itself, however every authority should consider taking a vote by secret ballot. Combined Authorities should be aware of the legal requirements regarding the party affiliation of their scrutiny committee Chair¹⁰.

Training for committee members

33. Authorities should ensure committee members are offered induction when they take up their role and ongoing training so they can carry out their responsibilities effectively. Authorities should pay attention to the need to ensure committee members are aware of their legal powers, and how to prepare for and ask relevant questions at scrutiny sessions.

34. When deciding on training requirements for committee members, authorities should consider taking advantage of opportunities offered by external providers in the sector.

Co-option and technical advice

35. While members and their support officers will often have significant local insight and an understanding of local people and their needs, the provision of outside expertise can be invaluable.

⁸ A definition of 'relative' can be found at section 28(10) of the Localism Act 2011.

⁹ See article 5(2) of the Combined Authorities (Overview and Scrutiny Committees, Access to Information and Audit Committees) Order 2017 (S.I. 2017/68).

¹⁰ Article 5(6) of the Combined Authorities (Overview and Scrutiny Committees, Access to Information and Audit Committees) Order 2017.

36. There are two principal ways to procure this:

- Co-option – formal co-option is provided for in legislation¹¹. Authorities must establish a co-option scheme to determine how individuals will be co-opted onto committees; and
- Technical advisers – depending on the subject matter, independent local experts might exist who can provide advice and assistance in evaluating evidence (see annex 2).

¹¹ Section 9FA(4) Local Government Act 2000

5. Power to Access Information

37. A scrutiny committee needs access to relevant information the authority holds, and to receive it in good time, if it is to do its job effectively.
38. This need is recognised in law, with members of scrutiny committees enjoying powers to access information¹². In particular, regulations give enhanced powers to a scrutiny member to access exempt or confidential information. This is in addition to existing rights for councillors to have access to information to perform their duties, including common law rights to request information and rights to request information under the Freedom of Information Act 2000 and the Environmental Information Regulations 2004.
39. When considering what information scrutiny needs in order to carry out its work, scrutiny members and the executive should consider scrutiny's role and the legal rights that committees and their individual members have, as well as their need to receive timely and accurate information to carry out their duties effectively.
40. Scrutiny members should have access to a regularly available source of key information about the management of the authority – particularly on performance, management and risk. Where this information exists, and scrutiny members are given support to understand it, the potential for what officers might consider unfocused and unproductive requests is reduced as members will be able to frame their requests from a more informed position.
41. Officers should speak to scrutiny members to ensure they understand the reasons why information is needed, thereby making the authority better able to provide information that is relevant and timely, as well as ensuring that the authority complies with legal requirements.

While each request for information should be judged on its individual merits, authorities should adopt a default position of sharing the information they hold, on request, with scrutiny committee members.

42. The law recognises that there might be instances where it is legitimate for an authority to withhold information and places a requirement on the executive to provide the scrutiny committee with a written statement setting out its reasons for that decision¹³. However, members of the executive and senior officers should take particular care to avoid refusing requests, or limiting the information they provide, for reasons of party political or reputational expediency.

¹² Regulation 17 - Local Authorities (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012; article 10 Combined Authorities (Overview and Scrutiny Committees, Access to Information and Audit Committees) Order 2017.

¹³ Regulation 17(4) – Local Government (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012; article 10(4) Combined Authorities (Overview and Scrutiny Committees, Access to Information and Audit Committees) Order 2017.

Before an authority takes a decision not to share information it holds, it should give serious consideration to whether that information could be shared in closed session.

43. Regulations already stipulate a timeframe for executives to comply with requests from a scrutiny member¹⁴. When agreeing to such requests, authorities should:

- consider whether seeking clarification from the information requester could help better target the request; and
- Ensure the information is supplied in a format appropriate to the recipient's needs.

44. Committees should be aware of their legal power to require members of the executive and officers to attend before them to answer questions¹⁵. It is the duty of members and officers to comply with such requests.¹⁶

Seeking information from external organisations

45. Scrutiny members should also consider the need to supplement any authority-held information they receive with information and intelligence that might be available from other sources, and should note in particular their statutory powers to access information from certain external organisations.

46. When asking an external organisation to provide documentation or appear before it, and where that organisation is not legally obliged to do either (see annex 3), scrutiny committees should consider the following:

- a) **The need to explain the purpose of scrutiny** – the organisation being approached might have little or no awareness of the committee's work, or of an authority's scrutiny function more generally, and so might be reluctant to comply with any request;
- b) **The benefits of an informal approach** – individuals from external organisations can have fixed perceptions of what an evidence session entails and may be unwilling to subject themselves to detailed public scrutiny if they believe it could reflect badly on them or their employer. Making an informal approach can help reassure an organisation of the aims of the committee, the type of information being sought and the manner in which the evidence session would be conducted;

¹⁴ Regulation 17(2) – Local Government (Executive Arrangements) (Meetings and Access to Information) (England) Regulations 2012; article 10(2) Combined Authorities (Overview and Scrutiny Committees, Access to Information and Audit Committees) Order 2017.

¹⁵ Section 9FA(8) of the Local Government Act 2000; paragraph 2(6) of Schedule 5A to the Local Democracy, Economic Development and Construction Act 2009.

¹⁶ Section 9FA(9) of the Local Government Act 2000; paragraph 2(7) of Schedule 5A to the Local Democracy, Economic Development and Construction Act 2009.

- c) **How to encourage compliance with the request** – scrutiny committees will want to frame their approach on a case by case basis. For contentious issues, committees might want to emphasise the opportunity their request gives the organisation to ‘set the record straight’ in a public setting; and
- d) **Who to approach** – a committee might instinctively want to ask the Chief Executive or Managing Director of an organisation to appear at an evidence session, however it could be more beneficial to engage front-line staff when seeking operational-level detail rather than senior executives who might only be able to talk in more general terms. When making a request to a specific individual, the committee should consider the type of information it is seeking, the nature of the organisation in question and the authority’s pre-existing relationship with it.

Following ‘the Council Pound’

Scrutiny committees will often have a keen interest in ‘following the council pound’, i.e. scrutinising organisations that receive public funding to deliver goods and services.

Authorities should recognise the legitimacy of this interest and, where relevant, consider the need to provide assistance to scrutiny members and their support staff to obtain information from organisations the council has contracted to deliver services. In particular, when agreeing contracts with these bodies, authorities should consider whether it would be appropriate to include a *requirement* for them to supply information to or appear before scrutiny committees.

6. Planning Work

47. Effective scrutiny should have a defined impact on the ground, with the committee making recommendations that will make a tangible difference to the work of the authority. To have this kind of impact, scrutiny committees need to plan their work programme, i.e. draw up a long-term agenda and consider making it flexible enough to accommodate any urgent, short-term issues that might arise during the year.
48. Authorities with multiple scrutiny committees sometimes have a separate work programme for each committee. Where this happens, consideration should be given to how to co-ordinate the various committees' work to make best use of the total resources available.

Being clear about scrutiny's role

49. Scrutiny works best when it has a clear role and function. This provides focus and direction. While scrutiny has the power to look at anything which affects 'the area, or the area's inhabitants', authorities will often find it difficult to support a scrutiny function that carries out generalised oversight across the wide range of issues experienced by local people, particularly in the context of partnership working. Prioritisation is necessary, which means that there might be things that, despite being important, scrutiny will not be able to look at.
50. Different overall roles could include having a focus on risk, the authority's finances, or on the way the authority works with its partners.
51. Applying this focus does not mean that certain subjects are 'off limits'. It is more about looking at topics and deciding whether their relative importance justifies the positive impact scrutiny's further involvement could bring.
52. When thinking about scrutiny's focus, members should be supported by key senior officers. The statutory scrutiny officer, if an authority has one, will need to take a leading role in supporting members to clarify the role and function of scrutiny, and championing that role once agreed.

Who to speak to

53. Evidence will need to be gathered to inform the work programming process. This will ensure that it looks at the right topics, in the right way and at the right time. Gathering evidence requires conversations with:
- *The public* – it is likely that formal 'consultation' with the public on the scrutiny work programme will be ineffective. Asking individual scrutiny members to have conversations with individuals and groups in their own local areas can work better. Insights gained from the public through individual pieces of scrutiny work can be fed back into the work programming process. Listening to and participating in conversations in places where local people come together, including in online forums, can help authorities engage people on their own terms and yield more positive results.

Authorities should consider how their communications officers can help scrutiny engage with the public, and how wider internal expertise and local knowledge from both members and officers might make a contribution.

- *The authority's partners* – relationships with other partners should not be limited to evidence-gathering to support individual reviews or agenda items. A range of partners are likely to have insights that will prove useful:
 - Public sector partners (like the NHS and community safety partners, over which scrutiny has specific legal powers);
 - Voluntary sector partners;
 - Contractors and commissioning partners (including partners in joint ventures and authority-owned companies);
 - In parished areas, town, community and parish councils;
 - Neighbouring principal councils (both in two-tier and unitary areas);
 - Cross-authority bodies and organisations, such as Local Enterprise Partnerships¹⁷; and
 - Others with a stake and interest in the local area – large local employers, for example.

- *The executive* – a principal partner in discussions on the work programme should be the executive (and senior officers). The executive should not direct scrutiny's work (see chapter 2), but conversations will help scrutiny members better understand how their work can be designed to align with the best opportunities to influence the authority's wider work.

Information sources

54. Scrutiny will need access to relevant information to inform its work programme. The type of information will depend on the specific role and function scrutiny plays within the authority, but might include:

- Performance information from across the authority and its partners;
- Finance and risk information from across the authority and its partners;
- Corporate complaints information, and aggregated information from political groups about the subject matter of members' surgeries;
- Business cases and options appraisals (and other planning information) for forthcoming major decisions. This information will be of particular use for pre-decision scrutiny; and
- Reports and recommendations issued by relevant ombudsmen, especially the Local Government and Social Care Ombudsman.

¹⁷ Authorities should ensure they have appropriate arrangements in place to ensure the effective democratic scrutiny of Local Enterprise Partnerships' investment decisions.

As committees can meet in closed session, commercial confidentiality should not preclude the sharing of information. Authorities should note, however, that the default for meetings should be that they are held in public (see 2014 guidance on '*Open and accountable local government*':

https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/343182/140812_Openness_Guide.pdf).

55. Scrutiny members should consider keeping this information under regular review. It is likely to be easier to do this outside committee, rather than bringing such information to committee 'to note', or to provide an update, as a matter of course.

Shortlisting topics

Approaches to shortlisting topics should reflect scrutiny's overall role in the authority. This will require the development of bespoke, local solutions, however when considering whether an item should be included in the work programme, the kind of questions a scrutiny committee should consider might include:

- Do we understand the benefits scrutiny would bring to this issue?
- How could we best carry out work on this subject?
- What would be the best outcome of this work?
- How would this work engage with the activity of the executive and other decision-makers, including partners?

56. Some authorities use scoring systems to evaluate and rank work programme proposals. If these are used to provoke discussion and debate, based on evidence, about what priorities should be, they can be a useful tool. Others take a looser approach. Whichever method is adopted, a committee should be able to justify how and why a decision has been taken to include certain issues and not others.

57. Scrutiny members should accept that shortlisting can be difficult; scrutiny committees have finite resources and deciding how these are best allocated is tough. They should understand that, if work programming is robust and effective, there might well be issues that they want to look at that nonetheless are not selected.

Carrying out work

58. Selected topics can be scrutinised in several ways, including:

- a) **As a single item on a committee agenda** – this often presents a limited opportunity for effective scrutiny, but may be appropriate for some issues or where the committee wants to maintain a formal watching brief over a given issue;
- b) **At a single meeting** – which could be a committee meeting or something less formal. This can provide an opportunity to have a single public meeting about a

given subject, or to have a meeting at which evidence is taken from a number of witnesses;

- c) **At a task and finish review of two or three meetings** – short, sharp scrutiny reviews are likely to be most effective even for complex topics. Properly focused, they ensure members can swiftly reach conclusions and make recommendations, perhaps over the course of a couple of months or less;
- d) **Via a longer-term task and finish review** – the ‘traditional’ task and finish model – with perhaps six or seven meetings spread over a number of months – is still appropriate when scrutiny needs to dig into a complex topic in significant detail. However, the resource implications of such work, and its length, can make it unattractive for all but the most complex matters; and
- e) **By establishing a ‘standing panel’** – this falls short of establishing a whole new committee but may reflect a necessity to keep a watching brief over a critical local issue, especially where members feel they need to convene regularly to carry out that oversight. Again, the resource implications of this approach means that it will be rarely used.

7. Evidence Sessions

59. Evidence sessions are a key way in which scrutiny committees inform their work. They might happen at formal committee, in less formal 'task and finish' groups or at standalone sessions.

Good preparation is a vital part of conducting effective evidence sessions. Members should have a clear idea of what the committee hopes to get out of each session and appreciate that success will depend on their ability to work together on the day.

How to plan

60. Effective planning does not necessarily involve a large number of pre-meetings, the development of complex scopes or the drafting of questioning plans. It is more often about setting overall objectives and then considering what type of questions (and the way in which they are asked) can best elicit the information the committee is seeking. This applies as much to individual agenda items as it does for longer evidence sessions – there should always be consideration in advance of what scrutiny is trying to get out of a particular evidence session.

Chairs play a vital role in leading discussions on objective-setting and ensuring all members are aware of the specific role each will play during the evidence session.

61. As far as possible there should be consensus among scrutiny members about the objective of an evidence session before it starts. It is important to recognise that members have different perspectives on certain issues, and so might not share the objectives for a session that are ultimately adopted. Where this happens, the Chair will need to be aware of this divergence of views and bear it in mind when planning the evidence session.
62. Effective planning should mean that at the end of a session it is relatively straightforward for the chair to draw together themes and highlight the key findings. It is unlikely that the committee will be able to develop and agree recommendations immediately, but, unless the session is part of a wider inquiry, enough evidence should have been gathered to allow the chair to set a clear direction.
63. After an evidence session, the committee might wish to hold a short 'wash-up' meeting to review whether their objectives were met and lessons could be learned for future sessions.

Developing recommendations

64. The development and agreement of recommendations is often an iterative process. It will usually be appropriate for this to be done only by members, assisted by co-optees where relevant. When deciding on recommendations, however, members should have due regard to advice received from officers, particularly the Monitoring Officer.

65. The drafting of reports is usually, but not always, carried out by officers, directed by members.

66. Authorities draft reports and recommendations in a number of ways, but there are normally three stages:

- i. the development of a 'heads of report' – a document setting out general findings that members can then discuss as they consider the overall structure and focus of the report and its recommendations;
- ii. the development of those findings, which will set out some areas on which recommendations might be made; and
- iii. the drafting of the full report.

67. Recommendations should be evidence-based and SMART, i.e. specific, measurable, achievable, relevant and timed. Where appropriate, committees may wish to consider sharing them in draft with interested parties.

68. Committees should bear in mind that often six to eight recommendations are sufficient to enable the authority to focus its response, although there may be specific circumstances in which more might be appropriate.

Sharing draft recommendations with executive members should not provide an opportunity for them to revise or block recommendations before they are made. It should, however, provide an opportunity for errors to be identified and corrected, and for a more general sense-check.

Annex 1: Illustrative Scenario – Creating an Executive-Scrutiny Protocol

An executive-scrutiny protocol can deal with the practical expectations of scrutiny committee members and the executive, as well as the cultural dynamics.

Workshops with scrutiny members, senior officers and Cabinet can be helpful to inform the drafting of a protocol. An external facilitator can help bring an independent perspective.

Councils should consider how to adopt a protocol, e.g. formal agreement at scrutiny committee and Cabinet, then formal integration into the Council's constitution at the next Annual General Meeting.

The protocol, as agreed, may contain sections on:

- The way scrutiny will go about developing its work programme (including the ways in which senior officers and Cabinet members will be kept informed);
- The way in which senior officers and Cabinet will keep scrutiny informed of the outlines of major decisions as they are developed, to allow for discussion of scrutiny's potential involvement in policy development. This involves the building in of safeguards to mitigate risks around the sharing of sensitive information with scrutiny members;
- A strengthening and expansion of existing parts of the code of conduct that relate to behaviour in formal meetings, and in informal meetings;
- Specification of the nature and form of responses that scrutiny can expect when it makes recommendations to the executive, when it makes requests to the executive for information, and when it makes requests that Cabinet members or senior officers attend meetings; and
- Confirmation of the role of the statutory scrutiny officer, and Monitoring Officer, in overseeing compliance with the protocol, and ensuring that it is used to support the wider aim of supporting and promoting a culture of scrutiny, with matters relating to the protocol's success being reported to full Council through the scrutiny Annual Report.

Annex 2: Illustrative Scenario – Engaging Independent Technical Advisers

This example demonstrates how one Council's executive and scrutiny committee worked together to scope a role and then appoint an independent adviser on transforming social care commissioning. Their considerations and process may be helpful and applicable in other similar scenarios.

Major care contracts were coming to an end and the Council took the opportunity to review whether to continue with its existing strategic commissioning framework, or take a different approach – potentially insourcing certain elements.

The relevant Director was concerned about the Council's reliance on a very small number of large providers. The Director therefore approached the Scrutiny and Governance Manager to talk through the potential role scrutiny could play as the Council considered these changes.

The Scrutiny Chair wanted to look at this issue in some depth, but recognised its complexity could make it difficult for her committee to engage – she was concerned it would not be able to do the issue justice. The Director offered support from his own officer team, but the Chair considered this approach to be beset by risks around the independence of the process.

She talked to the Director about securing independent advice. He was worried that an independent adviser could come with preconceived ideas and would not understand the Council's context and objectives. The Scrutiny Chair was concerned that independent advice could end up leading to scrutiny members being passive, relying on an adviser to do their thinking for them. They agreed that some form of independent assistance would be valuable, but that how it was provided and managed should be carefully thought out.

With the assistance of the Governance and Scrutiny Manager, the Scrutiny Chair approached local universities and Further Education institutions to identify an appropriate individual. The approach was clear – it set out the precise role expected of the adviser, and explained the scrutiny process itself. Because members wanted to focus on the risks of market failure, and felt more confident on substantive social care matters, the approach was directed at those with a specialism in economics and business administration. The Council's search was proactive – the assistance of the service department was drawn on to make direct approaches to particular individuals who could carry out this role.

It was agreed to make a small budget available to act as a 'per diem' to support an adviser; academics were approached in the first instance as the Council felt able to make a case that an educational institution would provide this support for free as part of its commitment to Corporate Social Responsibility.

Three individuals were identified from the Council's proactive search. The Chair and Vice-Chair of the committee had an informal discussion with each – not so much to establish their skills and expertise (which had already been assessed) but to give a sense about

their 'fit' with scrutiny's objectives and their political nous in understanding the environment in which they would operate, and to satisfy themselves that they will apply themselves even-handedly to the task. The Director sat in on this process but played no part in who was ultimately selected.

The independent advice provided by the selected individual gave the Scrutiny Committee a more comprehensive understanding of the issue and meant it was able to offer informed advice on the merits of putting in place a new strategic commissioning framework.

Annex 3: Illustrative Scenario – Approaching an External Organisation to Appear before a Committee

This example shows how one council ensured a productive scrutiny meeting, involving a private company and the public. Lessons may be drawn and apply to other similar scenarios.

Concerns had been expressed by user groups, and the public at large, about the reliability of the local bus service. The Scrutiny Chair wanted to question the bus company in a public evidence session but knew that she had no power to compel it to attend. Previous attempts to engage it had been unsuccessful; the company was not hostile, but said it had its own ways of engaging the public.

The Monitoring Officer approached the company's regional PR manager, but he expressed concern that the session would end in a 'bunfight'. He also explained the company had put their improvement plan in the public domain, and felt a big council meeting would exacerbate tensions.

Other councillors had strong views about the company – one thought the committee should tell the company it would be empty-chaired if it refused to attend. The Scrutiny Chair was sympathetic to this, but thought such an approach would not lead to any improvements.

The Scrutiny Chair was keen to make progress, but it was difficult to find the right person to speak to at the company, so she asked council officers and local transport advocacy groups for advice. Speaking to those people also gave her a better sense of what scrutiny's role might be.

When she finally spoke to the company's network manager, she explained the situation and suggested they work together to consider how the meeting could be productive for the Council, the company and local people. In particular, this provided her with an opportunity to explain scrutiny and its role. The network manager remained sceptical but was reassured that they could work together to ensure that the meeting would not be an 'ambush'. He agreed in principle to attend and also provide information to support the Committee's work beforehand.

Discussions continued in the four weeks leading up to the Committee meeting. The Scrutiny Chair was conscious that while she had to work with the company to ensure that the meeting was constructive – and secure their attendance – it could not be a whitewash, and other members and the public would demand a hard edge to the discussions.

The scrutiny committee agreed that the meeting would provide a space for the company to provide context to the problems local people are experiencing, but that this would be preceded by a space on the agenda for the Chair, Vice-chair, and representatives from two local transport advocacy groups to set out their concerns. The company were sent in

advance a summary of the general areas on which members were likely to ask questions, to ensure that those questions could be addressed at the meeting.

Finally, provision was made for public questions and debate. Those attending the meeting were invited to discuss with each other the principal issues they wanted the meeting to cover. A short, facilitated discussion in the room led by the Chair highlighted the key issues, and the Chair then put those points to the company representatives.

At the end of the meeting, the public asked questions of the bus company representative in a 20-minute plenary item.

The meeting was fractious, but the planning carried out to prepare for this – by channelling issues through discussion and using the Chair to mediate the questioning – made things easier. Some attendees were initially frustrated by this structure, but the company representative was more open and less defensive than might otherwise have been the case.

The meeting also motivated the company to revise its communications plan to become more responsive to this kind of challenge, part of which involved a commitment to feed back to the scrutiny committee on the recommendations it made on the night.

BRIEFING NOTE

**Children's Services Financial Monitoring and Review 2019/20
Overview & Scrutiny Management Board
October 2, 2019**

1. Introduction

- 1.1** Children & Young People Services are implementing a two-year budget recovery plan to reduce the budget pressures from previous years (£15.7m in 2018/19) and deliver budget savings.
- 1.2** The budget pressure at the end of July is £4.9m and adverse movement of £600k this period, and whilst the Looked After Children number of 634 is just below the budget profile (638) for this period, the placement mix of having too many placements in residential care is leading to budget pressures, see the table below for the budget position per service area;

| Service | Budget | Forecast | Variance |
|---------------------------------|-------------------|-------------------|------------------|
| Children's Social Care | 51,527,833 | 57,067,513 | 5,539,680 |
| Commissioning, Perf & Inclusion | 4,888,339 | 4,812,595 | -75,744 |
| Directorate Wide | 2,596,386 | 1,884,356 | -712,030 |
| Early Help Services | 6,721,214 | 6,865,122 | 143,908 |
| Education | 542,697 | 536,564 | -6,133 |
| Total | 66,276,469 | 71,166,150 | 4,889,681 |

Pay Budgets

- 1.3** The direct employees budgets stands at £38.8m and is a combination of core and grant funded services. The projected underspend at the end of July is £60k, of which £43k is a general fund overspend, with underspends of £83k on DSG related services and £19k on traded service.

CYPS Staffing Budgets - July 2019

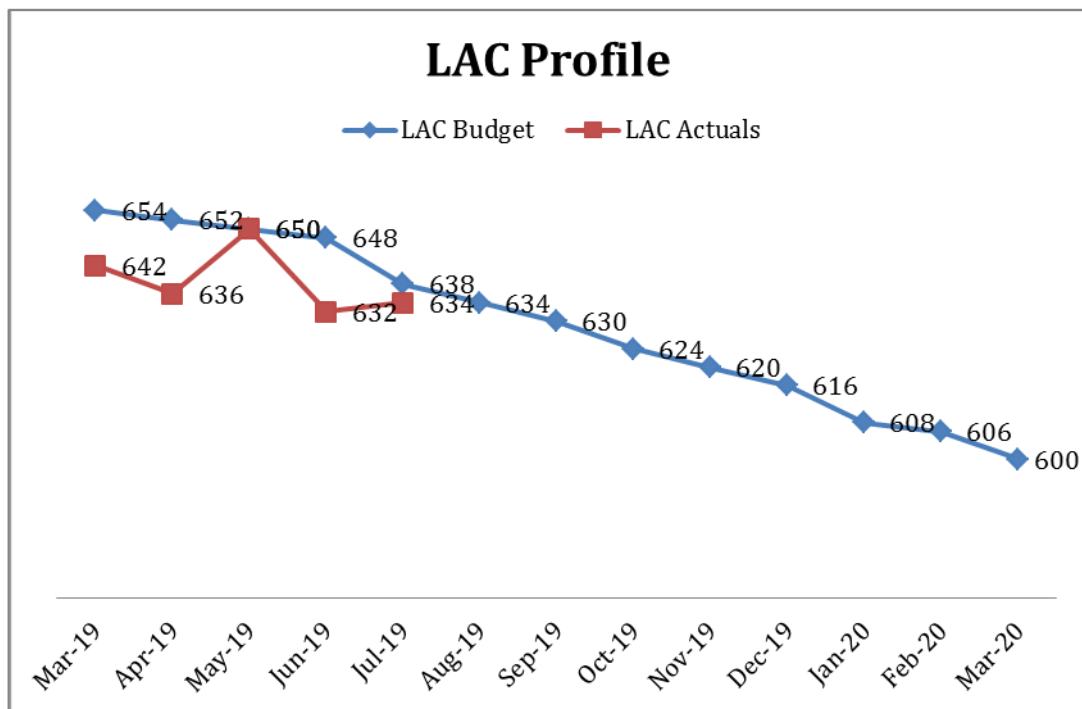
| Centre Structure Level 4 Code & Description | Budget | Forecast | Variance |
|---|------------|--------------|----------|
| Directorate Wide | 255,735 | 248,832 | -6,903 |
| Children's Social Care | 18,965,103 | 19,135,053 | 169,950 |
| Education | 2,256,450 | 2,186,473 | -69,977 |
| Commissioning, Perf & Qual | 7,916,393 | 7,685,967 | -230,426 |
| Early Help Services | 9,415,398 | 9,493,093 | 77,695 |
| Summary | 38,809,079 | 38,749,418 | -59,661 |
| | Split By: | DSG | -83,202 |
| | | Traded | -19,003 |
| | | General Fund | 42,544 |

- 1.4** The staffing budget reflects the work undertaken to date on delivery of the Early Help & Social Care Pathways savings proposal and other staff savings across the CYPS directorate. Further proposals are currently being developed to deliver the 2020/21 budget savings and contribute towards mitigating the current 2019/20 budget pressures.

Non – Pay Budgets

- 1.5** A significant element of the CYPS non-pay budgets relates to placements which has a net budget of £31.3m with a current projected spend of £35.6m. The financial pressure of £4.3m with an adverse movement of £0.5m this period. The main financial pressures are on residential placements (£3.0m), Special Guardianship Payments £0.8m and a reduction in the estimated income from the Clinical Commissioning Group (£600k).
- 1.6** The £3.0m residential pressures are due to a combination of 12 additional placements above the budget profile (£2.0m) and an increase in the average net unit cost of residential placements (£1m) with the increase in unit costs due to the complexity of current children in residential care.
- 1.7** The placement forecast assumes that from August 2019 to March 2020, the placement budget assumptions (placement reductions and transitions to lower cost placement types) will be achieved for the rest of the financial year. There are several risks linked to achievement of this placement budget profile which are:
- Estimated admissions and discharges from care being in line with expectations
 - The increase in in-house fostering enquires and net growth in foster carers placements are not in line with the estimated projections.
 - Costs of placements increasing above inflationary expectations
- 1.8** The other major budget pressures have also been incurred linked to the current number of Looked After Children this financial year. Transport has a forecast overspend of £530k whilst, section 17 & 23 payments are projected to overspend by £190k. Detailed spend analysis is being undertaken to monitor section 17 and 23 payments, with a task and finish group in place and undertaking work to support a reduction in spend.
- 1.9** Stovewood – The ongoing cost of Stovewood for 2019/20 continues to be monitored against the initial estimate of £7.079m. From April 19, 447 referrals have been reviewed with 249 cases currently open to social workers and is currently lower than the initially anticipated number of 407.
- 1.10** The current cost projections for Stovewood are estimated at £6.992m, with the major costs relating to Social Work time £1.485m and placement costs £3.976m. Work is ongoing to refine the estimated costs of wider associated support services in housing, adults which currently remain at the original estimated spend.
- 1.11** In order to set a robust budget for 2019/20 and 2020/21 a review of the current CYPS budget took place and estimated cost reductions that can be expected to be achieved over and above delivery of the budget savings. To reduce the budget pressure and achieve the budget savings means reducing spend in CYPS by £9.7m in 2019/20 and by £19.9m in 2020/21 from the 2018/19 level of spend.

The CYPS budget plan is based on 654 LAC at 1 April 2019 reducing to 600 by 31st March 2020 and further reductions to 541 by 31 March 2021. When setting the budget plan in November 2018 there were 662 LAC which has now reduced to 634 as at 31 July 2019, see the table below which outlines the actual LAC numbers against the LAC budget profile.



2. High Needs Block

- 2.1** The High Needs Block (HNB) is £34.3m (including the £2.8m transfer from the schools block) and remains under significant pressure due to rising numbers of children supported in specialist provision and the rising costs of Education Health Care (EHC) plans. Consequently, the central DSG reserve has changed over a three-year period from a £1m reserve deficit at the end of 2015/16 to £15.1m deficit at the end of the 2018/19 financial year (£5.1m overspend in 2018/19).
- 2.2** The forecast at the end of July 2019 shows an in-year pressure of £1.3m based on the DSG recovery plan and includes anticipated growth on EHCs numbers and the implementation of new developments linked to the SEND Sufficiency Strategy, see table below for details:

| High Needs Block Budget Monitoring 2019/20 as at 31st July 2019 | | | | | | |
|---|-------------------------|--|---|------------------------|--------------------------|---------------------------|
| Area of Spend | Original Budget 2019-20 | Budgeted Place Numbers April - August 2019 | Budgeted Place Numbers September - March 2020 | Revised Budget 2019-20 | Forecast Outturn 2019-20 | Forecast Variance 2019-20 |
| | £ | | | | £ | % |
| Special Schools | 13,526,593 | 675 | 682 | 13,526,593 | 13,526,593 | 0 |
| Primary Schools | 126,990 | 15 | 15 | 126,990 | 126,990 | 0 |
| Secondary Schools | 194,719 | 20 | 15 | 194,719 | 194,719 | 0 |
| Top-Up Funding | 5,712,280 | 1,299 | 1,292 | 5,712,280 | 5,704,348 | -7,932 |
| Alternative Provision | 4,238,806 | 198 | 198 | 4,238,806 | 4,411,877 | 173,071 |
| External Residential | 1,980,227 | 41 | 40 | 1,980,227 | 3,039,758 | 1,059,531 |
| Independent Service Providers | 4,585,374 | 155 | 132 | 4,757,374 | 4,920,377 | 163,003 |
| Inclusion Services | 2,333,618 | | | 2,333,618 | 2,355,571 | 21,953 |
| Other Education Services | 469,150 | 24 | 24 | 469,150 | 455,091 | -14,059 |
| CCP & FE Places | 1,126,000 | 362 | 380 | 1,134,000 | 1,126,000 | -8,000 |
| Total | 34,293,756 | 2,810 | 2,795 | 34,473,756 | 35,861,323 | 1,387,567 |

- 2.3** Both the Early Years and the Schools' block are expected to be broadly in line with allocations in 2019/20.

2.4 The key areas of focus to reduce the current High Needs Block pressures are:

- A review of high cost, external education provision to reduce cost and move children back into Rotherham educational provision;
- Develop additional SEN provision in Rotherham linked to mainstream schools and academies;
- Work with schools and academies to maintain pupils in mainstream settings wherever possible;
- A review of inclusion services provided by the Council

3. Budget Projects

3.1 *Retention Policy*

A full review of the social work retention payment has been undertaken to clarify the benefit of this payment to date, the benefits of continuing the scheme and the risks of ceasing to operate the scheme, a report with proposed options is currently being finalised.

3.2 *Placements Tracker & Budget Impact*

As highlighted in para 1.5 CYPS placement budgets are under significant financial pressure predominantly due to the number of residential placements and special guardianship orders.

The placement budget for 2019/20 is a net budget of £31.3m and was costed based on a placement profile by placement type, see appendix 1 for details. The current projected overspend of £4.3m is based on the project costs of current placements adjusted for estimated reductions and transition across placement types between now and the year end.

The placements profile was agreed as part of the 2019/20 budget exercise and is monitored on a monthly basis by the service and finance colleagues.

The forecast is based on the current children in placement and the adjusted to take account of agreed assumptions linked to the Demand and Market Management strategies combined with individual children's placement plans.

The key elements of the market management strategy are growth in residential block booking placements and increasing the capacity of in-house fostering placements, with the outcome of reducing high cost external residential and Independent Fostering placements.

The Demand Management strategy includes monitoring and tracking of the Right Child Right Care, House Project and Adoption placements with further work to ensure all children and young people are captured within the placement projections.

3.3 *Transport*

The Children in Care transport budget is £119k and is operating with a projected overspend of £530k.

The transport is split into two cohorts with those placed within Rotherham (commissioned by Transport) and those children placed outside Rotherham which are commissioned directly by CYPS as Transport do not operate outside of the Rotherham borough.

Both cohorts are monitored on spreadsheets with the child's journeys and associated transport costs.

Review of the in borough transport has determined minimal savings can be achieved on current transport costs unless linked to the RCRC work.

In terms of the those children placed outside of Rotherham work is ongoing to ensure journeys are cost effective and where the child is in an independent fostering place the transport costs are outside of the IFA contractual agreement.

4. Summary and Next Steps

- 4.1. Work is ongoing to progress the budget saving proposals linked to the 2020/21 Early Help & Social Care Pathway which is £4.3m.
- 4.2. Further work is ongoing to refine the placement profiles for each young person and also enhance the process to identify the expected net increase in in-house foster care places linked to recruitment, additional capacity of current foster carers and IFA transfers.
- 4.3. Develop the in-house residential business case.
- 4.4. All provision within High Needs Block is being reviewed and placement monitoring being further enhanced to track and profile the opening of new SEND provision and estimated placement moves across education placement types.

2019/20 CYPS Placements Summary

| Cost Centre | Fund | Cost | Net Budget | Net Forecast P4 (July) | Net Variance (Fore P4 - Budget) | Lac No.s @ 31 March 19 | Budget Profile July 19 | Actuals July 19 | Variance March 18 to Jun 19 |
|-------------|------|---|-------------------|------------------------|----------------------------------|------------------------|------------------------|-----------------|-----------------------------|
| | | Placed with Parents | | | 0 | 43 | 36 | 31 | -12 |
| | | Adoption Allowance (Non Agency) - Pre Adoption LAC | | | 0 | 6 | | 8 | 2 |
| | | Adoption No placement costs | | | 0 | 27 | 24 | 30 | 3 |
| 371130 | | In - house Fostering | 3,233,021 | 3,274,948 | 41,927 | 147 | 215 | 138 | -9 |
| 371130 | | Fostering - Family & Friends (included in above budget) | 0 | | 0 | 20 | | 24 | 4 |
| | | S38/6 | 0 | | 0 | 13 | | 15 | 2 |
| 371170 | | Fostering Independent Placements | 11,451,566 | 11,272,572 | -178,994 | 263 | 265 | 275 | 12 |
| 372060 | | External Residential Placements | 4,979,888 | 10,251,882 | 5,271,994 | 64 | 44 | 66 | 2 |
| 372060 | | Parent and Baby Units (Included in above budget) | 621,660 | 374,765 | -246,895 | 2 | 3 | 5 | 3 |
| 372060 | | Remand Placements (included in above budget) | 0 | 10,825 | 10,825 | 1 | | | -1 |
| 372060 | | Secure Placements (included in above budget) | 0 | 134,440 | 134,440 | 1 | | | -1 |
| 372060 | | Block Contracts (included in above budget) | 1,996,800 | 520,000 | -1,476,800 | | 8 | 3 | 3 |
| 372460 | | The House Project | 32,816 | 32,816 | 0 | | | | 0 |
| 372140 | | Emergency | 400,000 | 400,000 | 0 | 1 | | | -1 |
| 372470 | | Supported Accommodaton - Care Leavers (LAC ONLY) | 2,203,596 | 1,973,745 | -229,851 | 36 | 33 | 33 | -3 |
| | | Liberty - 75 days classed as LAC | | | 0 | 7 | 7 | 6 | -1 |
| | | No placement costs | 0 | | 0 | 16 | 3 | 0 | -16 |
| | | Total Looked after Children | 24,919,347 | 28,245,993 | 3,326,646 | 647 | 638 | 634 | -13 |
| 360270 | | EHC Personal Budget (Direct Payments) | 636,000 | 711,353 | 75,353 | | | | 0 |
| 372090 | | Short Break Unit (Liberty House) | 786,122 | 848,732 | 62,610 | | | | 0 |
| 371180 | | Child Arrangement Orders (Non Agency) | 1,756,148 | 1,822,626 | 66,478 | 249 | 255 | 239 | -10 |
| 360630 | | Special Guardianship Payment (Non Agency) | 1,671,999 | 2,520,495 | 848,496 | 282 | 260 | 309 | 27 |
| 360610 | | Adoption Allowance (Non Agency) - Post Adoption Non LAC | 1,122,682 | 1,084,694 | -37,989 | 127 | 145 | 122 | -5 |
| 372470 | | Supported Accommodaton - Care Leavers (Non -LAC) | 0 | | 0 | | 24 | 6 | 6 |
| 372410 | | Leaving Care Accommodation (RMBC) | 426,337 | 427,155 | 818 | 11 | | 11 | 0 |
| | | Total other placements | 6,399,288 | 7,415,054 | 1,015,766 | 669 | 684 | 687 | 18 |
| | | Grand total | 31,318,635 | 35,661,047 | 4,342,412 | 1,316 | 1,322 | 1,321 | 5 |

Public Report
Overview and Scrutiny Management Board

Committee Name and Date of Committee Meeting

Overview and Scrutiny Management Board – 02 October 2019

Report Title

Council Plan Quarter 1 (April to June 2019) Areas for Improvement

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

No, but it has been included on the Forward Plan

Strategic Director Approving Submission of the Report

Shokat Lal, Assistant Chief Executive

Report Author(s)

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Ward(s) Affected

Borough-Wide

Report Summary

The Council Plan is the core document that underpins the Council's overall vision. The Plan sets out the headline priorities, outcomes and measures that will demonstrate delivery of the vision.

To ensure that the delivery of actions and their impact is assessed, formal quarterly performance reports are presented in public at Cabinet meetings, with an opportunity for Scrutiny consideration if required.

The Performance Report and Performance Scorecard provide an analysis of the Council's current performance against 13 key delivery outcomes and 69 measures. The report is based on the currently available data and also includes an overview of progress on key projects and activities which contribute to the delivery of the Council Plan.

The Performance Report (Appendix B) covering the Quarter 1 period (April – June 2019) was presented to Cabinet on 16th September.

At the end of Quarter 1 31 measures had either met or had exceeded the target set in the Council Plan. This represents 55% of the total number of measures where data is available or where targets have been set. This is a significant improvement in performance compared to Quarter 1 2018-2019 where only 47% of measures hit their targets. The priority area with the highest proportion of targets met is Priority 4 (Extending opportunity, prosperity and planning for the future) where 75% of measures (where data is available or where targets have been set) are marked as on target.

The direction of travel is positive for 29 (53%) of the measures calculated in this quarter. This is an improvement compared to the 51% figure for last quarter and 45% in Quarter 1 2018-2019.

The Overview and Scrutiny Management Board has previously focussed on all measures within the Council Plan, including those performing well and improving. However, to ensure the Overview and Scrutiny Management Board remain focussed on area of underperformance an exception report has been produced (see Appendix A), highlighting the 10 areas for improvement from the Quarter 1 Performance Report (measures which are off track and direction of travel is worsening).

Recommendations

Overview and Scrutiny Management Board is recommended to:

1. Note the overall position in relation to the Council Plan
2. Discuss the measures highlighted as areas for improvement, within the exception report (see Appendix A) and the actions required to improve performance, including future performance clinics
3. Note the performance reporting timetable for 2019-2020.

List of Appendices Included

- Appendix A - Areas for improvement exception report
- Appendix B – Council Plan performance report Quarter 1 (Apr–Jun 2019)
- Appendix C - Initial Equality Screening Assessment.

Background Papers

- Performance Management Framework 2018-20
- RMBC Council Plan 2017-2020 – Original Cabinet Agenda 25th June 2017 but revised measures for 2019-2020 – Cabinet Agenda 20th May 2019 and Council on 24th July 2019
- Corporate Performance Report 2018-2019 Quarter 1 – Cabinet Agenda 17th September 2018
- Corporate Performance Report 2018-2019 Quarter 2 – Cabinet Agenda 17th December 2018.
- Corporate Performance Report 2018-2019 Quarter 3 – Cabinet Agenda 18th March 2019.

- Corporate Performance Report 2018-2019 Quarter 4/Year-end – Cabinet Agenda 8th July 2019
- Corporate Performance Report 2019-2020 Quarter 1 – Cabinet Agenda 16th September 2019.

Consideration by any other Council Committee, Scrutiny or Advisory Panel
Cabinet – 16 September 2019

Council Approval Required

No

Exempt from the Press and Public

No

Council Plan Quarter 1 (April to June 2019) Areas for Improvement

1. Background

- 1.1 The current Council Plan, which covers the period 2017 to 2020, was approved by Members on 12th July 2017. Refreshed performance measures, covering the 2019-2020 financial year, were approved by Cabinet on 20th May 2019 and Council on 24th July 2019.
- 1.2 The first quarterly Performance Report for 2019-2020 was presented to Cabinet on 16th September 2019. The last report, covering Quarter 4/Year-end of 2018-2019, was reported to the Cabinet meeting on 8th July 2019.
- 1.3 Service Plans have been produced and are reviewed annually to ensure a 'golden thread' runs from the Council Plan through to each service as well as the PDR process. These help to develop a consistent approach across the Council.

2. Key Issues

- 2.1 The Council Plan includes 69 measures. The measures sit under 13 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*.

- 2.2 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.
- 2.3 The Quarter 1 Performance Report (Appendix B) sets out how the Council has performed in the first quarter of 2019-2020 (1st April to 30th June 2019) 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.
- 2.4 The Quarter 1 Performance Scorecard data, which is included within the Performance Report at Appendix B, provides an analysis of the Council's performance against each of the 69 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 is high or low)



Numbers have improved



Numbers are stable



Numbers have got worse



Direction of travel not applicable

- 2.5 The Performance Report (Appendix B) covering the Quarter 1 period (April – June 2019) was presented to Cabinet on 16th September 2019.
- 2.6 At the end of Quarter 1, 31 measures had either met or had exceeded the target set in the Council Plan. This represents 55% of the total number of indicators where data is available or where targets have been set. This is an increase in performance when compared to Quarter 1 of 2018-2019 (47%) and is the second highest performance level that the Council has achieved for a number of years. The priority area with the highest proportion of targets met is Priority 4 (Extending opportunity, Prosperity and planning for the future) where 75% of measures (where data is available or where targets have been set) are marked as on target.
- 2.7 The direction of travel is positive for 29 (53%) of the measures calculated in this quarter. This is a small increase compared to the 51% figure for the last quarter and an improvement on the 45% figure in Quarter 1 2018-2019. Performance will continue to be kept under review during the remainder of 2019-2020, and

reported publically, in order to ensure that the Council's direction of travel remains positive.

2.8 The performance report at Appendix B includes a high level overview of progress against each of the priority outcomes and highlights key achievements by the Council in the period; a graphical interpretation of each priority area, with the "Scorecard" information included within the body of the report. All of the 69 measures in the Council Plan are given equal priority and this is reflected in both the narrative report and the scorecard. The final pages of the report include a number of significant case studies, alongside a timeline of achievements in the quarter.

2.9 The Overview and Scrutiny Management Board has previously focussed on all measures within the Council Plan, including those performing well and improving. However, to ensure the Overview and Scrutiny Management Board remain focussed on areas of underperformance, an exception report has been produced (see Appendix A). The report highlights 10 areas for improvement from the Quarter 1 Performance Report (measures which are off track and direction of travel is worsening), with the exception of the priority 2 measures which are rated as amber and the priority 5 measure where DOT is not applicable. These include:

- (1.A2) The number of children subject to a child protection plan (rate per 10K population under 18)
- (1.A5) The proportion of children who are subject to repeat child protection plans (within 24 months)
- (1.A8) The proportion of looked after children placed within a Family Based setting
- (2.B7) All age numbers of new permanent admissions to residential nursing care for adults
- (2.B8) All age total number of people supported in residential/nursing care for adults
- (3.A4b) The proportion of vehicles and drivers found to be compliant with licensing requirements during in the spot inspections
- (3.B3) Total number of customer contacts by service area and overall total i) Official complaints, ii) Compliments received, iii) Service Requests
- (3.B4) Number of missed bins per 100,000 collections
- (4.B1a) Number of new homes delivered via direct Council intervention
- (5.D6) The proportion of Cabinet reports where an Equality Analysis Screening Assessment has been completed.

2.10 The Council Plan for 2017-2020 focuses on indicators that can be measured monthly or quarterly. To ensure that the Plan is managed effectively, formal quarterly performance reports will continue to be presented to Cabinet meetings for the next financial year, as follows:

- Quarter 2 Performance Report (performance to end September 2019) – 16th December 2019
- Quarter 3 Performance Report (performance to end December 2019) – 23rd March 2020

- Quarter 4 and Year-end Performance Report (performance to end March 2020) – June/July 2020 (exact date TBC).

3. Options considered and recommended proposal

- 3.1 It is recommended that the Overview and Scrutiny Management Board review the measures highlighted as areas for improvement, within the exception report (Appendix A) and the actions required to improve performance, including future performance clinics.

4. Consultation on proposal

- 4.1 The original Plan priorities were developed following a consultation in the summer of 2015 with 1,800 members of the public through the 'Views from Rotherham' consultation. This Plan was presented to Overview and Scrutiny Management Board on 26th November 2015 and formally considered by members at the Council meeting on 9th December 2015 and approved on 13th July 2016.

- 4.2 The quarterly reporting template and performance scorecard was developed in consultation with performance officers, the Strategic Leadership Team and Cabinet Members.

- 4.3 The Council continues to consult with members of the public to ensure that the Council understands what is important to them and the priorities reflect the views of Rotherham residents. Examples include:

- Consultation takes place annually in relation to the Council's budget. From 26th October 2018 to 30th November 2018, the Council consulted with the public, staff and partners around the directorate savings proposed for the 2019/20 and 2020/21 budget. The Council asked the public to provide feedback on budget proposals via: local media, the Council website and social media. A total of 1,181 people participated in the consultation overall, through online engagement, face-to-face sessions, letters and emails. The majority of the comments were made on social media.
- Annual Rotherham Partnership showcase events are held and attended by approximately 100 partners, to review progress over the past 12 months in delivering the Rotherham Plan 2025, celebrate successes and communicate key milestones for the following year.
- The LGA conduct a Rotherham Resident Survey on a six monthly basis to find out what residents think about the Council and the Borough in general.

5. Timetable and Accountability for Implementing this Decision

- 5.1 This is the first quarterly Performance Report relating to the Council Plan's refreshed indicators for the 2019-2020 financial year. Paragraph 2.10 sets out an outline forward programme of further quarterly performance over the next year.

6. Financial and Procurement Advice and Implications

- 6.1 The Council Plan is designed to help steer the use of Council finances, balanced against the wider funding backdrop for the Council and the broader context of national local government finance and policy.
- 6.2 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.
- 6.3 Whilst there are no direct procurement implications as a result of this report, any identified need 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 Finance and Procurement Procedure Rules and the UK Public Contract Regulations 2015 as well as other relevant EU/UK legislation governing procurement practice.
- 6.4 The redesigned Council Plan Performance Report now includes information regarding the Council's financial position.

7. Legal Advice and Implications

- 7.1 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.
- 7.2 An effective and embedded Council Plan is also a key part of the Council's ongoing improvement journey.

8. Human Resources Advice and Implications

- 8.1 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). Continued application 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.

9. Implications for Children and Young People and Vulnerable Adults

- 9.1 The Council Plan has a core focus on the needs of children and young people and vulnerable adults and this is embedded in the Council Plan under Priority 1, "Every child making the best start in life".

10. Equalities and Human Rights Advice and Implications

- 10.1 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.
- 10.2 A new corporate Equalities and Diversity Policy was adopted by Council on 13th 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. Specific performance measures relating to equalities are now included in the 2019-2020 iteration of the Council Plan under Priority 5.

11. Implications for Partners

- 11.1 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.

12. Risks and Mitigation

- 12.1 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. Within the Scorecard data tables, 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.
- 12.2 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.

13. Accountable Officer(s)

- 13.1 Sharon Kemp, Chief Executive.

Approvals obtained on behalf of Statutory Officers:-

| | Named Officer | Date |
|--|----------------------|---------------------------------|
| Assistant Chief Executive | Shokat Lal | 20 th September 2019 |
| Strategic Director of Finance & Customer Services (S.151 Officer) | Judith Badger | 23 rd September 2019 |
| Head of Corporate Finance | Paul Stone | 19 th September 2019 |
| Assistant Director of Legal Services | Bal Nahal | 20 th September |

| | | |
|--|-------------------|---------------------------------|
| (Monitoring Officer) | | 2019 |
| Assistant Director of Human Resources (if appropriate) | Lee Mann | 18 th September 2019 |
| Head of Procurement (if appropriate) | Karen Middlebrook | 20 th September 2019 |

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This report is published on the Council's [website](#).

Areas for improvement exception report

Council Plan Quarter 1 Performance Report

In total there are 10 areas for improvement highlighted within the Council Plan Quarter 1 (April – June 2019) Performance Report. Areas for improvement relate to measures which are off track and direction of travel is worsening, with the exception of the measures identified for priority 2 which are rated amber and the priority 5 measure where DOT is not applicable.

Further information regarding Quarter 1 performance and what action is being taken to address areas of underperformance is provided below.

PRIORITY 1: Every child making the best start in



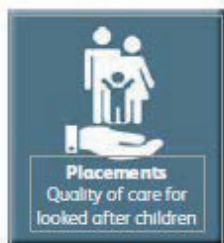
- **(1.A2) The number of children subject to a child protection plan (rate per 10K population under 18) - 94.8 against a target of 90 (lower is better)**

The number of children becoming subject to a plan have been steadily reducing since June 2018 as expected (despite an increase in demand in April/May 2019).

This will be monitored as part of the performance meetings.

- **(1.A5) The proportion of children who are subject to repeat child protection plans (within 24 months) - 10.1% against a target of 7% (lower is better)**

Trend data for the proportion of children subject to repeat plans within 24 months had shown an improving trend with a recent peak in Q1 which is currently being explored via dip sampling within the Safeguarding service.



- **(1.A8) The proportion of looked after children placed within a Family Based setting - 81.7% against a target of 85% (higher is better)**

The numbers of children in a family based setting has remained fairly consistent for much of the past 12 months at circa 82%. The impact of the market management project should have a positive impact with additional foster carers in Rotherham

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

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

| Outcome | Lead Accountability (Strategic Director) | Ref No. | Action | Measure | Lead officer | Good performance | Frequency of reporting | Target | Overall status | DOT | 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 2016/17 | Year end 2017/18 | Year end 2018/19 | Q1 Apr - June 2018 | Q2 Jul - Sep 2018 | Q3 Oct - Dec 2018 | Q4 Jan- Mar 2019 | Q1 Apr - June 2019 | Apr-19 | May-19 | | Jun-19 |
| | | | | | | | | | | | A. Children, young people and families are protected and safeguarded from all forms of abuse, violence and neglect | Jon Stonehouse, Strategic Director Children and Young People's Services | 1.A2 | Early Help – Supporting Children, young people and families at the right time with the right care | The number of children subject to a CP plan (rate per 10K population under 18) | Ailsa Barr - CYPS | low | Monthly | 90 | ✘ | 🔄 | | 65.4 |
| 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 | The proportion of children who are subject to repeat child protection plans (within 24 months) | Ailsa Barr - CYPS | low | Monthly | 7% | ✘ | 🔄 | 4.7% | 9.2% | | | 9.5% | 6.5% | 8.2% | 7.2% | 4.7% | 6.5% | 10.1% | 9.4% | 9.5% | 10.1% | Trend data for the proportion of children subject to repeat plans within 24 months had shown an improving trend with a recent peak in Q1 which is currently being explored via dip sampling within the Safeguarding service. |
| 1.A8 | Placements - Improve Quality of Care for looked after children | The proportion of LAC placed within a Family Based setting | Ailsa Barr - CYPS | high | Monthly | 85.0% | ✘ | 🔄 | Not Available | 81.1% | | | 81.0% | 82.3% | 81.0% | 82.3% | 83.8% | 82.3% | 81.7% | 81.7% | 81.8% | 81.7% | The numbers of children in a family based setting has remained fairly consistent for much of the past 12 months at circa 82%. The impact of the market management project will have a positive impact with additional foster carers in Rotherham |

PRIORITY 2: Every adult secure, responsible and empowered



- **(2.B7) All age numbers of new permanent admissions to residential nursing care for adults - 81 All age new permanent admissions to residential nursing care for adults against an annual target of 280 (lower is better)**
- **(2.B8) All age total number of people supported in residential/nursing care for adults - 931 All age people were supported in residential/nursing care for adults against a target of 900 (lower is better)**

Day to day management and oversight of new admission activity is undertaken by managers and quality checked within weekly Wellbeing Forum sessions.

Monthly performance is discussed by the senior managers accountable and reviewed against existing on-going performance clinic actions.

Note – the status of these measures is ‘amber’ satisfactory progress made, not red.

Corporate Priority 2 – Every adult secure, responsible and empowered

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

| Outcome | Lead Accountability (Strategic Director) | Ref No. | Action | Measure | Lead officer | Good performance | Frequency of reporting | Target | Overall status | DOT | 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 2016/17 | Year end 2017/18 | Year end 2018/19 | Q1 Apr - Jun 2018 | Q2 Jul - Sep 2018 | Q3 Oct - Dec 2018 | Q4 Jan - Mar 2019 | Q1 Apr - Jun 2019 | Apr-19 | May-19 | | Jun-19 |
| | | | | | | | | | | | 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.B7 | Commission services effectively, working in partnership and co-producing with users and carers; use resources effectively. | All age numbers of New permanent admissions to residential nursing care for adults | Ian Spicer - Assistant Director of Independent Living and Support | Low | Monthly | 280 (Cumulative target) | ● | 🔄 | | 432 |
| | | 2.B8 | | All age total number of people supported in residential/nursing care for adults | Ian Spicer - Assistant Director of Independent Living and Support | Low | Monthly | 900 | ● | 🔄 | 1,288 | 1,111 | 1,023 | 933 | 998 | 975 | 943 | 933 | 931 | 941 | 939 | 931 | <p>As per actions for 2.B7 the short stay reviews have also impacted on Qtr 1 overall number supported in residential care (as more become permanent than usual trend). However, the in Q1 1 trend is positive, from April high of 941 reducing to 931 by June and is 2 better than year-end total of 933. The Service will continue to monitor alongside actions for 2B.7 to provide assurance that year end target will be met.</p> |

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

- **(3.A4b) 73% of vehicles and 77% drivers found to be compliant with licensing requirements during in the spot inspections against a target of 85% (higher is better)**

Action is taken against license holders found to be non-compliant. Those found to be non-compliant are given a verbal/written warning. All local trade representatives have been made aware of the reasons for failure and have been asked to inform drivers.



- **(3.B3) Total number of customer contacts by service area and overall total i) Official complaints, ii) Compliments received, iii) Service Requests - 72 complaints against a target of 10% reduction (190 cumulative for year) in the number of official complaints received (lower is better)**

The waste team are working with residents and collection crews to bring the performance in line with the previous levels.



- **(3.B4) 113 missed bins per 100,000 collections against a target of 50 (lower is better)**

The waste team are working with residents and collection crews to bring the performance in line with the previous levels.

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

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

| Outcome | Lead Accountability (Strategic Director) | Ref No. | Action | Measure | Lead officer | Good performance | Frequency of reporting | Target | Overall status | DOT | 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) |
|---|--|---------|---|--|--|------------------|------------------------|--|----------------|-----|------------------|------------------|------------------|------------------|---------------------------------|--|--|--|--|--|--|--------|---|--|--|---------|--|--|--|
| | | | | | | | | | | | Annual | | | | Quarterly | | | | Monthly | | | | | | | | | | |
| | | | | | | | | | | | Year end 2015/16 | Year end 2016/17 | Year end 2017/18 | Year end 2018/19 | Q1 Apr - June 2018 | Q2 Jul - Sep 2018 | Q3 Oct - Dec 2018 | Q4 Jan - March 2019 | Q1 Apr - June 2019 | Apr-19 | May-19 | Jun-19 | | | | | | | |
| A. Communities are strong and help people to feel safe | Paul Woodcock, Strategic Director Regeneration and Environment | 3.A4(b) | Ensure an robust, effective and efficient licensing service | The proportion of a) licensed vehicles b) drivers found to be compliant with licensing requirements during in the spot inspections | Tom Smith - Regeneration and Environment | High | Quarterly | 85% (Vehicles and drivers) | ❌ | 🟦 | | | | | 75% | 57% (vehicles) | 79% (vehicles) (Cumulative: 64%) | 88% (vehicles) (Cumulative: 70%) | 76% (Vehicles) | a) 73% (Vehicles) b) 77% (Drivers) | | | | No. of inspections classified as 'minor' is on target to exceed cumulative target for drivers but slightly down on target for vehicles. 6 vehicles were not compliant, due to display plate, condition of fire extinguisher and windscreen wipers. All 5 non-compliant drivers were not wearing their ID badges as required by their licensing conditions. All issued with written warnings. Licence holders that are found to be non-compliant are given a verbal/written warning. The warning is placed on the driver's record - if he / she is found to have committed the same misdemeanour in future then the fact that they have been warned previously will be taken into consideration when determining the most appropriate course of action that should be taken. In most cases, a similar transgression following a previous written warning will lead to either a final written warning or a review of | | | | | |
| | | 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 complaints ii) Compliments received iii) Service Requests | Tom Smith - Regeneration and Environment | Low | Monthly | 10% reduction (target around 190 cumulative for year) in the number of official complaints received. | ❌ | 🟦 | | | | | | No of customer contacts for A) 1,301 B) 6,115 C) 452 D) 716 Complaints 79 | Grounds Maintenance i) Compliments 19 ii) Compliments 11 iii) Service Requests 761 Street Cleansing i) Compliments 7 ii) Compliments 0 iii) Service Requests 8315 Litter i) Compliments 4 ii) Compliments 1 iii) Service Requests 1227 Waste Management i) Compliments 64 ii) Compliments 29 iii) Service Requests 35,358 Total cumulative complaints figure= 84 | Grounds Maintenance i) Compliments 14 ii) Compliments 1 iii) Service Requests 408 Street Cleansing i) Compliments 4 ii) Compliments 0 iii) Service Requests 1702 Litter i) Compliments 1 ii) Compliments 0 iii) Service Requests 317 Waste Management i) Compliments 43 ii) Compliments 6 iii) Service Requests 9118 Overall number of complaints Q2 = 49 Total cumulative complaints figure= 101 | Grounds Maintenance i) Compliments 3 ii) Compliments 3 iii) Service Requests 219 Street Cleansing i) Compliments 2 ii) Compliments 0 iii) Service Requests 2086 Litter i) Compliments 0 ii) Compliments 0 iii) Service Requests 173 Waste Management i) Compliments 48 ii) Compliments 21 iii) Service Requests 10,057 Overall number of complaints Q3 = 49 Total cumulative complaints figure= 150 | Grounds Maintenance i) Compliments 1 ii) Compliments 0 iii) Service Requests 85 Street Cleansing i) Compliments 4 ii) Compliments 4 iii) Service Requests 2682 Litter i) Compliments 0 ii) Compliments 0 iii) Service Requests 451 Waste Management i) Compliments 54 ii) Compliments 12 iii) Service Requests 11943 Overall number of complaints Q4 = 59 Total cumulative complaints figure= 209 | Grounds Maintenance i) Compliments 3 ii) Compliments 0 iii) Service Requests 278 Street Cleansing i) Compliments 2 ii) Compliments 0 iii) Service Requests 2216 Litter i) Compliments 1 ii) Compliments 0 iii) Service Requests 202 Waste Management i) Compliments 66 ii) Compliments 0 iii) Service Requests 10,756 Overall number of complaints Q1 = 72 Total cumulative complaints figure= 72 | | | | Complaints have risen in comparison to Q4, although it should be noted that of the 72 complaints only 31, (43%), were either partially or wholly upheld. 92% of complaints are about the Waste Service which is still affected by the significant changes implemented over the 3rd and 4th Quarter of last year. The waste team are working with residents and collection crews to bring the performance in line with the previous levels. NB- DOT is assessed against the same quarter on the previous year to reflect on seasonal impacts generating complaints. | | | | |
| B. Streets, public realm and green spaces are clean and well maintained | Paul Woodcock, Strategic Director Regeneration and Environment | 3.B4 | Ensure an efficient and effective waste and recycling service | Number of missed bins per 100,000 collections | Tom Smith - Regeneration and Environment | Low | Quarterly | 50 | ❌ | 🟦 | 62.7 | 46.92 | 42.21 | 69.51 | Q1 43.01 Overall YTD - 43.01 | Q2 44.27 Overall YTD - 43.64 | Q3 67.45 Overall YTD - 51 | Q4 146.09 Overall YTD - 69.51 | 113 Overall YTD - 113 | | | | The new Waste Service is starting to embed following the significant changes implemented over the 3 rd and 4 th Quarter of last year. missed bins are continuing to reduce however remain higher than Q1 last year, the waste team are working with residents and collection crews to bring the performance in line with the previous levels, indeed performance for June19 was 91 missed bins per 100,000 collections, in May the figure was 124. DOT based on Q1 18/19 due to seasonal factors. | | | | | | |

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



- **(4.B1a) 8 new homes delivered via direct Council intervention against an annual target of 175 (higher is better)**

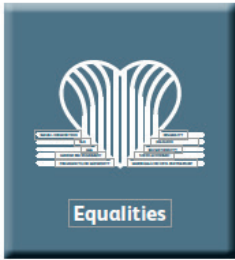
Plans are in place to accelerate growth throughout the remaining quarters and it is anticipated the year-end target of 175 new homes will be met.

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

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

| Outcome | Lead Accountability (Strategic Director) | Ref No. | Action | Measure | Lead officer | Good performance | Frequency of reporting | Target | Overall status | DOT | 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 2016/17 | Year end 2017/18 | Year end 2018/19 | Q1 Apr - Jun 2018 | Q2 Jul - Sep 2018 | Q3 Oct - Dec 2018 | Q4 Jan- March 19 | Q1 Apr - Jun 2019 | Apr-19 | May-19 | Jun-19 | | |
| | | | | | | | | | | | 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 (Commenced 8th August 2016). | 4.B1(a) | Implement the Housing Strategy 2019-2022 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 | 175 | ✘ | 🔄 | | | |

PRIORITY 5: A modern, efficient council



- **(5.D6) 44.4% of Cabinet reports where an Equality Analysis Screening Assessment has been completed against a target of 100% (higher is better)**

A new process in relation to Equality Analyses was introduced in May/June and a presentation regarding the revised Equality Analysis process was provided at the Wider Leadership session in May. The steps taken along with a revised report checklist and checks during the report approval process should improve performance from Quarter 2.

Note – this is a red measure but DOT is not applicable.

Corporate Priority 5 – A modern, efficient Council

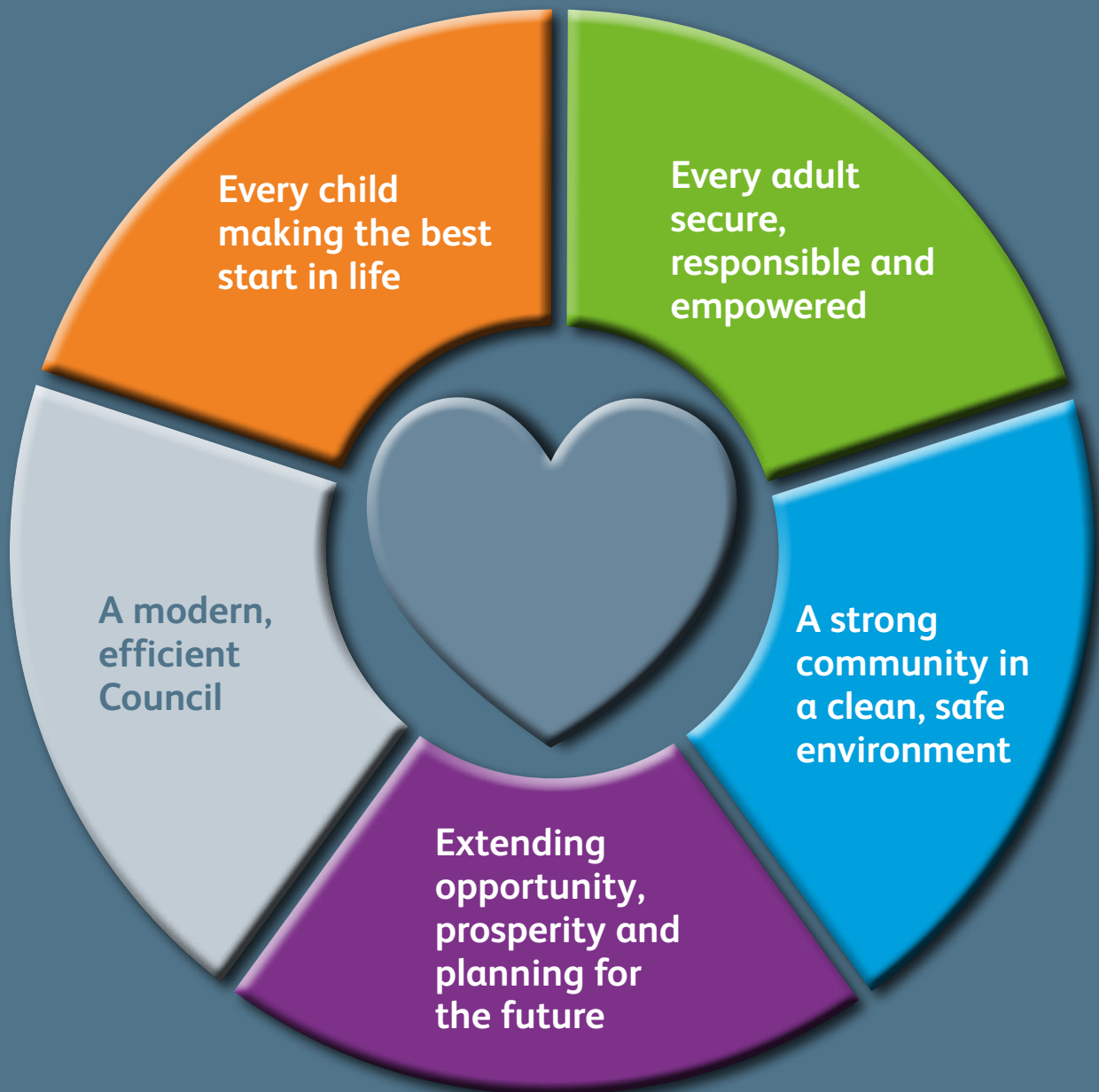
| Key | Overall status (relevant to target) | |
|-----|-------------------------------------|---|
| | ✔ | Measure progressing above or in line with target set |
| | ● | Measure progress has been satisfactory but is not fully reaching target set |
| | ✘ | Measure has not progressed in accordance with target set |

| Outcome | Lead Accountability (Strategic Director) | Ref No. | Action | Measure | Lead officer | Good performance | Frequency of reporting | Target | Overall status | DOT | Annual | | | | | | | | | | | | Data notes (where measure has not progressed in accordance with the target set provide details of what is being done to improve performance) | |
|--|--|---------|---|--|---|------------------|------------------------|--------|----------------|-----|------------------|------------------|------------------|------------------|--------------------|-------------------|-------------------|-------------------|--------------------|--------|--------|--------|--|---|
| | | | | | | | | | | | Annual | | | | Quarterly | | | | Monthly | | | | | |
| | | | | | | | | | | | Year end 2015/16 | Year end 2016/17 | Year end 2017/18 | Year end 2018/19 | Q1 Apr - June 2018 | Q2 Jul - Sep 2018 | Q3 Oct - Dec 2018 | Q4 Jan - Mar 2019 | Q1 Apr - June 2019 | Apr-19 | May-19 | Jun-19 | | |
| D. Effective members, workforce and organisational culture | Shokat Lal, Assistant Chief Executive | 5.D6 | The Council complies with good practice in equalities | The proportion of Cabinet reports where an Equality Analysis Screening Assessment has been completed | Jackie Mould Assistant Chief Executive's Directorate | High | Quarterly | 100% | ✘ | | | | | | | | | | | | | | | Of the 24 reports presented to Cabinet during the Quarter 1 period 8 had Initial Equality Screening Assessments attached and 8 had full EAs attached which meant they did not require a screening. Therefore in total 16 reports required Initial Screening Assessments and only 8 where completed. The proportion completed equates to 44.4%. A new process in relation to Equality Analyses was introduced in May/June and this is supported by an Equality Screening and Analysis Guide, Initial Equality Screening Analysis form and revised Equality Analysis form. A presentation regarding the revised Equality Analysis process was also provided at the Wider Leadership session on 22nd May. The steps taken during Quarter 1 along with a revised report checklist and checks during the report approval process is expected to improve performance from Quarter 2 onwards. |

COUNCIL PLAN 2017-20

Performance report and key achievements/activities

Period: Quarter 1 (April – June 2019)



www.rotherham.gov.uk

EXECUTIVE SUMMARY

About this report

This report sets out how the Council has performed in the first quarter of 2019/20 to deliver the vision and priorities for Rotherham as set out in the Council Plan for 2019-20. 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 69 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.

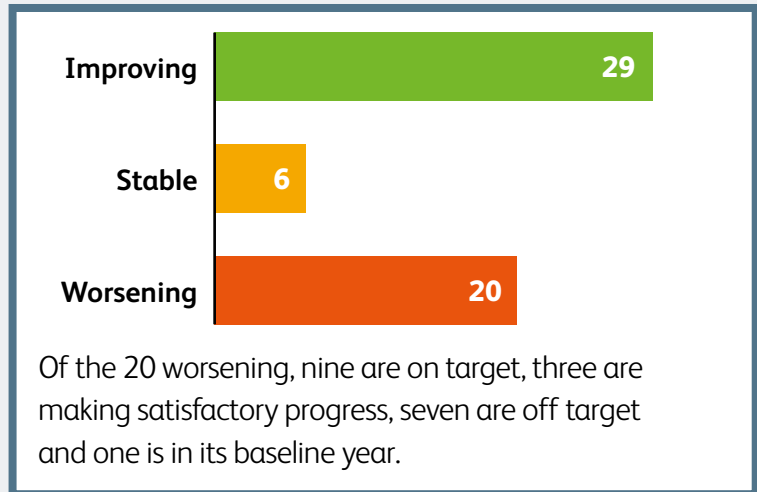
Through Directorate and Service-level Business Plans the Council carries out wider work to measure performance and quality. This report is intended to provide an overview of the contribution that the Council makes across all of its activities to improving Rotherham as a place to live, work and spend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



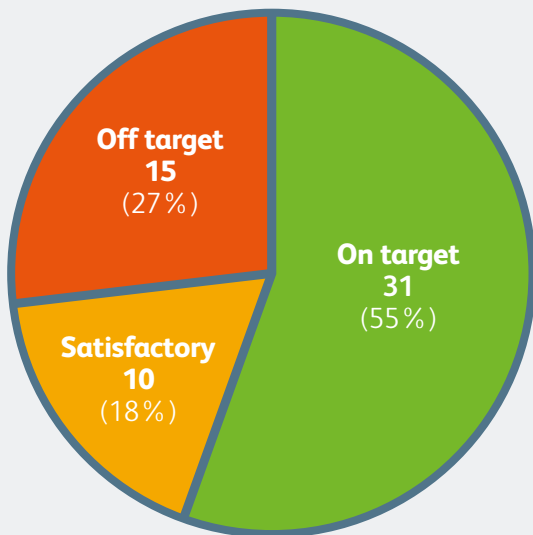
Performance overview to 30 June 2019

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

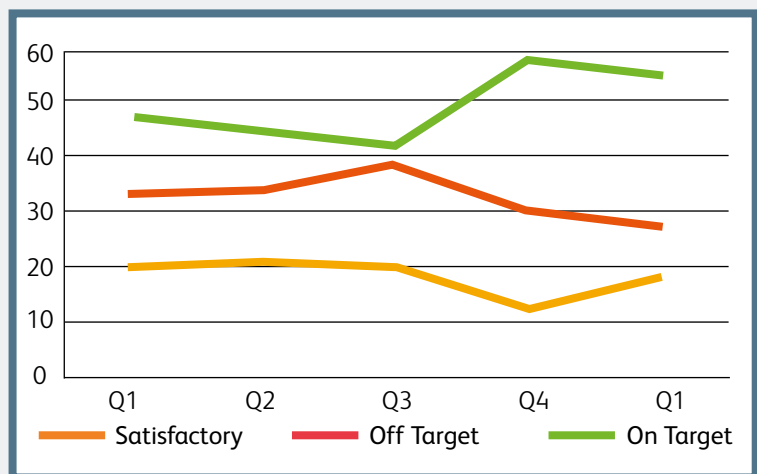
Direction of Travel



Target Status



Percent Overall Status Trend



(The overall totals in the diagrams may differ because some measures, which have a direction of travel, do not have a status rating (on target, satisfactory or off target) as this is not applicable. These are measures where no target has been set, however good performance (high or low) is still applicable).

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 that progress is being made.

Performance status broken down by priority



Corporate Priority 1
Every child making the best start in life



Corporate Priority 2
Every adult secure, responsible and empowered



Corporate Priority 3
A strong community in a clean safe environment



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



Corporate Priority 5
A modern, efficient Council



FINANCE UPDATE

As at the end of June 2019, the Council reported a forecast overspend of £4.5m. There continues to be significant cost and service pressures for both Children's and Adult social care.

There is a forecast overspend of £4.3m against budget within Children and Young People's Services Directorate largely due to residential placements being above profile.

Adult Care Directorate is forecasting an overspend of £1.7m, largely as a result of demand for services. People are presenting with increasingly complex needs and the average number of hours for a domiciliary care package is increasing.

The overspends in social care are offset by an underspend of £1.5m from the Central Services budgets, largely as a result of savings from treasury management activity.

Further management actions are being identified to ensure the Council achieves a balanced budget, thereby avoiding the need to call on corporate reserves.



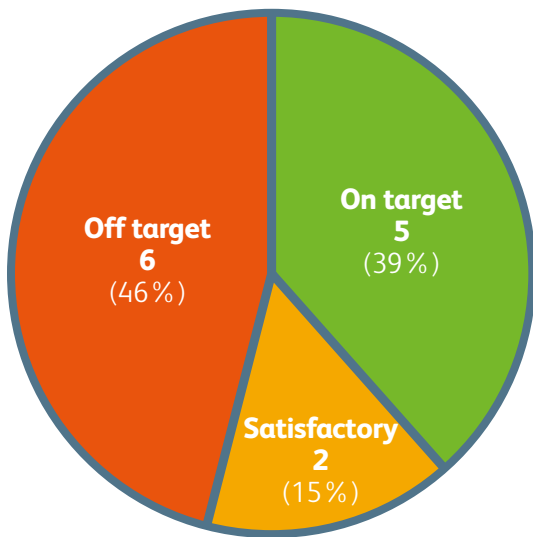


PRIORITY 1: Every child making the best start in life

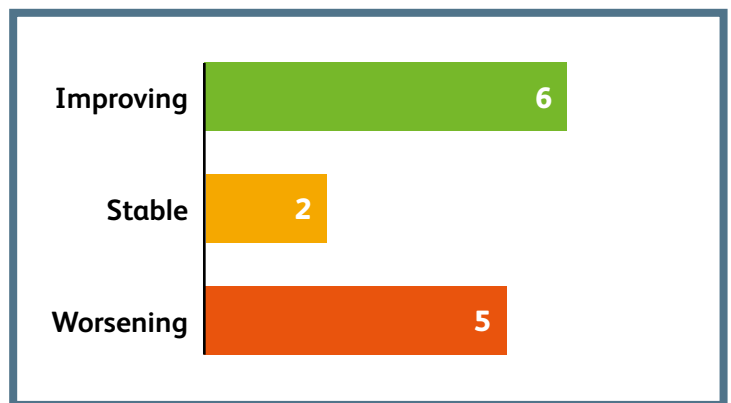
Performance headlines

The diagrams below provide an overview of performance (status and direction of travel) in relation to the priority (where data is available or where targets have been set).

Target Status



Direction of Travel



(Of the five worsening, three are off target, one is one target and one is satisfactory).

(Note: The overall totals in the diagrams may differ because some measures, which have a direction of travel, do not have a status rating (on target, satisfactory or off target) as this is not applicable). These are measures where no target has been set, however good performance (high or low) is still applicable).

Areas performing well or improving



(measures which are on track and direction of travel is improving)

Children's Social Care Improvements

(1.A1) Children in Need rate (rate per 10K population under 18)
321.5 children against a target of 375.5 (lower is better).

Special Educational Needs and Disabilities (SEND)

(1.B6) The proportion of Education and Health Care Plans (EHCPs) that are completed in statutory timescales
86% against a target of 55% (higher is better).

Smoking Status at time of Delivery

(1.C1) Smoking status at time of delivery (women smoking during pregnancy)
17.9% (annual total 2018/19) against a target of 18% (lower is better).

Areas for improvement



(measures which are off track and direction of travel is worsening)



(1.A2) The number of children subject to a child protection plan (rate per 10K population under 18)

94.8 against a target of 90 (lower is better).

The number of children becoming subject to a plan have been steadily reducing since June 2018 as expected (despite an increase in demand in April/May 2019). This will be monitored as part of the Performance Meetings.

(1.A5) The proportion of children who are subject to repeat child protection plans (within 24 months)

10.1% against a target of 7% (lower is better).

Trend data for the proportion of children subject to repeat plans within 24 months has shown an improving trend with a recent peak in Q1 which is currently being explored via dip sampling within the Safeguarding service.



(1.A8) The proportion of looked after children placed within a Family Based setting

81.7% against a target of 85% (higher is better).

The numbers of children in a family based setting has remained fairly consistent for much of the past 12 months at circa 82%. The impact of the market management project should have a positive impact with additional foster carers in Rotherham.

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

Lead accountability

Jon Stonehouse, Strategic Director Children and Young People's Services

Where are we now?

Although demand continues to be relatively high at all levels of social care intervention, the Council is continuing to see a downward trend in the overall numbers of children subject to a 'Child in Need' (CiN) plan, 'Child Protection' (CP) plan and becoming 'Looked After' (LAC).

At the end of Quarter 1 Rotherham had 321.5 children per 10k population (under 18) subject to a CiN plan which continues to be below the national average and better than the local target set of 375.5. Targeted work has begun with early help colleagues to scrutinise the interface between children social care (S17) and 'early help' to ensure that step down/step up processes are working consistently in the best interest of children and families, as well as supporting demand management through timely and appropriate interventions. This work will progress into Quarter 2 with its findings evaluated in the context of the social work pathway work.

Quarter 1 has shown a slight increase in the number of children subject to a CP plan, however, future projections would indicate an overall downward trajectory despite some increase in demand in April/May 2019. This should become more evident as analysis would indicate a number of CP plans are predicated to cease in the second quarter.

In June the number of LAC reduced to 634 (111.3 per 10k of population), which is below the end of June target (648) in the Demand Management Strategy. An annual report was presented to the CYPS leadership team on 27th June 2019, outlining and evidencing the impact of the Intensive Intervention Programme provided by the Rotherham Therapeutic Team on placement stability.

The number of young people currently assessed as medium/high risk of CSE has remained stable over the past 12 months, with this also being reflected through Quarter 1. The overall number is 21; 16 medium and 5 high risk. The new strategy to prevent and tackle child exploitation has been signed off by the Rotherham Safeguarding Children's Board (RSCB) with a commitment to a renewed partnership wide exploitation training offer. This will support a retained and renewed focus on CSE as well as Child Criminal Exploitation (CCE).

This downward trend in the overall numbers of children subject to a 'Child in Need' (CiN) plan, 'Child Protection' (CP) plan and becoming 'Looked After' (LAC) would appear to be as a result of a number of factors which include:

- Service managers continue, as part of the normal business cycle, to lead and support reviews of all CiN work open 6 months or more. This programme of work is continuing to provide appropriate 'check' and 'challenge' and is overseen by the responsible head of service. Such work allows service managers to have operational oversight on cases that might be susceptible to drift and provides added value and assurances that children and their families are receiving appropriate and timely interventions
- Service managers regularly review the quality assurance work of the CP case conference chair and a formal three monthly meeting is now held with team managers to disseminate the findings/thematic issues on a regular cycle
- Signs of safety and problem solving by families, continues to be promoted across the service (where appropriate). Targeted work in Quarter 1 has sought to strengthen pre proceedings work through a task and finish review facilitated by a newly formed Public Law Outline (PLO) development group
- Children subject to pre proceedings are reviewed by the Public Law Outline (PLO) manager each week and a report is prepared for the PLO panel. To support and help the Council's understanding of the impact of pre proceedings work in Rotherham and add extra rigour, the Council has begun to broker conversations with the University of Sheffield
- The Right Child Right Care (phase 2) project is continuing and has considered a cohort of 148 children. 94 of these children now have a plan linked, with discharge from care being progressed; 46 children are no longer in scope with their plans having been confirmed as them requiring ongoing care; and further work is required in relation to 8 children to determine their plan
- A report outlining the outcomes achieved through the Intensive Intervention Programme (IIP) was received by the CYPS leadership team. Whilst it was recognised that the programme had an evidenced impact on placement stability and consequently on cost avoidance by diverting LAC from the 'progression' to Out of Authority (OoA) placements, consideration is being given regarding the future funding of the programme. One option currently under consideration is to use the IIP to support a number of step-down plans from OoA to foster care in order to achieve actual cost savings on the placement budget.

Next steps:

- Continue to embed Signs of Safety as a “strengths based” model internally and with partners. It is expected this will support a safe reduction in the number of children needing to become subject to CP planning, ensuring effective safety planning at every stage of the child’s journey. A PLO Development Group will look to implement Signs of Safety and training/coaching style workshops will take place to support the implementation (by September 2019)
- Task and finish work is ongoing to explore the role of CP planning in relation to contextual safeguarding where the risk is posed outside of the family, to ensure safety planning on disruption around the child and family (September 2019)
- Targeted work is taking place to scrutinise the interface between children social care (S17) and ‘early help’ to ensure that step down/step up processes are working consistently in the best interest of children and families as well as effectively supporting demand management.

Risks and Issues

| Risk/issue | Mitigation |
|--|--|
| <p>Poor foster care recruitment and market saturation would impact on the on-going ability of RMBC to place an increasing proportion of LAC in family based settings.</p> | <p>The revised Foster Care Allowance Scheme was approved by Cabinet on the 8th July and this, in conjunction with a relaunch of the Pathways to Care Policy, should provide greater incentive to foster carers to look after older children and offer more than one placement.</p> |
| <p>Current trend of reducing numbers of LAC may increase for a variety of reasons, including ongoing police operations or a number of large sibling groups being admitted to care.</p> | <p>Senior management oversight of children being admitted to care will continue via the Public Law Outline (PLO) Panel, considering all admissions to care to ensure all alternative care options have been fully considered. The Right Child Right Care (RCRC) (phase 2) project is also contributing to the reduction of children in care with discharge plans being regularly tracked via supervision and performance meetings.</p> |
| <p>Workloads remain high across the service and this may impact negatively on social worker capacity.</p> | <p>Successful recruitment of newly qualified social workers has been completed and as these staff take up their posts this will reduce pressure on caseloads. Equally managers are reviewing work to ensure that step down work and case closures are completed in a timely manner so as to minimise delay.</p> |
| <p>A further reduction in CSE cases could flag a concern that the operating guidance updates were not well understood.</p> | <p>We have training embedded for staff to ensure they have an effective understanding of the risks related to both CSE and CCE. There are good information sharing arrangements across the partnership with weekly intelligence meetings focusing on risks of CSE and CCE to ensure work is completed early to reduce risks.</p> |

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

Lead accountability

Jon Stonehouse, Strategic Director Children and Young People's Services

Where are we now?

63% of primary schools have now converted to become an academy and a further 10% of schools have approval to convert and are currently in the conversion process. Academies are not under local authority control and report directly to the Department for Education (DfE) regarding their performance. Some academies in Rotherham do work with Rotherham's School Improvement Service (RoSIS) and engage with the traded service offer available to all Rotherham schools. Regular termly meetings with the Regional Schools Commissioners (RSC) office take place to highlight the importance of cooperation and collaborative working with all academies/Multi Academy Trusts.

Forge Teaching School are in the process of completing the final evaluation of the 'Enhancing Language Acquisition' project with plans for it to be extended, because of its success. Early indications are that the vocabulary growth of children in Rotherham schools that have worked with the Bedrock materials is greater than national.

Quarter 1 2019 saw 6 secondary school permanent exclusions made, which is comparable with the same period in 2018 (5 permanent exclusions). In respect of primary schools, 5 permanent exclusions were made during Quarter 1 which compares less favourably with 2018 (1 permanent exclusion). The Primary Pupil Management Groups have lost some momentum in offering peer support. There are small numbers of very young (Foundation Stage and Key Stage 1) pupils in schools with complex Social, Emotional and Mental Health (SEMH) needs. The work to progress the Primary Outreach Team is on target and this team should be operational in September 2019 to support and advise schools that have pupils at risk of permanent exclusion. Work informing the SEMH Strategy and within the Rotherham Education Strategic Partnership (RESP) is ensuring the need to address exclusions is seen as everybody's business.

The annual target for the proportion of 16-17 year olds Not in Education, Employment or Training (NEET) is measured as an average across Dec, Jan and Feb and the combined NEET and Not Known target for 2019/20 is 5.8%. This can be broken down to 3.3% NEET and 2.5% Not Known. At the end of Quarter 1 an average of 6.1% (2.5% NEET and 3.6% Not Known) has been achieved. The fluctuations in the figures are usual for this time of year as current academic year courses come to an end.

The significant increase in Education and Health Care Plan (EHCP) referrals during May was noticeable and although June has seen a considerably lower level of these received, this was still above the average expected in a month. The increase is most likely attributable to the continuing end of year work in schools, where attention turns to transition and end of year outcomes for pupils thereby triggering requests for assessment to increase the support over the coming year. A reasonable proportion of these are parental requests and also relate to pupils in Y6, which could be directly attributed to uncertainty around transition across phases and the 'unknowns' in relation to support at secondary.

Recruitment to the Education, Health and Care Assessment Team is now being completed, which will contribute to increased capacity over the coming weeks to support the service in meeting the statutory requirements for assessment. Both a new senior coordinator and a full time coordinator are to take up post in July 2019, with two assistant coordinators beginning in August 2019 and September 2019. All new staff will therefore be in post by September 2019.

Next steps:

- The project for KS2 and KS3 pupils to improve writing skills, particularly for the most disadvantaged pupils, has continued and the impact analysis to date has been very positive. Termly meetings continue to be held and evaluations collected at the end of each meeting. Data is currently being submitted by schools for the summer term and will be analysed early in the autumn term (October 2019)
- Work has now commenced on the collection of the September offer data to ensure that, where possible, those not engaging in Education, Employment or Training (NEET) have a planned goal for the new academic year, whilst addressing/reducing potential dropout from those currently participating (September 2019). To support exclusions, schools are to take on board the recommendations both of the Timpson Review of Exclusion (May 2019) and the new Ofsted inspection framework (starting September 2019). A reconfiguring of the Education Other than At School (EOTAS) Exclusions Team is also taking place in September 2019, to ensure the existing EOTAS team members have relevant current job profiles and to move them into Education Services within CYPS (currently part of Inclusion Services)
- Continued support and induction is required for new staff joining the Education, Health and Care (EHC) service so that they can become familiar with the processes and legal duties associated with the work of an EHC team. Continued staff development and training will include wider implications of the Special Educational Needs (SEN) Code of Practice and legal implications. The aim is to develop systems and processes within the team so that continuity of work and timescales are improved. This work is expected to conclude during September 2019.

Risks and Issues

| Risk/issue | Mitigation |
|---|---|
| Exclusion rates are unpredictable and depend entirely upon many external factors, including the national education agenda, changes in leadership, community issues and school funding. | A draft SEMH strategy has now been published for consultation and SEN sufficiency work has started to increase specialist provision and alternative education places for children with SEN. |
| Sufficiency issue within the EHC team due to increased demand. | Increase in core staffing due to recommissioning of Rotherham North Notts College (RNN) contract. A review of caseload distribution to inform service re-organisation. Increased patterns of support and supervision for the team to support the management of caseloads and difficult cases. |
| Implementation of the new EHC plan format both in terms of staff training and altering of existing plans to the new format. This is likely to impact on capacity and efficiency of meeting statutory deadlines. | A planned and measured conversion to the new EHC plan will be required in terms of which groups of existing plans are converted first and how this will impact. |

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

Lead accountability

Terri Roche, Director Public Health

Where are we now?

1.C1 Smoking Status at Time of Delivery

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.

South Yorkshire and Bassetlaw Integrated Care System – Local Maternity System (LMS) has outlined that each place must have a Maternity Transformation Place Plan based on 6 Key Lines of Enquiry (KLOE). In response to the ‘Smoking in pregnancy’ KLOEs a smoking cessation sub group has been set up to move the work forward with The Rotherham NHS Foundation Trust (TRFT), NHS Rotherham Clinical Commissioning Group and Public Health. The group are meeting monthly and have produced an action plan, with thirty work-streams identified.

Linked to the work-streams was the recruitment of an additional quit smoking in pregnancy midwife, who is now in post. Additionally, the Quit Smoking team have returned to Greenoaks, so will be better placed to work with midwifery. Further additional resources include the purchase of model placentas which show the effect of smoking. Smoking cessation continue to work with TRFT communications to improve messages given out.

The Quit Smoking team are currently building up expertise to work with vulnerable groups using a person-centred approach, non-verbal communication and a phone line for translation (which can be difficult). The service has had some success with the Roma community.

The TRFT Quit Smoking in Pregnancy Service 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.

Quits achieved by Service

| 2017/18 | Quit | 2018/19 | Quit | 2019/20 | Quit |
|--------------------|------|--------------------|------|--------------------|------|
| Q1 (April to June) | 34 | Q1 (April to June) | 26 | Q1 (April to June) | n/a |
| Q2 (July to Sep) | 37 | Q2 (July to Sep) | 34 | | |
| Q3 (Oct to Dec) | 44 | Q3 (Oct to Dec) | 35 | | |
| Q4 (Jan to Mar) | 24 | Q4 (Jan to March) | 35 | | |

The KPI is to achieve 129 quits per year (average 10.8 quits a month, 32 per quarter). Despite a lower Quarter 4 the full year total for 2017/18 was 139 (11.6 quits a month), and above target. For 2018/19, Quarter 1 was below target, but the last three quarters were all rated green and the full year target was achieved (total quits 130, average 10.8 quits per month). Data is not yet available for Quarter 1 2019/20.

Smoking Status at Time of Delivery (SATOD – percentage) No data is available yet for Quarter 1 2019/20, therefore the latest data is for Quarter 4 2018/19. Figures increased from 17.6% to 19.6% between Quarter 3 and Quarter 4 2018/19 (lower is better). However, the 2018/19 full year position was 17.9% and achieved the target, so overall status is shown as green.

Childhood Immunisation – DTaP/IPV/Hib (2 years) Data is not available for Quarter 1 2019/20 or full year 2018/19 at present (both due September 2019). The latest data for Quarter 4 2018/19 of 97.1% is well above the target level of 95% (the level set nationally to ensure control of vaccine preventable diseases). However, although the overall Rotherham level is green, there are a few pockets of low uptake in the borough. NHS England is working with GP practices in Rotherham which have a low uptake in their area (generally the more deprived areas) to ensure equity of access across the population.

Next steps:

- Additional quit smoking in pregnancy midwife is in post from April 2019. This will enable a full time presence in Greenoaks. Antenatal, to implement the 'Risk perception tool'
- To continue the good engagement from The Maternity Voices Partnership (public voice)
- To continue to build recognition across the hospital trust as part of the QUIT programme that tobacco dependency is a chronic, relapsing clinical condition that prematurely kills at least half of people who smoke. Smoking is seen as a medical condition that can be treated, rather than as a lifestyle choice.

Risks and Issues

| Risk/issue | Mitigation |
|--|--|
| <p>1.C1 Achievement has fluctuated over the period of the corporate plan, but given current additional work and resource supporting midwifery smoking cessation work it is hoped to achieve target level or below and, over time, reduce the gap with England average. The aim is to provide evidence of the effectiveness of an additional midwife, and for the post to potentially become permanent. However, adult smoking prevalence in the general population has increased recently (from 16.2% in 2017 to 18.9% in 2018) and in routine and manual workers (from 22.8% to 29.9%) and this may impact on women smoking during pregnancy.</p> | <p>The Service continues to be performance managed.</p> |
| <p>Rotherham 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.</p> | <p>South Yorkshire and Bassetlaw Integrated Care System – Local Maternity System (LMS) and sub-group are working to decrease the smoking in pregnancy figures.</p> <p>Wider tobacco control work is on-going which will promote a reduction in general population smoking prevalence and contribute to reducing Smoking Status at Time of Delivery (SATOD), such as supporting the hospital to implement the South Yorkshire QUIT programme.</p> |

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

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

| Outcome | Lead Accountability (Strategic Director) | Ref No. | Action | Measure | Lead officer | Good performance | Frequency of reporting | Target | Overall status | DOT | 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 2016/17 | Year end 2017/18 | Year end 2018/19 | Q1 Apr - June 2018 | Q2 Jul - Sep 2018 | Q3 Oct - Dec 2018 | Q4 Jan - Mar 2019 | Q1 Apr - June 2019 | Apr-19 | May-19 | Jun-19 | | | |
| | | | | | | | | | | | | | | | | | | | | | | | | 320 | 359.8 |
| A. Children, young people and families are protected and safeguarded from all forms of abuse, violence and neglect | Jon Stonehouse, Strategic Director Children and Young People's Services | 1.A1 | Early Help – Supporting Children, young people and families at the right time with the right care | Children in Need rate (rate per 10K population under 18) | Ailsa Barr - CYPS | low | Monthly | 375.5 | ✔ | 🔄 | | | | | | | | | | | | | The number of Children in Need (CIN) cases open (1831); continues to remain stable with the overall population reducing by 135 children since Jan 2019 (1966). | | |
| | | 1.A2 | | The number of children subject to a CP plan (rate per 10K population under 18) | Ailsa Barr - CYPS | low | Monthly | 90 | ✘ | 🔄 | | | | | | | | | | | | | The trend for the number of children per 10K population with a Child Protection Plan (CPP) remains significantly higher (94.8) than that of statistical neighbours (54.5) and the national average (45.3). However the numbers of children becoming subject to a plan each month have been steadily reducing since June 2018 as expected. This will be monitored as part of the Performance Meetings. | | |
| | | 1.A3 | | The number of Looked After Children (rate per 10k population under 18) | Ailsa Barr - CYPS | low | Monthly | 106 | ✘ | 🔄 | | | | | | | | | | | | | May was an extremely challenging month in respect of admissions due to a number of large sibling groups being admitted into care. However, with the 28 discharges in June and the 25 planned for July there is some degree of cautious optimism that net reductions can be achieved once again in the coming months. Children subject to pre-proceedings will be reviewed by the PLO panel. | | |
| | | 1.A4 | | 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 | 97.2% | 94.3% | 96.3% | 98.3% | 97.7% | 97.7% | 100.0% | 93.0% | 100.0% | The target of 95% has been exceeded with a Q1 figure of 97.7% | | |
| | | 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 | Ailsa Barr - CYPS | low | Monthly | 7% | ✘ | 🔄 | 4.7% | 9.2% | 9.5% | 6.5% | 8.2% | 7.2% | 4.7% | 6.5% | 10.1% | 9.4% | 9.5% | 10.1% | Trend data for the proportion of children subject to repeat plans within 24 months had shown an improving trend with a recent peak in Q1 which is currently being explored via dip sampling within the Safeguarding service. | | | |
| | | 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 | Ailsa Barr - CYPS | Not applicable | Monthly | No target - not applicable | □ | | Not Available | 64 | 85 | 63 | 72 | 55 | 64 | 63 | 54 | 61 | 60 | 54 | Whilst the cohort itself has reduced over recent months this has evened out and the reduction trend appears to have stabilised. | | | |
| | | 1.A7 | Placements - Improve Quality of Care for looked after children | The proportion of LAC experiencing disrupted placements (Definition: % of LAC who have had 3 or more placements - rolling 12 months) | Ailsa Barr - CYPS | Low | Monthly | 11.0% | ✘ | 🔄 | 13.0% | 11.9% | 13.4% | 12.7% | 13.8% | 12.5% | 12.8% | 12.7% | 12.4% | 13.0% | 12.1% | 12.4% | The numbers of LAC having 3 or more placements over a 12 month period has improved further in Q1 of this financial year and now stands at 12.4% which is just 0.5% short of the best performance for the previous 18 months. The Intensive Intervention Programme to support the high risk placements. | | |
| | | 1.A8 | | The proportion of LAC placed within a Family Based setting | Ailsa Barr - CYPS | high | Monthly | 85.0% | ✘ | 🔄 | Not Available | 81.1% | 81.0% | 82.3% | 81.0% | 82.3% | 83.8% | 82.3% | 81.7% | 81.7% | 81.8% | 81.7% | The numbers of children in a family based setting has remained fairly consistent for much of the past 12 months at circa 82%. The impact of the market management project will have a positive impact with additional foster carers in Rotherham | | |

| Outcome | Lead Accountability (Strategic Director) | Ref No. | Action | Measure | Lead officer | Good performance | Frequency of reporting | Target | Overall status | DOT | Annual | | | | | | | | | | | | Monthly | | | Data notes (where measure has not progressed in accordance with the target set provide details of what is being done to improve performance) | | | |
|--|---|----------|---|--|--|------------------|------------------------|--|----------------|-----|------------------|---|---|---|---|---|---|---|---|---|---|---|--|--|--|--|--|--|--|
| | | | | | | | | | | | Annual | | | | Quarterly | | | | | Monthly | | | | | | | | | |
| | | | | | | | | | | | Year end 2015/16 | Year end 2016/17 | Year end 2017/18 | Year end 2018/19 | Q1 Apr - June 2018 | Q2 Jul - Sep 2018 | Q3 Oct - Dec 2018 | Q4 Jan - Mar 2019 | Q1 Apr - June 2019 | Apr-19 | May-19 | Jun-19 | | | | | | | |
| B. Children and Young people are supported to reach their potential | Jon Stonehouse, Strategic Director Children and Young People's Services | 1.B1 | Sustainable Education and Skills | The proportion of pupils reaching the expected standard in reading, writing and mathematics combined at the end of Key Stage 2 | Pepe Diasio Assistant Director Education and Skills | high | Academic Year | 65% | ■ | | 53.9% | 60.8% | 62.0% | Measure Not Due | | | | | | | | | | | | | | | |
| | | 1.B2 | | The average attainment 8 score at the end of Key Stage 4 | Pepe Diasio Assistant Director Education and Skills | High | Academic Year | 46 | ■ | | 48.8 | 45.0 | 43.3 | Measure Not Due | | | | | | | | | | | | | | | |
| | | 1.B3 | | The progress 8 measure from the end of primary school (KS2) to the end of secondary school (KS4) | Pepe Diasio Assistant Director Education and Skills | high | Academic Year | No target - new measure | ■ | | 0.04 | 0.06 | -0.11 | Measure Not Due | | | | | | | | | | | | | | | |
| | | 1.B4 (a) | Sustainable Education and Skills – Reduce the number of school days lost to exclusion | The number of permanent exclusions in secondary schools | Jenny Lingrell, Joint Assistant Director of Commissioning, Performance and Inclusion | low | Monthly | 38 | ● | ⌚ | 43 | 30 | 41 | Measure Not Due | 5 | 13 | 12 | 10 | 6 | 5 | 0 | 1 | Exclusions are being addressed within the SEMH Strategy which is currently out for consultation. | | | | | | |
| | | 1.B4 (b) | | The number of permanent exclusions in primary schools | | | | 8 | ✗ | ⌚ | 9 | 8 | 3 | Measure Not Due | 1 | 0 | 3 | 5 | 5 | 2 | 1 | 2 | The Primary Outreach Team for SEMH is currently recruiting staff, to launch September 19 to support preventative work. | | | | | | |
| | | 1.B5 | Sustainable Education and Skills – Enable hard to reach young people to achieve their full potential through education employment or training | The proportion of 16-17 year olds Not in Education, Employment or Training (NEET) or whose activity is Not Known (NK) i) % 16-17 year old NEET ii) % 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) | ● | ⌚ | 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) | 5.8% combined i) 3.3% (NEET) ii) 2.5% (Not Known) | 6.5% combined i) 3.5% (NEET) ii) 3.0% (Not Known) | 16.4% combined i) 1.4% (NEET) ii) 15% (Not Known) | 7.7% combined i) 3.1% (NEET) ii) 4.6% (Not Known) | 5.4% combined i) 3.3% (NEET) ii) 2.1% (Not Known) | 6.1% combined i) 2.5% (NEET) ii) 3.6% (Not Known) | 6.1% combined i) 2.5% (NEET) ii) 3.6% (Not Known) | 6.1% combined i) 2.4% (NEET) ii) 3.7% (Not Known) | 6.1% combined i) 2.4% (NEET) ii) 3.7% (Not Known) | The annual target is measured as an average across the Dec, Jan and Feb returns. At the end of Q1 achieved an average of 6.1% which reflects expected seasonal trends. This measure has therefore been rated as amber. Early Help staff continue to target the NEET cohort and work with colleges and partners around those who are not known. | | | | | | |
| | | 1.B6 | Special Educational Needs and Disabilities (SEND) – Improve personal outcomes for our young people with SEND to enable them to make choices that lead to successful adult lives | The proportion of Education and Health Care Plans (EHCPs) that are completed in statutory timescales | Jenny Lingrell, Joint Assistant Director of Commissioning, Performance and Inclusion | high | Monthly | Qtr 1 - 55% Qtr 2 - 70% Qtr 3 - 85% Qtr 4 - 90% (cumulative) | ✓ | ⌚ | 58.30% | 52% | 57.0% | 57.1% | 48.0% | 65.0% | 51.0% | 64.0% | 86.0% | 94.0% | 69.0% | 89.0% | Progress is being made towards all children and young people having an Education, Health and Care plan issued within statutory timescales. May/June saw a significant increase in requests for statutory assessment which has created impact on the service in terms of capacity. This will continue into Q2 due to the timescales in relation to assessment. | | | | | | |
| 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) | Gilly Brenner, Consultant in Public Health | Low | Quarterly | 18% | ✓ | ⌚ | 18.1% | 17.1% | 19.9% | 17.9% | 16.4% | 18.1% | 17.6% | 19.6% | n/a (due September 2019) | | | | Smoking at time of delivery (SATOD)(1C1) increased from 17.6% at Q3 to 19.6% at Q4 which is worse based on quarterly data (lower is better). However, full year data for 2018/19 was 17.9% and achieved the 2018/19 target of 18% so 'Overall status' is rated green. Additionally, the percentage for SATOD decreased from 19.9% to 17.9% between 2017/18 and 2018/19 so Direction of Travel (DOT) is shown as improving. | | | | | | |
| | | 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 influenzae type b) | Gilly Brenner, Consultant in Public Health | High | Quarterly | 95% | ✓ | ⌚ | 96.7% | 96.7% | 97.2% | n/a (due September 2019) | 96.8% | 98.3% | 97.8% | 97.1% | n/a (due September 2019) | | | | Data for the latest quarter available (Q4 2018/19) was 97.1% and above the target level of 95% (higher is better). Therefore, the measure is progressing above or in line with the target set (criteria for rating as green) Full year position to be confirmed September 2019. National target is 95% to ensure control of vaccine preventable diseases. | | | | | | |

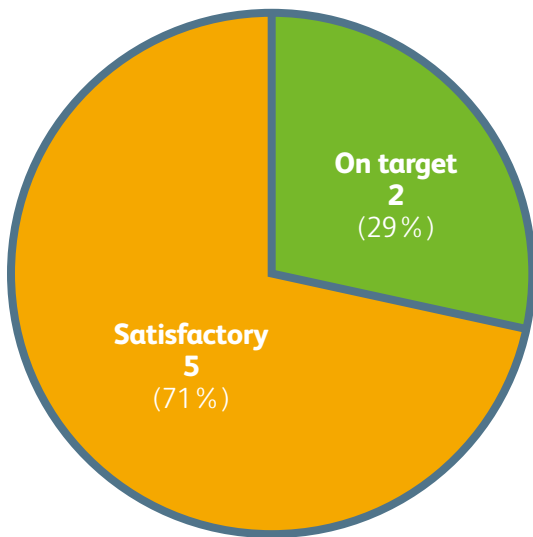


PRIORITY 2: Every adult secure, responsible and empowered

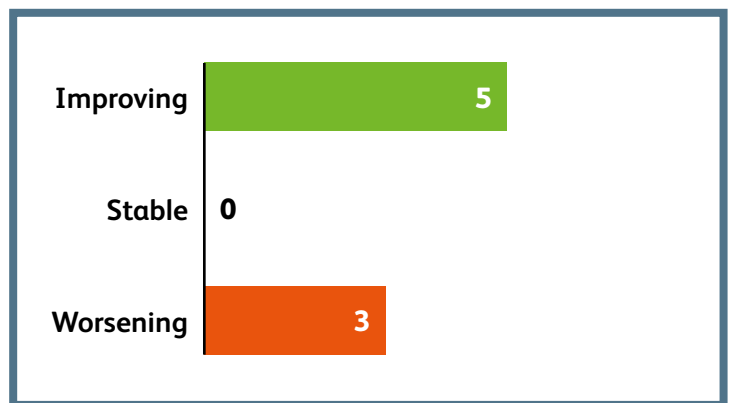
Performance headlines

The diagrams below provide an overview of performance (status and direction of travel) in relation to the priority (where data is available or where targets have been set).

Target Status



Direction of Travel



(Of the three worsening, two are on target and one is in its baseline year).

(Note: The overall totals in the diagrams may differ because some measures, which have a direction of travel, do not have a status rating (on target, satisfactory or off target) as this is not applicable). These are measures where no target has been set, however good performance (high or low) is still applicable).

Areas performing well or improving



(measures which are on track and direction of travel is improving)



(2.B2) The proportion of people contacting adult social care who are provided with information and advice at first point of contact (to prevent service need).

39.3% of people provided with information and advice at first point of contact, against a target of 40% (higher is better).

Note – the status of this measure is ‘amber’ satisfactory progress made.

Areas for improvement



(measures which are off track and direction of travel is worsening)



(2.B7) All age numbers of new permanent admissions to residential nursing care for adults.

81 All age new permanent admissions to residential nursing care for adults against an annual target of 280 (lower is better).

(2.B8) All age total number of people supported in residential/nursing care for adults.

931 All age people were supported in residential/nursing care for adults against a target of 900 (lower is better).

Note – the status of these measures is 'amber' satisfactory progress made.

Day to day management and oversight of new admission activity is undertaken by managers and quality checked within weekly Wellbeing Forum sessions.

Monthly performance is discussed by the senior managers accountable and reviewed against existing on-going performance clinic actions.

Outcome A: Adults are enabled to live healthier lives

Lead accountability

Terri Roche, Director Public Health

Where are we now?

This national drug treatment indicator considers the number of successfully treated patients as a proportion of all patients in the service, so achieving it relies not only on those who are successfully discharged from treatment not returning, but also on a higher proportion of patients becoming ready for discharge. Despite the implementation of the new clinical tools to identify those who might be ready to leave treatment, and the offer of more recovery support, patients prescribed methadone are not ready to come off their prescriptions at the rate needed to deliver this target. The reasons for this include uncertainty about the ability to return to treatment in the future, despite reassurance, long term reliance on the drugs (which for many has supported them to carry on a normal life) and a range of other complex and pressing issues in their lives. However, those who have completed treatment and left the service in the last year are not re-presenting, and Rotherham's rate of returning into service is currently low at 5% compared with a national average of 17%. This gives confidence that the packages of care are the right ones, but must be carefully tailored to individual needs. It is expected that the Public Health Outcomes Framework (PHOF) figures will catch up with the local trend, which is seeing increased numbers leave the service each month, later in the year.

National data for successful completion of treatment showed a decrease from 3.5% to 3.1% between Quarter 3 and Quarter 4 2018-19 (higher is better). Rotherham is RAG rated as 'red' (lower) when compared to the England average (6.0%). The most up to date PHOF data is showing 3.7% for April 2019 and 3.8% for May. June data (Quarter 1) will not be available until September 2019.

Priority 2: Every adult secure, empowered and responsible

Next steps:

- The actions from the Care Quality Commission inspection which rated Change Grow Live Rotherham (CGL) as 'requires improvement' will be implemented. These actions also support the exits and recovery agenda
- The service will continue to implement the opiates action plan but will also need to be mindful of keeping all the other performance in line with national positions e.g. non opiates and alcohol successful completions.

Risks and Issues

| Risk/issue | Mitigation |
|---|---|
| It is vital that the service has patient safety as its first priority, despite the need to improve the numbers of patients who leave treatment. | Health Select Commission (HSC) continues to have scrutiny of the new service including reviewing drug related deaths. Public Health and CGL presented to HSC on 11th July 2019 and some additional actions were identified. |

Outcome: B Every adult secure, responsible and empowered

Lead accountability

Anne Marie Lubanski, Strategic Director Adult Social Care and Housing

Where are we now?

The new Target Operating Model (TOM) for Adult Social Care remains on target to start in late October 2019. Formal consultation on the proposed model closed on 14th June and positive feedback was received from staff. A number of changes have been made as a result of the feedback, examples include an improved social worker progression pathway, increase in opportunities for vocationally experienced staff, additional resources in the transitions team and also the integrated discharge team based in the hospital.

During Quarter 1, all 7 of the applicable reporting measures were positively showing either as on target or had made satisfactory progress, providing assurance that the year-end targets will be achieved.

Performance highlights in relation to Quarter 1 include:

96% of people subject to a safeguarding enquiry felt their personal outcomes were met during Quarter 1. Variations in performance can be due to low numbers (for example, in June only 1 person out of 27 felt that their outcome was not met; during the Quarter 1 period, in total, only 3 people out of 75 felt that their outcomes were not met). Although quality assurance checks continue and every effort is made to maximise performance, it is possible that in some cases people may not feel their preferred outcomes were met, for example prosecutions.

Enabling people to self-serve or be signposted to universal services is a priority for Adult Social Care and various actions are being taken to ensure that appropriate information and advice is provided at first point of contact; examples include making use of assistive technologies such as the 'Alcove project' which uses devices like 'Alexa' to improve safety and wellbeing in a person's own home without the need for formal services. During Quarter 1 39.3% of people were provided with information and advice at the first point of contact, against a target of 40%. As the new TOM is rolled out, appropriate action will be taken to ensure that there remains a focus on providing good quality information and advice to customers.

Priority 2: Every adult secure, empowered and responsible

Carer’s assessment numbers have stabilised (143 in Quarter 1 against an annual target of 567) and are on target. This reflects the continued management focus within this service area and actions to further improve the carers offer, taking into account the new TOM.

The proportion of adults receiving long term community support via a direct payment continues to steadily increase (23.5 % Quarter 1, against a target of 25 %) and changes in practice have led to more choice and control for customers, rather than needs being met solely by commissioned services.

Work has been taking place to modernise the enablement service and early feedback has been positive. The service’s modernisation will support the new TOM and maximise independence for customers and in turn reduce the reliance on social care support.

Performance in relation to the proportion of new clients who receive the short term (enablement) service with an outcome of no further requests continues to be maintained (91.2% Quarter 1, against a target of 90 %) and alerts are in place to mitigate the risk of an increase in the number of new clients and to maintain performance.

To optimise independence and support people in their community, rather than in a 24 hour care setting, there has been a focus on reviewing short term residential and nursing placements. This has led to an increase in the number of new permanent admissions to residential and nursing care during the Quarter 1 period, when previously these would have become permanent during the course of the year. This has also had an impact on the total number of people supported in residential/nursing care and, although the numbers have continued to decrease (-2 in Quarter 1), the reduction is considerably less than in previous quarters. Changes in practice and strength based approaches to assessments are key to reducing demand for short stays/expectations and should lead to fewer new admissions than in previous years. Despite the increase in the number of new permanent admissions to residential and nursing care it is expected that these will reduce; a number of actions will be delivered alongside the Health and Wellbeing Forum to ensure that the targets are achieved.

Next steps:

- Over the next three months, alongside the usual day-to-day business, the service will primarily be focusing on the implementation phase of the TOM for Adult Social Care which will ‘go live’ in October. This is a significant development project, impacting across the whole of the service and includes;
 - Completing the recruitment process to new job roles and structures
 - Reviewing, refreshing and testing key processes and customer pathways across adult social care, including interfaces with health and other services
 - Ensuring I.T systems reflect the new ways of working and the right equipment is in place to support workers in a new agile working style
 - Establishing comprehensive performance management and case management reporting arrangements
 - Implementation of a staff training and development programme.

Risks and Issues

| Risk/issue | Mitigation |
|---|---|
| Intended outcomes of the new TOM may be affected or delayed if the necessary changes to service delivery do not happen. | The TOM has a detailed project plan and risk log so that any impact can be predicted and mitigated. |

Corporate Priority 2 – Every adult secure, responsible and empowered

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

| Outcome | Lead Accountability (Strategic Director) | Ref No. | Action | Measure | Lead officer | Good performance | Frequency of reporting | Target | Overall status | DOT | 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 2016/17 | Year end 2017/18 | Year end 2018/19 | Q1 Apr - Jun 2018 | Q2 Jul - Sep 2018 | Q3 Oct - Dec 2018 | Q4 Jan - Mar 2019 | Q1 Apr - Jun 2019 | Apr-19 | May-19 | | Jun-19 | |
| | | | | | | | | | | | | | | | | | | | | | | | | |
| A. Adults are enabled to live healthier lives | Terri Roche, Director of Public Health | 2.A1 | 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) | Gilly Brenner, Consultant in Public Health | High | Quarterly | 1.5% absolute increase on the value at new provider starting point in April 2018 (Target = 5.8%) | □ | 🔄 | 6.3% (2015) | 3.9% (2016) | 4.2% (2017) | n/a (due September 2019) | 4.2% | 3.8% | 3.5% | 3.1% | n/a (due September 2019) | | | | Despite the implementation of new clinical tools to identify those who might be ready to leave treatment, and the offer of more recovery support, patients prescribed methadone are not ready to come off their prescriptions at the rate needed to deliver this target. However, those who have completed treatment and left the service in the last year are not re-presenting, and this gives us confidence that the packages of care are the right ones, but must be carefully tailored to individual needs. | |
| | | 2.B1 | Make safeguarding personal | The proportion of Safeguarding Adults at risk who felt their outcomes were met. | Ian Spicer - Assistant Director of Independent Living and Support | High | Monthly | 98% | ● | 🔄 | 72% | 85% | 98.3% | 97.13% | 96.60% | 96.50% | 99.05% | 95.74% | 96.0% | 92.0% | 100.0% | 96.30% | In Q1 DoT trend positive, performance is better than final Q4 but is just below comparable Q1 (2018/19 = 96.6%) and year end 97.13%. Overall status assessed as progressing satisfactory but not quite at target. This measure's % is impacted significantly due to low numbers but on investigation the Service is confident that the QA processes support performance in achieving target. During Q1 only 3 records from 75 recorded outcome not met. Recording quality assurance checks and investigation continue to be monitored to maximise performance. | |
| | | 2.B2 | 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 | The proportion of people contacting adult social care who are provided with information and advice at first point of contact, (to prevent service need). | Jayne Metcalfe-Head of Service - Front Facing Services | High | Monthly | 40% | ● | 🔄 | N/A | N/A | N/A | 38.80% | N/A | N/A | 40.3% | 38.80% | 39.30% | 36.90% | 41.20% | 39.30% | In Q1 DoT trend positive, performance is better than final year end / Q4. The changed method of calculation to express as a percentage has meant that data for comparable Q1 is not available. Overall status assessed as progressing satisfactory but not quite at target, although this measure's Q1 % performance is within the expected outcome range of between 37% to 40%. | |
| | | 2.B3 | Improved approach to personalised services – always putting users and carers at the centre of everything we do | The proportion of Adults receiving long term community support who received a direct payment (excludes managed accounts) | Ian Spicer - Assistant Director of Independent Living and Support | High | Monthly | 25% | ● | 🔄 | 17.5% | 19.2% | 20.30% | 23.28% | 20.50% | 21.25% | 21.71% | 23.28% | 23.50% | 22.6% | 23.4% | 23.4% | In Q1 DoT trend positive, performance is better than final year end / Q4. The rolling year Q1 comparison shows a 2+% improvement and if the 2018/19 trend for in year outcomes is repeated then the service is confident that year end target will be achieved. | |
| | | 2.B4 | | Number of carers assessments | Jayne Metcalfe-Head of Service - Front Facing Services | High | Quarterly | 567 | ✓ | 🔄 | 2,420 | 771 | 2,051 | 556 | 123 | 148 | 95 | 173 | 143 | | | | In Q1 DoT trend positive, performance is 20 better than comparable Q1 and trajectory is above the Q1 milestone of 142 needed to meet target. Performance management actions remain in place and Service is engaging with all teams to sustain and improve performance service wide, also taking account of in year new TOM ways of working. Service is confident that year end target will be achieved. | |
| | | 2.B5 | Modernise Enablement Services to maximise independence, including: • Intermediate care • Enabling • Prevention agenda • Developing community assets | The proportion of people (65+) offered the reablement service after discharge from hospital | Chris Corton - Head of Service - Single Point of Access and Enablement Services | High | Annual | 2.6% | ■ | | | | 1.7% | 1.8% | 2.24% | 1.70% | | | 1.70% | | | | | Data will next be available in March 2020 |
| | | 2.B6 | | Proportion of new clients who receive short term (enablement) service in year with an outcome of no further requests made for support | Chris Corton - Head of Service - Single Point of Access and Enablement Services | High | Monthly | 90% | ✓ | 🔄 | 86.1% | 81.9% | 88.50% | 93.50% | 89% | 91% (Cumulative) | 90.4% (Cumulative) | 93.5% (Cumulative) | 91.20% | 97.00% | 92.30% | 88.88% | The Q1 performance is above year end target and trajectory is on track to meet target, however performance is lower in comparison to the high performance in Q4. There is an improvement of 2% than Q1 last year 2018/19. Performance management actions are monitoring Q1 activity to identify reasons for month on month downturn but this may be due to service changes and cohort profile of service users. This will continue to inform the service as it progresses to take account of in year new TOM ways of working. The national and regional averages are much lower at approximately 78% and 72% respectively. | |
| | | 2.B7 | Commission services effectively, working in partnership and co-producing with users and carers; use resources effectively. | All age numbers of New permanent admissions to residential nursing care for adults | Ian Spicer - Assistant Director of Independent Living and Support | Low | Monthly | 280 (Cumulative target) | ● | 🔄 | 432 | 356 | 334 | 303 | 70 | 145 (Cumulative) | 202 (cumulative) | 305 (Cumulative) | 81 | 39 | 24 | 18 | There has been a positive reduction of admissions from 103 in the last quarter of the previous year to 81 in Q1. Monthly data also demonstrates a positive DoT (reducing from a April high of 39 to a June low of 18). This number may have been lower however within Qtr 1 the service have been undertaking a targeted review of people with a current short stay status to ensure appropriate support package is in place and to avoid the normal year-end spike in long term admissions. This has meant effectively a front loading in Q1 rather than a gradual increase over the four quarters. This planned action re-profiled the 280 target into a staggered quarterly breakdown of 85 at Q1 and 65 for the three other quarters, however for this quarter the status has been assessed as Amber by the performance team and will be reviewed at quarter two if the admissions are 65 or lower. The service is monitoring admissions monthly and via HWB Forum and remains confident that year-end target will be achieved. | |
| 2.B8 | | All age total number of people supported in residential/nursing care for adults | Ian Spicer - Assistant Director of Independent Living and Support | Low | Monthly | 900 | ● | 🔄 | 1,288 | 1,111 | 1,023 | 933 | 998 | 975 | 943 | 933 | 931 | 941 | 939 | 931 | As per actions for 2.B7 the short stay reviews have also impacted on Qtr 1 overall number supported in residential care (as more become permanent than usual trend). However, the in Q1 1 trend is positive, from April high of 941 reducing to 831 by June and is 2 better than year-end total of 933. The Service will continue to monitor alongside actions for 2.B.7 to provide assurance that year end target will be met. | | | |

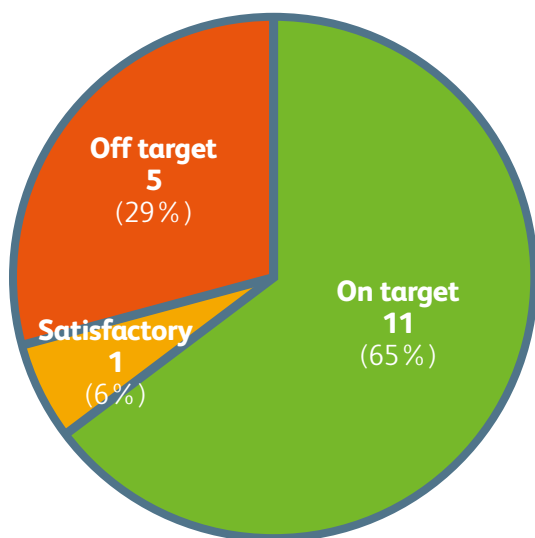


PRIORITY 3: A strong community in a clean, safe environment

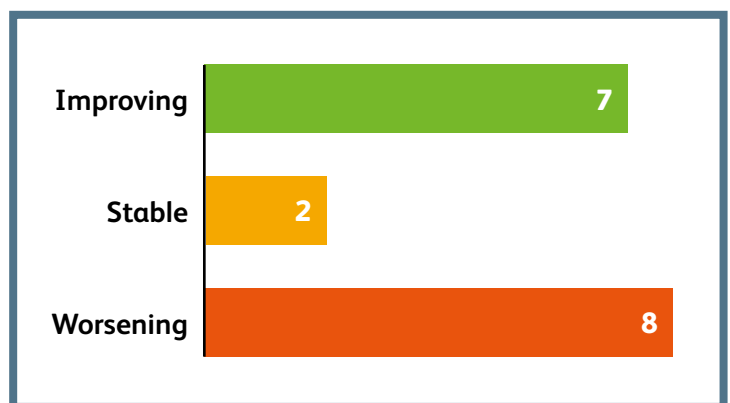
Performance headlines

The diagrams below provide an overview of performance (status and direction of travel) in relation to the priority (where data is available or where targets have been set).

Target Status



Direction of Travel



(Of the eight worsening, four are off target, one is on target and three are satisfactory).

(Note: The overall totals in the diagrams may differ because some measures, which have a direction of travel, do not have a status rating (on target, satisfactory or off target) as this is not applicable). These are measures where no target has been set, however good performance (high or low) is still applicable).

Areas performing well or improving



(measures which are on track and direction of travel is improving)

Community Safety

(3.A1a) Public perception of ASB (via the "Your Voice Counts" quarterly survey)

39% of people think ASB is a "big" or "fairly big" problem against a target of 43% or lower (lower is better).

Culture and Thriving Town Centre

(3.A6) 118,936 engagements with the Council's Culture and Leisure facilities which help adults and children learn, develop their skills or get a job against a cumulative annual target of >350,000 (higher is better).

(3.A7) 90.90% of customers satisfied with culture, sport and tourism services against a target of >90% across all Culture, Sport and Leisure Services (higher is better).

(3.A8) 1,308,599 visits to the Councils, Culture and Leisure facilities against an annual target of 3,500,000 (higher is better).

Cleaner, Greener Rotherham
Fly tipping

(3.B2a) Effective enforcement action taken where evidence is found a) Fly Tipping (fixed penalty notices and prosecutions)

11 fixed penalty notices and prosecutions against a target of 37+ (50% increase in prosecutions for the year) (higher is better).

Areas for improvement



(measures which are off track and direction of travel is worsening)



(3.A4b) 73% of vehicles and 77% drivers found to be compliant with licensing requirements during in the spot inspections against a target of 85% (higher is better).

Action is taken against license holders found to be non-compliant. Those found to be non-compliant are given a verbal/written warning. All local trade representatives have been made aware of the reasons for failure and have been asked to inform drivers.



(3.B3) Total number of customer contacts by service area and overall total
i) Official complaints,
ii) Compliments received,
iii) Service Requests

72 complaints against a target of 10% reduction (190 cumulative for year) in the number of official complaints received (lower is better).

The waste team are working with residents and collection crews to bring the performance in line with the previous levels.



(3.B4) 113 missed bins per 100,000 collections against a target of 50 (lower is better).

The waste team are working with residents and collection crews to bring the performance in line with the previous levels.

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

Lead accountability

Paul Woodcock, Strategic Director Regeneration and Environment

Shokat Lal, Assistant Chief Executive

Where are we now?

The Council's Cabinet, meeting on the 10th June, endorsed the Cultural Strategy for 2019 – 2026.

The Library service underwent a peer challenge on the 19th and 20th of June 2019, by a team of 4 elected member and officer peers. Although the final report has yet to be received, an initial draft report has been received and shows that the peer team found a strong political commitment to libraries and a desire for them to develop their role as a key council facility in each community. The peer team were also impressed by the managers, staff and volunteers they met during their 1 to 1 meetings and focus groups, and noted that the Council has a great asset in its dedicated and passionate staff.

On the 21st June, officers attended the first workshop on planning for the Women's Euro 2021 football tournament for which Rotherham United's AESSEAL Stadium has been selected as a venue and Rotherham as a 'Host City'.

Public consultation on the introduction of a Public Space Protection Order (PSPO), for Fitzwilliam Road concluded with the Council approving the introduction of an amended order, in response to public feedback. Engagement with community organisations has continued in relation to communications and signage relating to the PSPO, prior to the operational launch in August. Action plans are being developed

to address the key factors influencing the negative perceptions of anti-social behaviour. These plans will focus on off-road motorcycling, fly-tipping and drug dealing and use.

Following the launch of the new South Yorkshire wide restorative justice service, a programme of training and development for all Police officers and relevant partners ('Remedi') is underway. The service will provide restorative justice support across South Yorkshire both in terms of training and promoting delivery of lower level restorative justice interventions by the Police, alongside the service leading directly on more complex cases. The development of a hate crime strategy for the Safer Rotherham Partnership is underway and supported by the Independent Hate Crime Scrutiny Group.

A key focus of the Safer Rotherham Partnership, Domestic Abuse strategy is to encourage victims to come forward and access the help and support available. The increase in referrals to Domestic Abuse services is therefore seen as a positive outcome. Whilst encouraging more victims to access help and support should remain the focus, there is recognition of the increased demand placed on services and there is a continued focus on reducing repeat victims to improve outcomes and support continued delivery of services.

Next steps

- Action plans to address the key factors influencing negative perceptions of anti-social behaviour will be developed during Quarter 2
- A report to Cabinet to recommend consultation to support a review of Taxi Licensing Policy will be brought forward in Quarter 3. This will seek to address the issues of low-level non-compliance (such as the failure to display ID badges) identified during spot checks
- Work to improve the licensing application process, through the development of online systems is ongoing. System testing is scheduled for September 2019, with a projected 'go live' date of March 2020
- Consultation on the new Library Strategy for 2020-25 ends on the 21st July 2019, the strategy is due to go to Cabinet in Quarter 3
- The 40th anniversary Rotherham Show will be held on the 7th - 8th September 2019.
- In September the Civic Theatre will launch "Sponsor a Seat" where people will have the opportunity to sponsor a seat in the auditorium. This will be marked with an engraved plaque mounted on the seat of their choice. This is expected to be a low but hopefully steady income generator with each sponsorship running for a 5 year period
- Rotherham Music young musicians will join with South Yorkshire Music Education Hubs for a musical celebration at Doncaster Dome on October 19th 2019.

Risks and Issues

| Risk/issue | Mitigation |
|---|---|
| Changes and issues with data for repeat victims of ASB and for positive Hate Crime outcomes continue to present risks in terms of fully understanding the performance in these areas. | Further analysis to support the indicators and to fully understand the underlying data and trends will be undertaken to support the ASB plan and Hate Crime Strategy. |

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

Lead accountability

Paul Woodcock, Strategic Director Regeneration and Environment

Where are we now?

The Council's current three year capital programme to improve the condition of the unclassified road network is now in its final year. The continued focus on improving the condition of roads identified as 'amber' condition has seen a reduction in insurance claims from 120 in Quarter 1 of 2018/19 to 49 in the first quarter of 2019/20. The average number of claims over the three year period has also decreased from an average of 31 per month, before the start of the capital programme, to 20 per month during the 2018/19 financial year.

The number of fines issued in relation to environmental offences includes fines issued by Council officers and under the 'Time for Action' joint arrangements with Doncaster Council. These arrangements deliver enhanced enforcement around littering and parking offences, and have been in place since September 2019.

The current target is currently on course to be achieved by the year end with 632 enforcement actions taken in Quarter 1 alone. To ensure the projected outcome is above the Council Plan target of 2,000 Fixed Penalty Notices, work continues to challenge and improve performance.

Over 40,000 residents have now signed up for the chargeable garden waste service and as the summer progresses this number is expected to continue to rise.

As anticipated, performance in terms of missed bins is still below the same period in 2018/19. However Quarter 1 has seen a significant improvement in performance from quarter 4 of 2018/19, with the number of missed bins per 100,000 collections improving by 15%. In June the figure had further improved to 91 per 100,000 collections.

Since new recycling services have been introduced, year on year recycling rates for paper and cardboard and collected plastic have risen by 7.75% and 32% respectively, while the level of general waste being collected has decreased by 15.5% this year to date. Incidents of reported fly-tipping have seen no significant change when compared to Quarter 1 2018/19. Complaints about waste management are also showing a decline in numbers, as are contacts about waste matters to the contact centre.

The project to deliver recycling to flats saw a Members seminar held on 22nd May 2019, and work began with colleagues in housing to construct new bin-stores.

Next steps:

- Continued roll-out of the recycling strategy to flats, with the first communal collections planned for the end of July, early August 2019
- Monthly performance meetings are in place to drive performance of the 'Time for Action' enforcement partnership. The contractor plans to employ three further staff to be flexible between Doncaster and Rotherham to mitigate some of the effects of staff turnover.

Risks and Issues

| Risk/issue | Mitigation |
|---|---|
| As the roll-out of recycling to flats continues, there may be risks associated with an increase in customer complaints and coordination of the works required to deliver the project. | An extensive communication and engagement programme will continue and progress monitored. |
| Volatility of recycling markets continues and could see increased treatment costs. | Mitigated by contract arrangements and close and regular monitoring of material markets. |

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

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

| Outcome | Lead Accountability (Strategic Director) | Ref No. | Action | Measure | Lead officer | Good performance | Frequency of reporting | Target | Overall status | DOT | Annual | | | | | | | | | | | | | Monthly | | | Data notes (where measure has not progressed in accordance with the target set provide details of what is being done to improve performance) |
|--|--|---|--|--|--|---------------------------------|---|---|---|--|---|---|---|---|---|--|---|---|--|---------|--------|--------|--|---|--|---|--|
| | | | | | | | | | | | Annual | | | | Quarterly | | | | Monthly | | | | | | | | |
| | | | | | | | | | | | Year end 2015/16 | Year end 2016/17 | Year end 2017/18 | Year end 2018/19 | Q1 Apr - June 2018 | Q2 Jul - Sep 2018 | Q3 Oct - Dec 2018 | Q4 Jan - March 2019 | Q1 Apr - June 2019 | Apr-19 | May-19 | Jun-19 | | | | | |
| A. Communities are strong and help people to feel safe | Paul Woodcock, 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 | 43% or lower | ✔ | 🟩 | 30% | 32% | 34% | 44% | 34% | 48% | 43% | 44% | 39% | | | | | Although the outcome is 5% better than Q4, this reflects that actions taken as a result of the recent performance clinic led by the Cabinet Member that are starting to take effect, e.g. targeting the 3 types of crime that most affect the public's perception of ASB, these being drugs, littering and use of off-road vehicles. | | | |
| | | 3.A1(b) | | Reduce the number of repeat victims of ASB | Tom Smith - Regeneration and Environment | Low | Quarterly | 50 or fewer repeat callers per quarter | ✔ | 🟩 | | | | | | | | | | | | | | | | Please note data change for Q3 18/19, due to SYP System changes. | |
| | | 3.A2 | | The proportion of positive outcomes over the year, for reported Hate Crime cases | Tom Smith - Regeneration and Environment | High | Quarterly | 20% | ✘ | 🟩 | 38% | 22% | Currently not available, see data notes | 13.45% (average over the year) | 12.9% which equates to a 1.1% reduction on the same period last year. | 19.7% which equates to a 4.5% increase on the same period last year. | 14.3% which equates to a 3.7% reduction on the same period last year. | 6.9% which equates to a 10.2% reduction on the same period last year. | All investigations - Outcomes 1-8 (excl. 5): 11.2% which equates to a 13% reduction on the same period last year | | | | | | Based on the 125 Hate Crimes, there were 11.2% positive outcomes/action taken (based on outcomes 1-8 excluding 5), however, there are 24 investigations ongoing (at time of extraction). Therefore, based on the 101 crimes with an outcome, positive outcomes/action taken for these is 13.9% | | |
| | | 3.A3(a) | | Total number of referrals to Domestic Abuse support services | Tom Smith - Regeneration and Environment | High | Quarterly | 700 per quarter | ✔ | 🟩 | | | | | | | | | | | | | | | | | This being data from the Council's 2 DA support services. This quarter is nominally worse than Q4 of 18/19, but is still above the set target. |
| | | 3.A3(b) | The proportion of people receiving Domestic Abuse support who are satisfied with the service | Tom Smith - Regeneration and Environment | High | Annual | 80% | 🟩 | 🟩 | | | | 71% (further 20% partly satisfied) | | | | | | | | | | | | | | This is an annual measure and data not yet available. |
| | | 3.A4(a) | Ensure an robust, effective and efficient licensing service | The number of on the spot inspections of taxis | Tom Smith - Regeneration and Environment | High | Quarterly | 10% of licensed vehicles and drivers annually (110 and 80 respectively) | 🟡 | 🟩 | | | | | 127 | 37 | 19 (Cumulative 56) | 17 (cumulative 73) | 54 (127 cumulative) | 22 | | | | | | No. of inspections classed as 'amber', as on target to exceed cumulative target for drivers but slightly down on target for vehicles. 6 vehicles were not compliant, due to display plate, condition of fire extinguisher and windscreen wipers. All 5 non-compliant drivers were not wearing their ID badges as required by their licensing conditions. All issued with written warnings. | |
| | | 3.A4(b) | | The proportion of a) licensed vehicles b) drivers found to be compliant with licensing requirements during in the spot inspections | Tom Smith - Regeneration and Environment | High | Quarterly | 85% (Vehicles and drivers) | ✘ | 🟩 | | | | 75% | 57% (vehicles) | 79% (vehicles) (Cumulative: 64%) | 88% (vehicles) (Cumulative: 70%) | 76% (Vehicles) | a) 73% (Vehicles) b) 77% (Drivers) | | | | | | | Licence holders that are found to be non-compliant are given a verbal/written warning. The warning is placed on the driver's record – if he / she is found to have committed the same misdemeanour in future then the fact that they have been warned previously will be taken into consideration when determining the most appropriate course of action that should be taken. In most cases, a similar transgression following a previous written warning will lead to either a final written warning or a review of the licence by the licensing board. In addition, all local trade representatives have been made aware of the reasons for failure and have been asked to inform drivers. | |
| | | 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 | Equal to or >79% | ✔ | 🟩 | 79% June 2015 82% December 2015 79% June 2017 75% February 2018 79% (Wave 8 December 2018) Very or fairly satisfied | 80% June 2016 81% December 2016 79% June 2017 75% February 2018 79% (Wave 8 December 2018) Very or fairly satisfied | 79% June 2017 75% February 2018 79% (Wave 8 December 2018) Very or fairly satisfied | 79% (Wave 7 June 2018) Very or fairly satisfied | 79% (Wave 7 June 2018) Very or fairly satisfied | 79% (Wave 8 December 2018) Very or fairly satisfied | 79% (Wave 9 June 2019) Very or fairly satisfied | | | | | | | | | The results of this element of the survey have now been consistent for the last three surveys and have varied very little in the last four and a half years. RWBC's overall score in this respect is slightly below the national average of 81%. | |
| 3.A5 b) | 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 69% June 2017 61% December 2018 69% (Wave 8 December 2018) Very or Fairly Satisfied | 62% June 2016 66% December 2016 56% February 2018 61% (Wave 8 December 2018) Very or Fairly Satisfied | 56% February 2018 61% (Wave 8 December 2018) Very or Fairly Satisfied | 57% (Wave 7 June 2018) Very or Fairly Satisfied | 61% (Wave 8 December 2018) Very or Fairly Satisfied | 58% (Wave 9 June 2019) Very or Fairly Satisfied | | | | | | | | | | This measure's direction of travel compares June 2019 to June 2018 as the data is seasonal and residents opinions vary according to the time of year. The variation in satisfaction with the Borough as a place to live differs from residents' more consistent satisfaction with their local area as a place to live, with residents significantly more satisfied with their own local area (average 79 per cent) than the Borough as a whole (average 58 per cent). | | | |
| 3.A6 | Paul Woodcock, Strategic Director Regeneration and Environment | 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. | Polly Hamilton - Regeneration and Environment | High | Quarterly | >350,000 cumulative annual target. | ✔ | 🟩 | | | | | 400,228 | 465,734 | 109,074 | 102,907 (211,981-cumulative) | 131,638 (343,832 - cumulative) | 122,115 (465,734 cumulative) | 118,936 | | | | | This measure is on target and performance has improved in comparison to the same period in 2018/19. Rother Valley Country Park numbers decreased on last year due to cool and wet weather during May and June. The lake was closed at the end of June due to blue green algae. Active Rotherham: Reduced figure for this quarter due to the end of a number of externally funded posts. DOT based on Q1 2019/20 comparison against Q1 2018/19 due to seasonal factors. | | |
| 3.A7 | | | Customer satisfaction with culture, sport and tourism services | Polly Hamilton - Regeneration and Environment | High | Quarterly | >90% across all Culture, Sport and Leisure Services | ✔ | 🟩 | | | | | | | | | | | | 90.90% | | | | | The average score is derived from an amalgamated average of all 4 services. Seasonal element means DOT is assessed against Q1 of previous year. | |
| 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, Thybergh and Clifton Park) e - Visitor Information Centre f - Events g - Engagement and Outreach Activities h - Leisure Centres i - Other activities delivered by Third Parties | Polly Hamilton - Regeneration and Environment | High | Quarterly | 3,500,000 cumulative annual target | ✔ | 🟩 | | | | | | | | | | | | | | | | | | School visits: schools are less able to release staff to accompany children for library visits and so the number of school class visits has declined. Library Visitor figures: The downturn in visitor figures was unexpected and may be due in part to poor weather conditions. We expect the figure will improve through the year. Country Parks: Figures for Clifton Park are raised dramatically. This is due to the visitor counters within the parks now working correctly. During the same quarter in 2018/19 some counters were not logging data adequately. Figures for the Country Parks are lower in comparison to last year in the same quarter which is a result of the wet weather during June. Visitor Centre: It has not been possible to capture data again this quarter as the people counter has not been installed. Leisure Centres: There has been a reduction in the number of pitch bookings during the quarter although 2018/19 was a particularly higher number as a result of additional fixtures being played at the end of the season following poor weather during the winter period. Figures are lower for leisure centres compared to the previous year which may be as a result of competition from other leisure operators. Also there has been a decline in Rothercard usage during this quarter, however this may be due to a recent IT upgrade and how customers are now checking in for their swim. This is being investigated with the Places for People Leisure IT and will feed back if there are any variances to the figures provided. Civic Theatre: Figures are down on ticket sales in the first quarter compare to last year. Some of this would appear to be a general trend in the industry. Some shows that we would have expected to sell well based on previous visits, didn't reach expected figures. There were a number of performances cancelled, one show because they had an incident where their tour van was stolen along with all set and costumes, and another due to low ticket sales. NOTE DOT measured against Q1 of 18/19 as seasonal element to CST performance. |

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| 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) |
|---|--|----------|---|--|--|------------------|------------------------|--|----------------|-----|--|------------------|------------------|------------------|--|--|--|-------------------------------------|--|--------|--------|--------|-----------|--|--|--|--|---|---|
| | | | | | | | | | | | Annual | | | | Quarterly | | | | Monthly | | | | | | | | | | |
| | | | | | | | | | | | Year end 2015/16 | Year end 2016/17 | Year end 2017/18 | Year end 2018/19 | Q1 Apr - June 2018 | Q2 Jul - Sep 2018 | Q3 Oct - Dec 2018 | Q4 Jan - March 2019 | Q1 Apr - June 2019 | Apr-19 | May-19 | Jun-19 | | | | | | | |
| B. Streets, public realm and green spaces are clean and well maintained | Paul Woodcock, 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 | The proportion of the principal road network classified as being in: a) Amber condition b) Red condition | Tom Smith - Regeneration and Environment | Low | Annual | a) 17% b) 3% | ■ | ■ | 3% | 3% | 2% | 2% | | | | | | | | | | | | This is an annual measure and data not yet available. | | | |
| | | 3.B1 (b) | | The proportion of the non-principal road network classified as being in: a) Amber condition b) Red condition | Tom Smith - Regeneration and Environment | Low | Annual | a) 22% b) 6% | ■ | ■ | 6% | 7% | 5% | 4% | | | | | | | | | | | | | | This is an annual measure and data not yet available. | |
| | | 3.B1 (c) | | The proportion of unclassified roads classified as being in: a) Amber condition b) Red condition | Tom Smith - Regeneration and Environment | Low | Annual | a) 34% b) 24% | ✓ | 🔄 | 24% | 23% | 23% | 23% | 24% | 23.75% | 23.75% | 23% | a) 33% b) 23% | | | | | | | | To provide a full picture of the condition of Rotherham's roads, this year reporting will also be carried out on roads that are assessed as being in an Amber condition. Going forward this will highlight any potential long-term issues. The % of roads in 'green' condition is 45%. | | |
| B. Streets, public realm and green spaces are clean and well maintained | Paul Woodcock, Strategic Director Regeneration and Environment | 3.B2(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 | Effective enforcement action taken where evidence is found a) Fly Tipping (fixed penalty notices and prosecutions) | Tom Smith - Regeneration and Environment | High | Monthly | 37+ (50% increase in prosecutions for the year) | ✓ | 🔄 | Not available - baseline year | 25 | 42 | 23 | 7 | 12 (Cumulative) | 21 (Cumulative) | 23 (Cumulative) | 11 | | | | | | | 8 fixed penalty notices & 3 prepared prosecutions. 1 has been heard, resulting in a £500 fine. | | | |
| | | 3.B2(b) | | Effective enforcement action taken where evidence is found b) Other enviro-crime (fixed penalty notices and prosecutions) | Tom Smith - Regeneration and Environment | High | Monthly | 2000 (cumulative for the year) | ✓ | 🔄 | Not available - baseline year | 185 | 6,673 | 1,796 | 89 | 515 (Cumulative) | 1,138 (Cumulative) | 1,796 (Cumulative) | 632 (Cumulative- includes 23 issued by RMBC staff) | 233 | 235 | 137 | | | | Measure currently on target | | | |
| | | 3.B3 | | 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 complaints ii) Compliments received iii) Service Requests | Tom Smith - Regeneration and Environment | Low | Monthly | 10% reduction (target around 190 cumulative for year) in the number of official complaints received. | ✗ | 🔄 | No of customer contacts for A) 1,301 B) 6,115 C) 452 D) 716 Complaints 79 | | | | | | | | | | | | | | | | | Complaints have risen in comparison to Q4, although it should be noted that of the 72 complaints only 31, (43%), were either partially or wholly upheld. 92% of complaints are about the Waste Service which is still affected by the significant changes implemented over the 3rd and 4th Quarter of last year. The waste team are working with residents and collection crews to bring the performance in line with the previous levels. NB- DOT is assessed against the same quarter on the previous year to reflect on seasonal impacts generating complaints. | |
| | | 3.B4 | | Number of missed bins per 100,000 collections | Tom Smith - Regeneration and Environment | Low | Quarterly | 50 | ✗ | 🔄 | | | | | | | | | | | | | | | | | | | The new Waste Service is starting to embed following the significant changes implemented over the 3 rd and 4 th Quarter of last year, missed bins are continuing to reduce however remain higher than Q1 last year, the waste team are working with residents and collection crews to bring the performance in line with the previous levels, indeed performance for June 19 was 91 missed bins per 100,000 collections, in May the figure was 124. DOT based on Q1 18/19 due to seasonal factors. |
| | | 3.B5 | | The proportion of waste sent for reuse (recycling and composting) | Tom Smith - Regeneration and Environment | High | Quarterly | 45% | ✓ | 🔄 | 43.11% | 45.30% | 46.11% | 45.60% | 53.72% Current estimate for March 2018 - 46.27% | 49.56% Current estimate for March 2018 - 44.60% | 47.72% Current estimate for March 2019 - 45.61% | 45.69% Overall Year End - 45.60% | 46.80% Year end forecast 45.59% | | | | | | | In the first quarter of 19/20, Residual waste collected has reduced by 15.50% Cans Glass and Plastic recycling collected has increased by 31.99% Paper and Card recycling collected has increased by 7.75% DoT based on seasonal influences, comparison of Q1 18/19 to Q1 19/20 | | | |

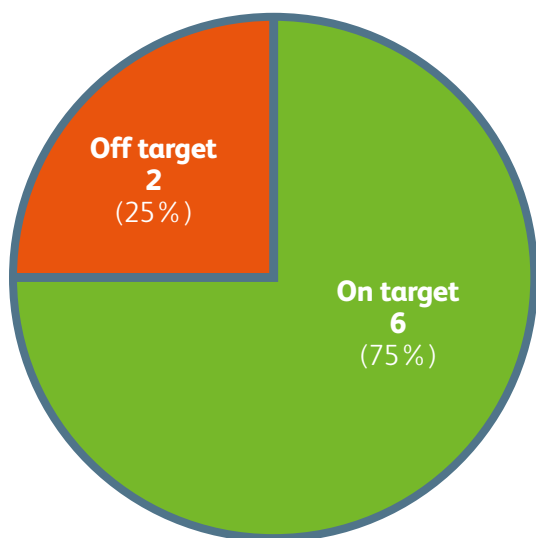


PRIORITY 4: Extending opportunity, prosperity and planning for the future

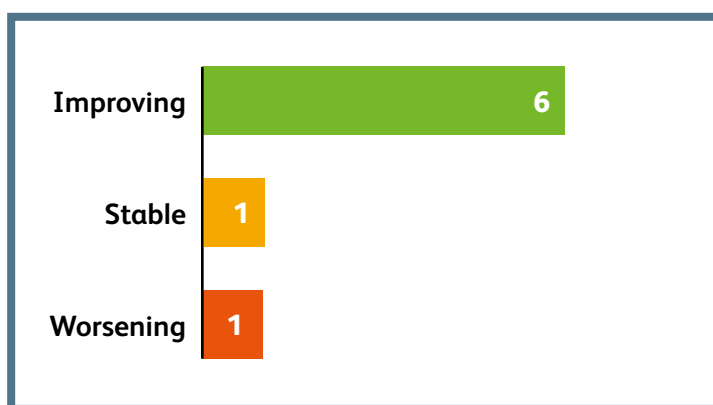
Performance headlines

The diagrams below provide an overview of performance (status and direction of travel) in relation to the priority (where data is available or where targets have been set).

Target Status



Direction of Travel



(The worsening measure is also off target)

(Note: The overall totals in the diagrams may differ because some measures, which have a direction of travel, do not have a status rating (on target, satisfactory or off target) as this is not applicable). These are measures where no target has been set, however good performance (high or low) is still applicable).

Areas performing well or improving



(measures which are on track and direction of travel is improving)

Housing Strategy
Non decent homes

(4.B2) 99.77% of council housing stock that is classed as “decent” against a target of 99.5% (higher is better).

Economy
Businesses

(4.A1) 15 new businesses started with help from the Council against a target of 15 (higher is better).

(4.A3) 17% of vacant floor space in the Town Centre against a target of 18% (lower is better).

(4.A5) Narrow the gap to the UK average on the rate of the working age population economically active in the borough -0.40% (Quarter 4) against a target of 0% – achieve the National Average (lower is better).

Selective Licensing

(4.B3) 97% of privately rented properties compliant with Selective Licensing conditions within designated areas against a target of 95% (higher is better).

Areas for improvement



(measures which are off track and direction of travel is worsening)



(4.B1a) 8 new homes delivered via direct Council intervention against an annual target of 175 (higher is better).

Plans are in place to accelerate growth throughout the remaining quarters and it is anticipated the year-end target of 175 new homes will be met.

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

Lead accountability

Paul Woodcock, Strategic Director Regeneration and Environment

Where are we now?

A major step forward in delivery of the Town Centre Masterplan was secured when the legal agreement with Muse Developments for the delivery of the Forge Island regeneration was signed in June 2019. Sirius Geotechnical completed their geo-physical and geo-environmental surveys of the Forge Island Flood Defence Site (the western edge of the site) in June 2019 and delivered their findings in July 2019. These reports have been used to inform the final design of the flood defence wall and safety on site. Work will now continue to progress the delivery of the scheme, including the preparation of detailed designs, to support a planning application to be submitted later in the year.

As part of a major programme to produce new materials and manufacturing techniques for fusion power plant construction, the UK Atomic Energy Authority secured funding to establish a £22 million research facility on the Advanced Manufacturing Park. The facility will support greater collaboration with manufacturers on joining technologies for metals and ceramics and is expected to deliver a £40 million uplift to regional Gross Value Added (GVA). In Dinnington, Trebor Developments commenced work on the 7,200 sq m Atomic 31 Development.

Following a major update, the RiDO website went live as Invest Rotherham. The site will promote RiDO's services to Rotherham's business community and inward investors, as well as showcasing business success in the Borough.

In June 2019, the Employment and Skills Strategy was endorsed by Cabinet, and is now being implemented. This strategy is designed to attract, support and grow new and existing businesses, by providing a skilled and enterprising workforce. While ensuring Rotherham residents have the best opportunity to secure a career with opportunities for decent pay and progression.

Skills Bank 2 – a programme to provide bespoke training that will support business growth, went live in April 2019 providing businesses in the borough with access to funding via the Sheffield City Region Growth Hub.

The Rotherham Apprentice of the Year 2019 Awards were held at Rotherham United's AESSEAL Stadium on the 20th June 2019, night with speeches from local business and the Chief Executive. Prizes were presented by the Mayor and Mayoress of Rotherham. A Council apprentice was "highly commended" at the Awards event.

The Launchpad 2 programme which provides funding for the Council to deliver business support to new start-up businesses and business up to 36 month old went live on 1st April 2019. The 3-year programme is expected to assist 70 pre-start entrepreneurs and 50 early stage businesses, creating 18 jobs. Additional support was secured for start-up businesses in Rotherham with the Council reaching agreement with UK Steel to deliver a programme of UK Steel funded small marketing grants.

During this quarter the Launchpad project team assisted 66 new enquiries and held 18 group workshops attended by 109 people.

Next steps:

- Reopening on the Interchange Car Park to take place in Quarter 2
- On the 5th July, the Council was informed that it had been successful in the first round of the Future High Streets Fund, (FHSF) and will progress to the next stage of the bidding process to develop a full business case to apply for a grant of up to £25m.

Risks and Issues

| Risk/issue | Mitigation |
|--|--|
| Very difficult trading conditions for Town Centre businesses, especially retail. | Progress on achieving the grant from the Future High Streets Fund, and continue to explore sources of additional funding. |
| Next round of the FHSF is still competitive, with no guarantee of success. | The bid will be based around the Town Centre Masterplan, a document signed up to by a wide range of partners and well scoped out projects. |

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

Lead accountability

Anne Marie Lubanski, Strategic Director Adult Social Care and Housing

Where are we now?

Rotherham's new Housing Strategy was approved by Cabinet in March 2019. The strategy sets out how the Council will increase the number of new homes being built in the borough, and ensures they are of the right type, size and tenure and in the right locations to meet Rotherham's housing needs. It also sets out how the Council will improve quality standards in Rotherham's existing homes, whether they are in council ownership or private sector ownership.

Number of new homes delivered during the years via direct Council intervention

Last year the Council enabled the delivery of 112 new homes against a target of 109. A more challenging target of 175 has been set for 2019/20. Whilst the number delivered during the first quarter is low (eight), a number of key Council led projects will complete during the year including various sites in the Wates Clusters programme, 58 new homes at Bellows Road in Rawmarsh and other Housing Revenue Account small sites and at this stage the housing service is confident that the year-end target will be achieved.

Number of new homes delivered during the year (overall)

The overall number of new homes delivered in the first quarter was 116. This figure is projected to rise sharply as the sites released in the Local Plan are progressed by the private sector. A large number of planning applications have been received since the adoption of the plan and the Council's planning service continues to achieve excellent performance at processing applications and granting permissions.

Actions being taken to accelerate growth include:

- The establishment of a post based in strategic housing and development to liaise with landowners, developers and funders to identify and unlock barriers to development on private sites
- Joint working between planning and housing to ensure a collaborative approach and focus on delivery
- Strategic three-way meetings with Homes England and the Sheffield City Region to explore external funding opportunities to unlock sites with viability challenges
- Annual housing developer summit and engagement throughout the year with the private sector to stimulate development activity on both privately owned and council owned land.

Percentage of council housing stock that is classed as “decent”

Decency standards in the properties the Council rents for social housing are being maintained. At the beginning of the year 60 properties, equivalent to 0.30% of the Council’s 20,331 housing stock were identified to become non decent during the course of the year. By the end of Quarter 1 14 properties have undergone decency works meaning 99.77% of the Council’s stock meets minimum standards of decency. Targets for ensuring a minimum 99.50% of the Council’s stock meets the decency standard by the end of the current year therefore are already being met.

Percentage of privately rented properties compliant with Selective Licensing conditions within designated areas

The Selective Licensing Scheme continues to operate effectively with 97% (against a target of 95%) of properties eligible to register under the scheme compliant to the terms and conditions the Council has laid down for improving standards of accommodation in the private rented sector. By the end of the quarter only 80 properties, from the 2,376 properties eligible to register under the scheme, require attention to bring compliance levels in the borough higher.

Next steps:

- Secure Cabinet approval for the Council to build 185 new homes in Rotherham town centre (Autumn 2019)
- Identify firm residential delivery plans for Chesterhill Avenue and Whinney Hill to deliver over 230 new homes (November 2019)
- Complete a five year housing growth programme (December 2019).

Risks and Issues

| Risk/issue | Mitigation |
|---|--|
| Risk of not meeting the target for homes delivered through direct council intervention which impacts on wider borough target. | <p>Secure Cabinet approval for the Council to build 185 new homes in Rotherham town centre (Autumn 2019).</p> <p>Identify firm residential delivery plans for Chesterhill Avenue and Whinney Hill to deliver over 230 new homes (November 2019).</p> <p>Complete a five year housing growth programme (December 2019).</p> |

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

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

| Outcome | Lead Accountability (Strategic Director) | Ref No. | Action | Measure | Lead officer | Good performance | Frequency of reporting | Target | Overall status | DOT | 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) |
|--|--|---------|---|--|--|------------------|------------------------|---|----------------|-----|------------------|------------------|--------------------------------|--|-------------------------------|--|-------------------------------|-------------------------------|-------------------|--------|--------|--------|--|--|--|---|--|--|--|
| | | | | | | | | | | | Annual | | | | Quarterly | | | | Monthly | | | | | | | | | | |
| | | | | | | | | | | | Year end 2015/16 | Year end 2016/17 | Year end 2017/18 | Year end 2018/19 | Q1 Apr - Jun 2018 | Q2 Jul - Sep 2018 | Q3 Oct - Dec 2018 | Q4 Jan - March 19 | Q1 Apr - Jun 2019 | Apr-19 | May-19 | Jun-19 | | | | | | | |
| A. Businesses supported to grow and employment opportunities expanded across the borough | Paul Woodcock, Strategic Director Regeneration and Environment | 4.A1 | Deliver economic growth (via the Economic Growth Plan, Business Growth Board and Sheffield City Region) | Number of new businesses started with help from the Council | Paul Woodcock - Regeneration and Environment | High | Quarterly | 15 | ✔ | 🔄 | | | 13.75 | 14.5 (average for the year) | 20 | 13 | 18 | 7 | 15 | | | | RIDO helped 4 new businesses through the business centres and the Launchpad project helped 11 start up | | | | | | |
| | | 4.A2 | | Survival rate of new businesses (3 years) | Paul Woodcock - Regeneration and Environment | High | Annual | 60% | ■ | | 60% | 60.5% | 62.9% | Next Data available Dec 19 for year to Dec 18. | | | | | | | | | | | This is an annual measure and data not yet available. | | | | |
| | | 4.A3 | | The proportion of vacant floor space in the Town Centre area | Paul Woodcock - Regeneration and Environment | Low | Quarterly | 18% | ✔ | 🔄 | | | 22.0% | 24.5% Yearly average | 23.3% | 21.5% Figure revised with return to previous definition of Town Centre | 25.8% | 27.40% | 17.0% | | | | | | | This measure is now measured against the Local Plan definition of the Town Centre, therefore a true position regarding the DOT for this measure will not be available until Q2. | | | |
| | | 4.A4 | | Number of jobs in the Borough | Paul Woodcock - Regeneration and Environment | High | Annual | 1,000 new jobs p.a. (10,000 over 10 years). | ■ | | 100,000 | 104,000 | 99,000 (Annual Data to Dec 17) | Next Data available Oct 19 for year to Dec 18. | | | | | | | | | | | | This is an annual measure and data not yet available. | | | |
| | | 4.A5 | | Narrow the gap to the UK average on the rate of the working age population economically active in the borough | Paul Woodcock - Regeneration and Environment | Low | Quarterly | 0% - achieve the National Average | ✔ | 🔄 | 1% gap | 4.3% | 3.23% | Next data due end Jun for end Mar figures | 0% | -0.70% | -0.70% | -0.40% | Not yet available | | | | | | | Data from ONS APS which is released quarterly approx. 4 months in arrears. E.g. Jan - Mar quarter released in July. At 31/03/19, UK average 78.5%, Rotherham 78.1% | | | |
| | | 4.A6 | | Number of Planning Applications determined within specified Period: a) Major 13 weeks b) Minor 8 weeks c) Other 8 weeks | Paul Woodcock - Regeneration and Environment | 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% | a) 100% b) 100% c) 100% | | | | | | | | The Planning service continues to deliver a high quality service with all targets achieved at 100% yet again. | | | |
| 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 (Commenced 8th August 2016). | 4.B1(a) | Implement the Housing Strategy 2019-2022 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 | 175 | ✘ | 🔄 | | | | 112 | 19 | 44 | 30 | 19 | 8 | | | | Numbers of new homes built directly as a result of the Councils intervention in quarter 1 are lower than for the same quarter last year 18/19. Plans are in place however to accelerate growth throughout the remaining quarters and it is anticipated the year end target of 175 new homes will be met. The DOT rating for the indicator is based on comparisons in performance between quarter 1 of 2019/20 and quarter 4 of 2018/19 | | | | | | |
| | | 4.B1(b) | | Number of new homes delivered during the year | Tom Bell - Adult Social Care and Housing | High | Quarterly | 550 | ✘ | 🔄 | 663 | 593 | 479 | 427 | 160 | 97 | 91 | 79 | 116 | | | | The overall number of new homes built in the borough, though 44 units lower than in quarter 1 last year, is expected to rise sharply throughout the remainder of the year as sites released by the Local Plan are progressed by the private sector. The DOT rating for the indicator is based on comparisons in performance between quarter 4 of 2018/19 and quarter 1 of 2019/20. | | | | | | |
| | | 4.B2 | | The proportion of council housing stock that is classed as "decent" | Tom Bell - Adult Social Care and Housing | High | Quarterly | 99.5% | ✔ | 🔄 | 100% | 100% | 100% | 100% | 99.51% | 99.59% | 99.88% | 100% | 99.77% | | | | At the beginning of the current financial year the Council forecasted 60 properties (0.30% of the 20,331 stock) would become non decent during the course of the year. By the end of quarter 1, following decency works to 14 of these properties, the number of non decent properties is reduced to 46 equating to 0.23% of the stock. This means at the end of quarter 1, 99.77% of the Councils stock meets minimum standards of decency 100% compliance levels cannot be delivered by the end of quarter because quite simply not all properties fall out of the decency standard at the same time in the year. To measure more accurately the trend delivering performance against this indicator the DOT between quarter 1 in 2018/19 and quarter 1 in 2019/20 is therefore being used. | | | | | | |
| | | 4.B3 | | Private rented housing – improving standards through selective licensing | Tom Smith - Regeneration and Environment | High | Monthly | 95% | ✔ | 🔄 | 85% | 94.2% | 95.7% | 97.0% | 97.0% | 98.0% | 95.70% | 97.0% | 95.8% | 97.3% | 97.00% | | | | 2376 properties are currently eligible to be registered under the Selective Licensing Scheme. Of these 80 properties are currently awaiting inspection to test compliance with the terms and conditions of the scheme. The DOT rating for the indicator is based on comparison in performance between Quarter 1 2019/20 and Quarter 4 2018/19 | | | | |

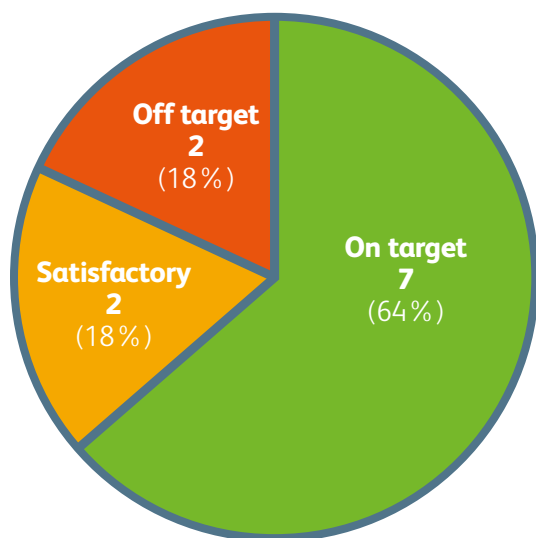


PRIORITY 5: A modern, efficient council

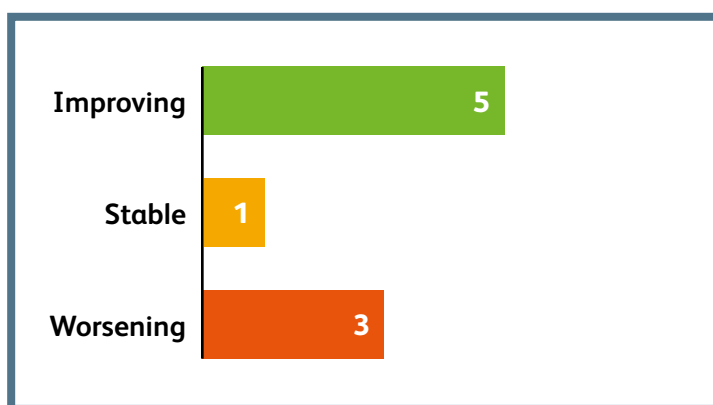
Performance headlines

The diagrams below provide an overview of performance (status and direction of travel) in relation to the priority (where data is available or where targets have been set).

Target Status



Direction of Travel



(Of the three worsening, two are on target and one is satisfactory).

(Note: The overall totals in the diagrams may differ because some measures, which have a direction of travel, do not have a status rating (on target, satisfactory or off target) as this is not applicable). These are measures where no target has been set, however good performance (high or low) is still applicable).

Areas performing well or improving



(measures which are on track and direction of travel is improving)

Complaints
Closed within timescale

(5.C1) 95% of complaints closed within timescale against an annual target of 85% (higher is better).

Agency Costs

(5.D3) £3.5m (-49% annual forecast) reduction in agency cost against a 10% reduction target (lower is better).

(5.D4) 2.2% (6) of the children's social care establishment (social workers and team managers) are agency staff against a target of 10% (lower is better).

Online Transactions

(5.C3) 28% of transactions online against a cumulative target of 28% (higher is better).

Areas for improvement



(measures which are off track and direction of travel is worsening)



(5.D6) 44.4% of Cabinet reports where an Equality Analysis Screening Assessment has been completed against a target of 100% (higher is better).

A new process in relation to Equality Analyses was introduced in May/June and a presentation regarding the revised Equality Analysis process was provided at the Wider Leadership session in May. The steps taken along with a revised report checklist and checks during the report approval process should improve performance from Quarter 2.

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 27.2% which is 0.2% down on performance at the same time in 2018/19.

Business Rates in-year collection performance is 28.0% which is 0.9% lower than the performance at the same quarter in 2018/19. However, this relates to comparative timing of payments from a small number of larger ratepayers and it is still anticipated that the collection performance target for 2019/20 will be met.

In-year collection performance for both Council Tax and Business Rates was in the top quartile of all Metropolitan Councils for 2018/19. The Council also had the highest in-year Council Tax collection rate of all 9 South and West Yorkshire Metropolitan Councils and was second highest for in-year collection of Business Rates.

Council approved a two-year balanced budget for 2019/20 and 2020/21 in February 2019, alongside an updated Medium Term Financial Strategy to 2021/22 and a refreshed Reserves Strategy. This provides a sustainable financial position for the Council across the medium term, but delivery of the savings included within the budgets and managing the costs and demands on Social Care continues to present a significant challenge for the Council.

The financial monitoring position as at the end of June shows a forecast overspend of £4.5m with management actions being identified to ensure the Council delivers a balanced budget.

Next steps:

- Continued monitoring of performance and redirection of resources within the Revenues and Benefits Service, where possible, to focus on maintaining levels of collection at those reflected within performance objectives and the Council's budget
- A suite of projects is in train within the Revenues and Benefits function, to deliver efficiencies as part of the Council's Customer and Digital savings programme.

Risks and Issues

| Risk/issue | Mitigation |
|---|---|
| Collection of Council Tax for 2019/20 is 27.2% which is 0.2% down on target and performance in 2018/19. | Work on the Revenues and Benefits teams continues to be focussed on maximising performance for this measure towards achieving the Council Tax target of 97% and remaining within the Top Quartile of Metropolitan Councils. |
| Although the collection percentage is down on last year the actual amount of Council Tax collected so far this year (including precepts) is £1.7million up on the amount collected at this time in 2018/19. | |

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 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, all recommendations from Overview and Scrutiny Management Board were either accepted or partially accepted by Cabinet.

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.

Risks 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

Judith Badger, Strategic Director Finance and Customer Services

Where are we now?

Complaints performance is reported to management teams and individual AD's on a monthly and quarterly basis. Performance has significantly exceeded the target (85%) and is at a "best ever" 95%. This is the result of consistent application of the performance measures introduced over the last three to four years.

A full capacity Complaints Team and strong performance measures in Directorate Management Teams (DMT's) (such as a weekly complaint dashboard) has led to all complaints being fully scrutinised and only a minority of complex cases exceeding the required timescales.

The new website will be launched in Autumn 2019 which will allow customers to access more processes online, including booking and paying for services. It will also involve refreshing the information available on the site so that it is easy for customers to access the information that they require. The testing of the new website will be undertaken by the public, using feedback to clarify that it delivers their needs. The new customer service system has now been installed and is currently being configured to go live at the same time as the new website, giving easy access to services regardless of the channel used.

Next steps:

- Improve the quality of the responses to complaints and achieve better learning and service improvement from complaints
- New Website goes live Autumn 2019
- New online forms available for popular transactions – Autumn 2019.

Risks and Issues

| Risk/issue | Mitigation |
|---|--|
| If complaints are not completed on time they will escalate to through the complaint procedure and to the LGSCO. | Improved performance management – via management teams and with individual managers. |

Outcome D: Effective members, workforce and organisational culture

Lead accountability

Shokat Lal, Assistant Chief Executive

Jon Stonehouse, 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 key indicators, Performance Development Review (PDR) completion rate, Attendance (Sick days lost per full time employee) and agency worker expenditure.

- The PDR module of the new corporate HR and Payroll system is scheduled to go live in the second quarter of year. Once launched managers will be able to record details of PDR's that have taken place and reporting will become available. Last year the annual target of 95% completion was exceeded
- In the quarter absence reversed the upward trend seen in the previous 12 months reducing by over a quarter of a day per full time equivalent employee to 11.02 days.

Actual agency expenditure was £1.3m by the end of the quarter with an annual projection of £3.5m by the end of the year. This represents a reduction of £3.3m (49%) from the previous year.

The percentage of agency staff within Children and Young People's Services is at a positive all-time low of 2.2% which is significantly below the national average of 16%. There has been a steady reduction in numbers over the last 6 months. All suitable agency workers within the service have been spoken to by their team manager, service manager and the resourcing team, with a view to becoming a permanent member of staff.

A new Equality Screening and Analysis Guide was introduced in May/June covering the Equality Analysis process which is structured around four key stages:

- Stage 1 - Gather data and assess impact to determine if an Equality Analysis is required
- Stage 2 - Draft Equality Analysis
- Stage 3 - Finalise and approve Equality Analysis
- Stage 4 - Review and update Equality Analysis (Links back to Stage 3).

The process is supported by an Initial Equality Screening Analysis form and a revised Equality Analysis form. A presentation regarding the revised Equality Analysis process was also provided at the Wider Leadership session on 22nd May 2019.

44.4% of Equality Analysis Screening Assessments were completed for Cabinet reports during Quarter 1 and it is expected that the new Equality Screening and Analysis Guide, along with the robust report approval process will improve performance in the future. A tracker has also been developed to monitor Screenings and Equality Analyses for Cabinet, key delegated officer decisions, and Council reports.

In addition, 72% of Council Staff have completed the mandatory Equalities Training. To improve performance the training will be further promoted and specific areas targeted where there has been low take-up.

Next steps:

- The Rotherham Leader programme develops managers and the Workforce Strategy Board maintains oversight of workforce development activity and implementation of associated delivery plans.
- An in depth review of attendance continues, including:
 - Analysis of absence data to provide insight into high priority areas, best practice and areas for improvement
 - A range of interventions to upskill managers with a focus on their responsibilities, policy, processes and support available
 - Additional control and challenge through Service Level case conferences and scrutiny within directorates
 - Update of Attendance Management Policy
- Further scrutiny of agency usage and exit strategies will be carried out by the Council's Workforce Management Board
- Permanent rolling recruitment campaigns are ongoing to recruit any suitable Children and Young People's Service's workers. Following an assessment centre held in June 2019, 14 Newly Qualified Social Workers (NQSWS) were recruited from the step up programme. These new recruits will fill established vacancies, helping to lower the number of agency workers by even more. There are two advanced practitioner posts that remain vacant and the plan is to recruit to these during the next quarter. Further scrutiny of agency usage and exit strategies continue to take place via the Council's Workforce Management Board
- Further promotion of the Council's mandatory equalities training.

Risks 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. | Once the PDR module of the new system goes live regular reporting to the Strategic Leadership Team will resume. |
| 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 with in depth reviews to ensure proactive action is being taken. Upskilling of managers is taking place. |
| A reduction in agency costs is dependent on continued successful recruitment strategies. | The Workforce Management Board maintains oversight of agency expenditure. Workforce Strategy Board has oversight of directorate workforce plans. |
| Recruiting large numbers of Children and Young People's Newly Qualified Social Workers (NQSWS) leads to inexperienced teams with a large number of social workers who have less than 3 years' experience. | Advanced Practitioners (APs) are to continue working closely with the NQSWS, offering support and guidance to help them progress. An assessment centre was held in January to recruit Advanced Practitioners (APs) where five were recruited to help mentor and assist all NQSWS. Practice consultants continue to mentor and assist all NQSWS through the Assessed and Supported Year in Employment (ASYE) programme. |

Corporate Priority 5 – A modern, efficient Council

| Key | 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) |

| 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 2016/17 | Year end 2017/18 | Year end 2018/19 | Q1 Apr - June 2018 | Q2 Jul - Sep 2018 | Q3 Oct - Dec 2018 | Q4 Jan - Mar 2019 | Q1 Apr - June 2019 | Apr-19 | May-19 | | Jun-19 | | |
| | | | | | | | | | | | | | | | | | | | | | | | | | |
| A. Maximised use of assets and resources and demonstrate value for money | Judith Badger, Strategic Director Finance and Customer Services | 5.A1 | Maximising the local revenues available to fund council services | The proportion of 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% | 96.8% | 27.4% | 53.73% (cumulative) | 79.99% (cumulative) | 96.8% (cumulative) | 27.2% | 9.8% | 18.6% | 27.2% | Although the collection percentage is 0.2% down on last year the actual amount of Council Tax collected so far this year (including precepts) is £1.7million up on the amount collected in 2017/18. Rotherham collection performance in 2018/19 of 96.8% (down slightly by 0.2% on 2017/18). However this position was still top quartile of all Metropolitan Councils (8th equal out of 36). The 2018/19 in-year collection rate was also the highest of all 9 South and West Yorkshire Metropolitan Councils. Continued monitoring of performance and redirection of resources within the Revenues and Benefits Service will continue where possible to focus on maintaining collection levels. | | |
| | | 5.A2 | | The proportion of non-domestic (business) rates collected in the current financial year | Graham Saxton - Finance and Customer Services | High | Monthly | 98% (Top Quartile Metropolitan Authorities) | ✔ | 🔄 | 98.1% | 98.3% | 98.5% | 98.5% | 28.9% | 55.42% (cumulative) | 80.78% (cumulative) | 98.5% (cumulative) | 28.0% | 9.8% | 19.1% | 28.0% | The collection percentage is 0.9% down on last year however this is impacted by payment on a number of larger properties being made later than in previous years. The delay in just one large payment can significantly impact collection performance for Business Rates. The Service is confident at this stage that in year performance target will be achieved. Rotherham collection performance in 18/19 of 98.5% was maintained, in line with the previous year and the performance target for 2018/19. Rotherham improved from 11th highest Metropolitan Council (out of 36) 8th highest which resulted in a top quartile position being achieved. The in-year collection rate was the 2nd highest of all 6 South and West Yorkshire Councils. | | |
| 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% | 95% | 83% | 100% | 96% | 100% | 100% | | | | All recommendations arising from pre-decision scrutiny were either accepted or partially accepted by the Cabinet from the period from 1 April to 30 June 2019. | | |
| 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 | The proportion of complaints closed and within timescale | Jackie Mould, Assistant Chief Executive's Directorate | High | Monthly | 85% (Cumulative) | ✔ | 🔄 | 80% | 89% | 79% | 87% | 88% | 79% (cumulative) | 83% (cumulative) | 87% (cumulative) | 95% | 94% | 94% | 97% | Best ever performance monthly and Q1 performance. Working with Management Teams to manage performance is clearly working. DMT are very responsive to any performance issues. Waste Management and Children's Safeguarding Teams will remain critical to maintaining high performance. | | |
| | | 5.C2 | Resident satisfaction - Assessing overall public opinion on the way the council is working and responding to customers | The proportion of residents who feel that the Council keeps them informed | Christopher Burton, Assistant Chief Executive's Directorate | High - very or fairly satisfied | 6 monthly | Equal to or >50% | ✔ | 🔄 | 44% June 2015 49% December 2015 | 43% June 2016 48% December 2016 | 49% June 2017 53% February 2018 very or fairly well informed | 53% (Wave 8 December 2018) very or fairly well informed | 52% (Wave 7 June 2018) very or fairly well informed | | 53% (Wave 8 December 2018) very or fairly well informed | | 51% (Wave 9 June 2019) very or fairly well informed | | | | | Despite the small fall in the percentage "very" of "fairly" well informed, the value remains above the target of 50% and is above the average achieved in the last four years. | |
| | 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 | The proportion of transactions a) online | Luke Sayers - Finance and Customer Services | High | Quarterly | 28% | ✔ | 🔄 | 36% | 21% | 25% (average total for the year) | 37% (average total for the year) | | | 50% | | 24% | 28% | | | | | |
| 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 | The proportion of PDR completion | Shokat Lal, Assistant Chief Executive | High | Quarterly | 95% | ■ | ■ | 96% | 96% | 93% | 96% (cumulative) | 69% | 94% (cumulative) | 95% (cumulative) | 96% (cumulative) | N/K | | | | | The PDR module of the new HR and Payroll system is not scheduled to go live for managers to record PDR completions until the second quarter. | |
| | | 5.D2 | Sickness is managed and staff wellbeing supported | The number of days lost per FTE | Shokat Lal, Assistant Chief Executive | Low | Monthly | 10.3 | ✘ | 🔄 | 10.43 Days (excluding schools) | 10.97 Days (excluding schools) | 10.26 | 11.40 days (excluding schools) | 10.28 days (excluding schools) | 10.64 days (excluding schools) | 11.09 days (excluding schools) | 11.40 days (excluding schools) | 11.02 days (excluding schools) | Not available | Not available | 11.02 days (excluding schools) | During the first quarter activities to address the increase seen in 2018/19 were put in place. Detailed analysis of absence data continues to provide insight and identify priority areas for improvement, upskilling of managers with a focus on their responsibilities, policy, processes and support available has begun and additional control and challenge through Service Level case conferences and scrutiny at DLTs is taking place. A review of the Absence Management Policy is underway and face to face refresher training will begin to take place in Q2 | | |
| | | 5.D3 | Reduced use of interims, temporary and agency staff through effective and efficient recruitment | Reduction in Agency cost | Shokat Lal, Assistant Chief Executive | Low | Monthly | 10% reduction | ✔ | 🔄 | £6.8m | £10.2m | £8.33m | £8.831m | £1.929m (-39% cumulative) | £4.091m (-22% cumulative) | £5.810m (-13% annual forecast) | £6.831m (-18%) | £3.5m (-49% annual forecast) | | | | | The usage of agency workers continues to be scrutinised by the Workforce Management Board. Successful recruitment of permanent staff in difficult to recruit areas has seen significant reductions in the need for additional resource. Further work continues to minimise agency usage. Note that data for Q1 2018/19 was actual spend rather than forecast so is not comparable with Q1 2019/2020. | |
| | | The proportion of the children's social care establishment (social workers and team managers) who are agency staff. | | Jon Stonehouse, CPYS | Low | Monthly | 10% | ✔ | 🔄 | | 22.8% (67.5) | 18.6% (60) | 4.93% (14) | 14.6% (46) | 10.74% (31.1) | 7.20% (21.5) | 4.93% (14) | 2.2% (6) | 3.6% (10) | 2.6% (7) | 2.2% (6) | The percentage of agency staff within CYPs is at a positive all-time low of 2.2%. This is significantly below the national average of 16%. | | | |
| | | 5.D5 | Members are able to fulfil their roles as effective community leaders | The proportion of 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% | None taken place - see data notes | | | | None taken place - see data notes | None taken place - see data notes | | | | | Personal Development Plan interviews are not currently planned to take place in the final year of the current Council term. | |
| | | 5.D6 | The Council complies with good practice in equalities | The proportion of Cabinet reports where an Equality Analysis Screening Assessment has been completed | Jackie Mould, Assistant Chief Executive's Directorate | High | Quarterly | 100% | ✘ | ■ | | | | | | | | | | 44.4% | | | | | Of the 24 reports presented to Cabinet during the Quarter 1 period 8 had Initial Equality Screening Assessments attached and 8 had full EAs attached which meant they did not require a screening. Therefore in total 18 reports required Initial Screening Assessments and only 8 where completed. The proportion completed equates to 44.4%. A new process in relation to Equality Analyses was introduced in May/June and this is supported by an Equality Screening and Analysis Guide, Initial Equality Screening Analysis form and revised Equality Analysis form. A presentation regarding the revised Equality Analysis process was also provided at the Wider Leadership session on 22nd May. The steps taken during Quarter 1 along with a revised report checklist and checks during the report approval process is expected to improve performance from Quarter 2 onwards. |
| | | 5.D7 | | The proportion of Council Staff who have completed the mandatory Equality Training | Jackie Mould, Assistant Chief Executive's Directorate | High | Quarterly | Q1 - 75% Q2 - 85% Q3 & Q4 - 95% | ● | ■ | | | | | | | | | | | 72% | | | | |

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 2019).



PRIORITY 1: Every child making the best start in life

Foster carer nominated for Queen's honours list to receive an MBE



Chris Lunn is a highly respected and experienced foster carer for Rotherham. Chris was originally approved as a foster carer on 3rd April 1975 (44 years ago), with her much loved husband Pete.

Chris and Pete enjoyed 42 years of fostering together until he passed away 2 years ago, having been diagnosed with Motor Neurone Disease. Chris and Pete continued to foster throughout this period of time with much support from close members of the carers support network and from the fostering service.

Since Pete's passing, Chris has continued to offer a high level of care to young children as a single foster carer. Chris has cared for four young babies during the last 12 months and always manages to form positive working relationships with the children's parents when circumstances allow this. Chris has often been commended on her care of children by children's parents/family members, adopters and professionals connected to her. Chris has received amazing levels of support from her immediate family and other local authority approved foster carers, who she has grown to know and care about during her fostering career. Chris has always stated that she is part of a 'fostering family'; this encompasses everyone who supports or is involved with her and the children in her care.

Chris has reported to have cared for in the region of 250 children during her time as a foster carer and continues to remain in touch with many of the children and young people who have since achieved a plan of adoption or placement with family members.

On the 8th June 2019 Chris was nominated on the Queen's honours list to receive an MBE for her services to Fostering in Rotherham. Chris felt overwhelmed with this but has started to enjoy her achievement viewing this as an opportunity to help Rotherham recruit more foster carers who have 'the room, time and care to foster.'

Following this award she was invited to attend the O2 Media Awards on the 4th July 2019 where she presented Young Journalist of the Year with an award for achievements in media. She was accompanied to this event by one of the first babies placed in her care in 1975 and after over 40 years of being her foster carer this encapsulates the impact that Chris has had on the lives of so many children.

Chris continues to be a strong advocate for Fostering. She has a very positive attitude to the work that she is involved in and would love to see more people foster for the local authority if they have 'space in their hearts' to do so.

Find out more about becoming a foster carer:
<https://www.rotherham.gov.uk/fostering>

PRIORITY 2: Every adult secure, responsible and empowered

Agile working pilot in Adult Social Care

Agile working is a way in which an organisation creates maximum flexibility for its workforce by empowering them to work where, when and how they choose. It uses communications and information technology to enable people to work in ways, which best suit their needs without the traditional limitations of where and when tasks must be performed. It is based on the concept that work is an activity we do, rather than a place we go. With the technology available to modern business, there are numerous tools to help us work in new and different ways, to meet customer needs, reduce costs, increase productivity and improve sustainability.

Rotherham's current social care working practice has been very traditional with the majority of case work administrative tasks being taken 'back to the office', (or working at home), to be typed up. This often leads to special 'admin' time having to be booked into diaries leading to a reduced flexibility for customer appointments. Although each worker has their own laptop it can often be perceived as a barrier between them and the customer and the lack of internet connectivity meant that additional work would still need to be done in the office.

Creating a significantly more agile workforce is seen as one of the key transformational tools in the delivery of the new adult social care Targeted Operation Model (TOM). It was essential that the potential benefits locally and/or barriers are known before wide scale implementation as this will require investment in new technology and devices, (for example tablets rather than laptops, smart phones for workers and associated increase in internet data subscription).

A 'proof of concept' pilot is underway with six workers from Adult Social Care testing a selection of mobile devices that they are able to use flexibly whilst working out and about in the community. All staff have been provided with a smart-phone which they can use on a mobile Wi-Fi hot-spot. The pilot is in its infancy however early indications have been very positive and findings to date have been:

- **Increased Performance** - Workers are able to access all live documentation whilst on visits in the person's home. They are able to check that all the correct documentation is in the system and identify gaps, reducing the number of returned visits that may be required. Workers are able to access their Outlook accounts so can view emails when out of the office. This then negates the need to return to the office. It is expected that there will also be financial savings as future mileage and travel times will be reduced
- **Validation** – Workers are now able to check that all information that stored on the system is correct direct with a customer whilst in their home e.g. contact number, carers details, other professionals. Removing the need of additional phone calls and providing the reassurance to customers of sharing personal information in a face-to-face discussion.

Below are quotes from the social workers involved in the project, describing the little things the new equipment does that makes a big difference to their working day:

- *"I'm now able to access and give information to how much people pay towards their care whilst with the customer"*

PRIORITY 2: Every adult secure, responsible and empowered

- *“Mobile hotspot is very useful e.g. following a visit, I was able to securely access information in my car and send an email to the service provider to expedite situation rather than waiting until I got back to the office/home at the end of the day. More efficient practice all round”*
- *“I can make quick notes on a word document following a visit, rather than wasting paper”*
- *“(Using the tablet/pen), Digital signatures makes it easier practice for example consent forms for customers and/or their Attorneys/Deputies, Health and Welfare”*
- *“I am finding while with the client I am able access and update information on the system and access community directory information as well as having a phone to access emails and calendar. Rather than leave a leaflet I can show film to those interested in having the assistive SMART technology in their homes so they can better understand if it’s right for them”*
- *“As for the phone this is actually brilliant in simply and quickly responding to emails on the go, googling equipment plus accessing different websites whilst in the customer’s home.”*

PRIORITY 2: Every adult secure, responsible and empowered

Adults Social Care – Robotic Pets



Robotic pets may sound like the latest toy craze, but in Rotherham, this innovative use of technology is helping people with dementia to live their lives more independently.

Sandra is 76 and suffers from Alzheimer's disease. She had always enjoyed visits from friends and family, but come the evening, Sandra's feelings of loneliness triggered anxiety and confusion, leading her to wander from her home at all times of the night.

Her son Richard, explains: "It was really worrying to know that Mum might wander away from her home at any point, not knowing where she might go. We were keen to find ways to help reduce her anxiety in the evenings, and encourage her to stay in her flat."

The family sought advice from Rotherham Council social workers who researched options to help Sandra to feel more settled and wander less. That's when they discovered how robotic pets are being used and developed across the world to support people with dementia, helping them with their confidence, reducing anxiety, socialisation, health and general wellbeing. A pilot programme was developed, and Sandra was offered a robotic cat, designed to move and sound like a real cat when stroked and meow for attention at regular intervals, which could keep her company and help her feel more settled at night.

Richard says: "When it first arrived Mum was very tentative, but then slowly but surely she really started to take to it. Since then it has constantly been by her side on the settee, where she strokes it and enjoys its responses. It also gives her the company she wouldn't otherwise have in between my visits.

The responsibility of looking after the cat has also encouraged Sandra to stay in her home at night. Richard adds: "The cat has had such a positive impact on my mum's life. It's been a godsend in that it's reassuring to know that she's more safe and less likely to wander because she wants to stay in her flat to care for the cat. It's given mum that extra level of comfort and companionship, so when I leave her after visiting I know that I'm not leaving her feeling lonely. It's a truly great idea for which we are very grateful."

Rotherham resident 85 year-old Sheila, also has dementia and wouldn't be without her animatronic cat, Willow.

Her daughter Lynn explains: "We thought she was missing her sense of purpose, so we had a think about the types of things that she used to like to do. She was never into reading or cooking, but

PRIORITY 2: Every adult secure, responsible and empowered

she's always been a carer. She was an auxiliary on a maternity unit and she loves children. She's brought up all her grandchildren, but now has nobody to care for and she has said how lonely she felt, but the cat has turned that all around.

"When mum first got the cat, I had a message from the manager of her sheltered accommodation to say how mum was singing to the cat and telling it 'I'm going to look after you and we'll stick together like friends'. She's besotted with it."

"Mum's outlook is different now." Lynn continues "She calls her 'my little Willow', cuddles her and is recalling songs to sing to her that I've not heard before.

"Willow has been therapeutic. It's given mum a sense of duty and her purpose in life has returned. She's calmer and more relaxed, meaning when we visit, our time together is better quality because she's not fretting. The cat has even helped on a long car journey to visit family. We were stuck in traffic, but having Willow there to pet helped calm her anxiety."

Both Sandra and Sheila's experiences support research which shows robotic companion pets offer a sense of safety, comfort and purpose, but without the challenges of caring for a real animal. They are becoming a popular support tool for dementia care. Word about the life-changing felines is spreading in Rotherham, with families gifting the pets to their loved ones for Christmas and birthdays.

Pets provided by Rotherham Council are part of a pilot to assess the impact of digital assistive technology to support those already accessing adult care services. A range of digital devices can be used to help people be more independent and improve how they are supported, through helping them to self-care, to prevent loneliness feel safe at home and improve support to family and carers who help with informal care.

Find out more about getting a robotic pet:
https://www.rotherham.gov.uk/forms/form/375/en/make_a_care_assessment_enquiry

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

River of flowers



In 2013, Rotherham Council commissioned Pictorial Meadows Ltd to install an eight mile long “River of Flowers” on the central reservations between the town centre, Catcliffe and Bramley using their wildflower seed mixes.

The Council’s new planting scheme and management of these areas benefits:

- Rotherham’s wildlife
- Supports the delivery of the Rotherham Biodiversity Action Plan
- Reduces the level of maintenance required.

This meadow-type habitat of native wildflowers and bulbs with the addition of selected non-native flower species provides nectar, flowers and seeds and food sources for many insects, birds and even some mammals.

Pictorial Meadows delivered much of the planting at the Olympic Village in London for the 2012 Games.

The seeds have been cultivated with locally-grown and blended meadow seed from the restored farm at Sheffield Manor Lodge.

Flower species include the Red Orache, Fairy Toadflax, various poppies including the Californian Poppy, cornflowers, and corn marigolds. The naturalised bulb planted areas included alliums.

They are a mix of annuals, which have a long flowering season achieved by using a successional approach as well as low growing early flowers which bloom against the fresh foliage of the later-flowering species. A proportion of later-flowering species grow tall hiding the remains of the earlier species.

The reservations are not mown until late autumn giving the seeds time to have dispersed for next season.

The scheme has been a real success, as well as being good news for the environment, creating aesthetically pleasing highways and reducing the level of maintenance required, it has helped to save the council approximately £23,000 for each two year cycle.

The Council received over 250 emails and letters of praise, in the year following the first germination in July 2013 and continues to receive praise from local residents and from visitors from all over the Country.

Pictures from previous years attracted widespread attention on social media during June 2019 and the project has been replicated nationally and internationally.

Rotherham Council’s Cabinet Member for Cleaner, Greener Communities, Councillor Sarah Allen, said: “Rotherham has been planting wild flowers along eight miles of highways for the last six years. As well as producing a delightful display of colour through the summer months, this provides a habitat for many insects including bees, and we were really pleased to see this recognised by the British Bee Keeping Association and so many others on social media over the last few days.

“As well as being good news for the environment, the scheme has helped to save the council approximately £23,000 for each two-year cycle.

“Seeding every two years at the start of the season and cutting each year at the end is much less labour-intensive than the traditional approach of cutting the grass several times over the course of the year.

“The plants are currently growing and we are looking forward to a bright display of flowers again later this summer.”

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

Waleswood Caravan Site at Rother Valley Country Park



Waleswood Caravan Site was officially opened on 24th June 2019 and was from inception designed to be a site which would meet the highest standards expected by caravan, motorhome owners and campers. Located on a high promontory overlooking Rother Valley's main lake and with views across to the Peak District and beyond and only ten minutes from the motorway, the site is an ideal location for exploring South Yorkshire and North Derbyshire.

Construction of Waleswood Caravan and Camping Park began in July 2018, and was completed by April 2019 ready for its first customers. The site is designed to accommodate 129 caravans and motorhomes on a mixture of standard and super pitches, each with electric hook-ups, plus hook-ups to grey water and fresh water as well as 34 large tent pitches also with hook ups, all with access to 4G across the site. Visitors can look forward to high levels of convenience and comfort as new buildings on the site are state of the art. Facilities include a licenced café/reception, toilets, laundry rooms, accessible changing spaces, family bathrooms, outdoor children's play areas and indoor games room.

Waleswood Caravan Site was designed from conception by in-house architects within the Council's Asset Management Service and the

Council's Landscape Architects within Culture, Sport and Tourism. It was project managed by officers within the Council's Asset Management service working alongside the Council's Green Spaces Service who were the clients and will manage the caravan site in-house.

The main contractors, Houltons, were procured through a rigorous procurement exercise and have built a fantastic new facility to a very high standard in a very short space of time.

Many features of the site, from the sensory garden to the changing spaces and accessible buildings were included following advice from Access For All, Derbyshire, who were consulted with at an early stage in the design of the site and its facilities.

It is hoped that visitors will use Waleswood Caravan Site as a base to explore much more of what the area has to offer including Wentworth Woodhouse, Clifton Park and many other local attractions. From 2020, guests will also be able to enjoy the brand new Gulliver's Valley family attraction which is to open right next to the caravan and camping park.

The Council's £4.8m investment in Waleswood Caravan and camping is expected to provide a much needed service which will help boost Rotherham's tourist profile and provide new accommodation options for visitors, whilst generating a net operating profit, which will allow the Council's revenue spend at Rother Valley Country Park to zero, with projected future profits being used to reduce Council deficits more widely.

In July 2019 the AA awarded the site 5 pennants plus a Gold Standard certification, highlighting Waleswood as one of the highest quality sites in the UK. This is borne out by the number of excellent reviews left by customers on various websites.

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

A new home for Poppy

Having a brand new home is a dream for many people, but for eight-year-old Poppy it is a necessity. Despite being born with Dravet Syndrome, a severe form of epilepsy, Poppy attended mainstream school and lived at home with mum Amy, 29, and her mum's partner Sam, 26. But in 2015, a massive seizure left Poppy with an acquired brain injury, unable to walk or talk.

Amy says: "We rented a private house in Thurgroft. When Poppy left hospital, she was given a specialist bed which we had to keep in the living room, so we all lived out of that one room for about five months. We had a hoist but the room was so narrow that there was no room to turn it around there weren't any disabled access doors. We couldn't bath Poppy, so we had to take her to Bluebell Wood Children's Hospice once a week to use their facilities. We ended up sleeping on the floor because we didn't want to be upstairs whilst Poppy was downstairs."

Staff at Sheffield Children's Hospital helped Amy apply for a specialist home to help meet Poppy's needs. Fortunately Rotherham Council was in the process of building bungalows for people with disabilities.

Amy said: "When we were offered it, we snatched their hand off! Helen from Rotherham Council liaised with everyone in getting the tracking for the hoist in place and making sure everything was right, like the bath, rather than a shower. We couldn't wait for the house; we used to drive up each week while it was being built to see how much further it had come along!"

The family moved in June 2017 and Amy says Poppy has completely settled in.

"Poppy has her own bedroom now, with the tracking hoists. It's open plan so we can do everything together, like make dinner and Poppy can be involved. If this house had not been available, I really would not like to think what we would have done. We couldn't have wished for anything better than this."



PRIORITY 5: A modern, efficient council

Rotherham Together Partnership's annual showcase event

ROTHERHAM TOGETHER PARTNERSHIP



Rotherham Together Partnership's annual showcase event was held on 12th June at New York Stadium.

This was an opportunity for stakeholders to hear more about the fantastic work that has taken place over the past year across the five Rotherham Plan themes or "game changers".

The invited audience of over 100 stakeholders from a wide range of local agencies heard from:

- McLaren, who talked about their decision to invest in Rotherham via the composites technology centre at the advanced manufacturing park, and the opportunities they bring to local people and businesses
- Cllr Sarah Allen, who focused on neighbourhood working – councillors and partners working closely with local people to address local issues
- Doctor Richard Cullen, the chair of Rotherham Clinical Commissioning Group, explaining how the integration of health and social care is bringing benefits to patients, for example through the Rotherham health record and integrated discharge team

- And finally Muse Developments, outlining their detailed plans for developing the Forge Island site as part of the town centre masterplan, including a cinema, hotel, restaurants and apartments.

In addition, the event looked at the year ahead, with work due to start on new town centre housing, the start of a trailblazing mental health support pilot in schools across the borough, and the opening of Gulliver's Valley theme park.

Rotherham Together Partnership brings partner agencies together to combine their resources and expertise in taking on some of the challenges facing the borough. The partnership incorporates a number of thematic boards focusing on specific issues such as improving safety and combatting exploitation, reducing health inequalities and helping the economy to grow.

As part of the independent review of the council, which led to the formal end of the government intervention earlier this year, partnership working was praised as being: 'firmly based on mutual trust and respect.' The review team's report stated that 'Partners spoke well of the council as a partner and this is evidenced through the strategic work of the key partnership boards, as well as the delivery of on the ground operational projects.'

Speaking at the showcase, Cllr Read, the chair of Rotherham Together Partnership, said: "Two years ago we gathered here to launch our Rotherham Partnership Plan.

That day we had a plan. But we were just setting out on this journey together.

That day we spoke about how it was the views and experiences of Rotherham people that had shaped our shared agenda for the future of the borough.

PRIORITY 5: A modern, efficient council

We said that our game changers would alter people's lives and today we start to see how.

Our University Centre Rotherham open, with the first students studying.

The bus station rebuilt and reopened.

Tram train up and running, with more than half a million journeys taken already.

Rotherham has been the fastest growing local economy in Yorkshire for over a year now.

Partnership teams are in place in critical points within our public services: on site in the hospital, dealing with social care enquiries in the single point of access, in joint police and council enforcement teams across the borough.

What began as words and commitments two years ago is taking shape, in bricks and mortar and jobs, in opportunities realised, and in a different way of working.”

Initial Equality Screening Assessment

As a public authority we need to ensure that all our strategies, policies, service and functions, both current and proposed have given proper consideration to equality and diversity.

A **screening** process can help judge relevance and provide a record of both the process and decision. Screening should be a short, sharp exercise that determines relevance for all new and revised strategies, policies, services and functions.

Completed at the earliest opportunity it will help to determine:

- the relevance of proposals and decisions to equality and diversity
- whether or not equality and diversity is being/has already been considered, and
- whether or not it is necessary to carry out an equality analysis.

| | |
|--|---|
| Directorate: Assistant Chief Executive's Directorate | Service area: Performance, Intelligence and Improvement |
| Lead person: Simon Dennis (Corporate Risk Manager) and Tanya Palmowski (Performance Officer) | Contact number: (ext 22764) |

1. Title:

Is this a:



Strategy / Policy



Service / Function



Other

If other, please specify

2. Please provide a brief description of what you are screening

The 2017-2020 Council Plan is the core document that underpins the Council's overall vision, setting out headline priorities and measures that will demonstrate its delivery.

To ensure that the delivery of actions and their impact is assessed, formal quarterly performance reports are presented in public at Cabinet meetings, with an opportunity for pre-Scrutiny consideration if required. This report is the first report in the 2019-2020 reporting cycle covering quarter one (1st April 2019 to 30th June 2019). The report also includes a summary of key achievements and activities which have taken place during the quarter.

The quarterly reports provide 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.

At the end of the first quarter (April to June 2019) 31 measures had either met or had exceeded the target set in the Council Plan. This represents 55% of the total number of measures where data is available or where targets have been set. This is the highest percentage of performance measures that the Council has hit for a number of years and represents a significant improvement in performance.

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. The Council Plan includes two measures to ensure the Council complies with good practice in equalities - % Cabinet reports where an equality screening analysis has been completed and % of Council Staff who have completed the mandatory Equalities Training. Performance reported for quarter one indicates that 44.4% of Cabinet reports have had a screening assessment (against a target of 100%) and 72% of staff have completed the training (against a target of 75%).

3. Relevance to equality and diversity

All the Council's strategies/policies, services/functions affect service users, employees or the wider community – borough wide or more local. These will also have a greater/lesser relevance to equality and diversity.

The following questions will help you to identify how relevant your proposals are.

When considering these questions think about age, carers, disability, gender reassignment, race, religion or belief, sex, sexual orientation and any other relevant characteristics (for example socio-economic status, social class, income, unemployment, residential location or family background and education or skills levels).

| Questions | Yes | No |
|---|-----|----|
| Could the proposal have implications regarding the accessibility of services to the whole or wider community? <i>(Be mindful that this is not just about numbers. A potential to affect a small number of people in a significant way is as important)</i> | | X |
| Could the proposal affect service users? <i>(Be mindful that this is not just about numbers. A potential to affect a small number of people in a significant way is as important)</i> | | X |
| Has there been or is there likely to be an impact on an individual or group with protected characteristics? <i>(Consider potential discrimination, harassment or victimisation of individuals with protected characteristics)</i> | | X |
| Have there been or likely to be any public concerns regarding the proposal? <i>(It is important that the Council is transparent and consultation is carried out with members of the public to help mitigate future challenge)</i> | | X |

| | | |
|---|--|---|
| Could the proposal affect how the Council's services, commissioning or procurement activities are organised, provided, located and by whom? <i>(If the answer is yes you may wish to seek advice from commissioning or procurement)</i> | | X |
| Could the proposal affect the Council's workforce or employment practices? <i>(If the answer is yes you may wish to seek advice from your HR business partner)</i> | | X |
| If you have answered no to all the questions above, please explain the reason | | |
| The quarterly report provides an overview of performance in relation to the Council Plan which is a strategic plan for the whole organisation. The actions and targets within the plan are delivered by council services through various strategies, policies and programmes of work. It is therefore the responsibility of the relevant directorate/service to complete an equality analysis where this is applicable. | | |

If you have answered **no** to all the questions above please complete **sections 5 and 6**.

If you have answered **yes** to any of the above please complete **section 4**.

4. Considering the impact on equality and diversity

If you have not already done so, the impact on equality and diversity should be considered within your proposals prior to carrying out an **Equality Analysis**.

Considering equality and diversity will help to eliminate unlawful discrimination, harassment and victimisation and take active steps to create a discrimination free society by meeting a group or individual's needs and encouraging participation.

Please provide specific details for all three areas below and use the prompts for guidance.

- **How have you considered equality and diversity?**

(think about the scope of the proposal, who is likely to be affected, equality related information, gaps in information and plans to address, consultation and engagement activities (taken place or planned) with those likely to be affected)

- **Key findings**

(think about any potential positive and negative impact on different equality characteristics, potential to promote strong and positive relationships between groups, potential to bring groups/communities into increased contact with each other, perception that the proposal could benefit one group at the expense of another)

- **Actions**

(think about how you will promote positive impact and remove/reduce negative impact)

Date to scope and plan your Equality Analysis:

Date to complete your Equality Analysis:

| | |
|---|--|
| Lead person for your Equality Analysis (Include name and job title): | |
|---|--|

5. Governance, ownership and approval

Please state here who has approved the actions and outcomes of the screening:

| Name | Job title | Date |
|--------------|---|------------------------------|
| Jackie Mould | Head of Performance, Intelligence and Improvement | 21 st August 2019 |
| | | |
| | | |

6. Publishing

This screening document will act as evidence that due regard to equality and diversity has been given.

If this screening relates to a **Cabinet, key delegated officer decision, Council, other committee or a significant operational decision** a copy of the completed document should be attached as an appendix and published alongside the relevant report.

A copy of **all** screenings should also be sent to equality@rotherham.gov.uk For record keeping purposes it will be kept on file and also published on the Council's Equality and Diversity Internet page.

| | |
|--|------------------------------|
| Date screening completed | 7 th August 2019 |
| If relates to a Cabinet, key delegated officer decision, Council, other committee or a significant operational decision – report date and date sent for publication | Cabinet |
| Date screening sent to Performance, Intelligence and Improvement equality@rotherham.gov.uk | 21 st August 2019 |

Public Report
Overview and Scrutiny Management Board

Committee Name and Date of Committee Meeting

Overview and Scrutiny Management Board – 02 October 2019

Report Title

Annual Compliments and Complaints Report 2018-19

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

No

Strategic Director Approving Submission of the Report

Shokat Lal, Assistant Chief Executive

Report Author(s)

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Ward(s) Affected

Borough-Wide

Report Summary

The purpose of this report is to:

- a) Outline the complaints and compliments that the Council received in 2018/19 in line with statutory requirements.
- b) Identify key trends within complaints and compliments over a five year period.

Recommendations

Members of Overview and Scrutiny Management Board are asked to:

1. Note the Annual Compliments and Complaints Report for 2018/19.
2. Provide comments on areas that require further improvement regarding complaints handling and reporting.

Background Papers

- Annual Compliments and Complaints Report, 2018/19

Consideration by any other Council Committee, Scrutiny or Advisory Panel

N/A

Council Approval Required

No

Exempt from the Press and Public

No

Annual Compliments and Complaints Report 2018-19

1. Background

- 1.1 All councils need to provide complaint procedures to respond to customer concerns in an open and transparent way within defined timescales and in accordance to legislation. The purpose of the annual complaint report is to outline the complaints and compliments that the Council received in the period 1st April 2018-31st March 2019, highlighting key themes and longer term trends.
- 1.2 The report also explains how the Council has performed against the required standards and includes case studies demonstrating how services have learnt from complaints received.

2. Key Issues

- 2.1 The performance headlines outlined within the report include:

- The overall number of complaints received by the Council decreased to 1,275 in 2018/19 from 1,304 in 2017/18, a 2% decrease. Children and Young People's Services recorded the biggest decrease at 22% followed by Adult Care Services at 14%. Regeneration and Environment Services also decreased but by only 3%. Against this trend was Finance & Customer Services with an increase of 48% and Housing Services who recorded a small increase at 3%.
- The two highest areas for complaints were Housing (439) and Regeneration and Environment Services (413). The third highest area was Children's and Young People's Services (200). This is consistent with previous years' figures, as these three areas typically receive the highest volume of complaints.
- Overall, 87% of complaints were responded to within timescales, compared with 79% in 2017/18. This means that the Council Plan target of 85% has been exceeded for the first time. The response rate increased in Children and Young People's Services (70% 2018/19 from 59% 2017/18). The response rate also increased in Regeneration and Environmental services (88% 2018/19 from 71% 2017/18) and Finance and Customer Service's (96% 2018/19 from 91% 2017/18). Response rates in other areas decreased slightly.
- The number of compliments received also decreased; 844 received in 2018/19, in comparison to 1,064 in 2017/18.
- The most frequent category of complaints received by the Council was again 'quality of service', accounting for 55% of all complaints (711 of 1,275.)

- In comparison with the previous year, fewer complaints escalated to Stage 2 of the complaints procedure, at 44 (in contrast with 52 in 2017/18.) Additionally, of the 1,237 complaints that were taken through the Council's formal complaints procedures, more were upheld in 2018/19 at 305 or 25% in contrast with 260 or 24% in 2017/18.

2.2 The Annual Review letter from the Local Government and Social Care Ombudsman (LGSCO) was received on 24th July 2019, setting out their records of referred complaint investigations. In total 60 complaints and enquiries were directed to the LGSCO, of which 14 were subject to full investigation. Out of the 14, 6 were upheld and 8 were not upheld (43% upheld rate). This compares to 58 enquiries, 5 investigations with 1 upheld and 4 not upheld in 2017-18 (80% upheld rate). This review letter is attached as an appendix to the report (please see appendix one.)

2.3 A number of service improvements have been made over the year, based on the feedback from customers. Key themes of service improvements have included the reviews of processes; information and advice provided; dealing with delay; improving communication. Examples of the improvements made are included within the report.

3. Options considered and recommended proposal

3.1 Building on the key developments in 2018/19, the Council will apply particular focus to the following issues:

- Increasing the number of compliments recorded. The Complaints Team will promote the procedure for recording compliments and support Directorates to ensure that more of the compliments received are properly recorded and reported.
- Addressing current and upcoming issues, using complaints as direct customer feedback to make immediate service improvements. For example, for 2019/20 this includes mitigating the impact of changes to the garden waste collection service for customers.
- Reviewing the way that the Council considers learning from complaints to ensure that each complaint enquiry is fully considered and used to positively develop services.

4. Consultation on proposal

4.1 The findings of this report have been reported to each Directorate Leadership Team to enable key areas for improvement to be identified.

4.2 There has been no further consultation on this report beyond the requirements of internal processes, alongside consultation with the Cabinet member.

5. Timetable and Accountability for Implementing this Decision

- 5.1 A simple timetable to show the stages and deadlines for implementing the proposed improvements outlined in section 3 are to be implemented in 2019/20. Progress against these actions will be reported on as part of the annual report for 2019/20.
- 5.2 The Complaints Team will be accountable for leading on these improvements and for engaging with Directorates on how the approach to handling complaints can be improved. Each Directorate will be responsible for ensuring that the improvements identified are disseminated and implemented within each area of the organisation.

6. Financial and Procurement Advice and Implications

- 6.1 There are no direct financial implications arising from complaints. If a complaint about an error in a charge for a Council service is upheld, then an appropriate refund will be made. In accordance with the Council's Finance and Procurement Procedure Rules.
- 6.2 There are no procurement implications arising from this report.

7. Legal Advice and Implications (to be written by Legal Officer on behalf of Assistant Director Legal Services)

- 7.1 The Council's approach to handling complaints is informed by the following key pieces of legislation:
 - i. Local Authority Social Services and National Health Service Complaints (England) Regulations 2009 (Making Experiences Count).
 - ii. The Children Act 1989 Representations Procedure (England) Regulations 2006.
 - iii. Localism Act 2011 (for Housing Services complaints)

8. Human Resources Advice and Implications

- 8.1 There are no direct staffing implications arising from this report. However, Human Resources will provide support on further developing the training offer on handling complaints for officers outside of the Complaints Team.

9. Implications for Children and Young People and Vulnerable Adults

- 9.1 The statutory complaints procedure for Children's and Adult Social Care provides an opportunity for children and young people and vulnerable adults to have their voices heard and to improve service delivery.

10. Equalities and Human Rights Advice and Implications

- 10.1 Investigations through the complaint procedure consider all relevant policy and legislation, including those relating to equalities and human rights.
- 10.2 Improvements have been made to the way that complaints are recorded to ensure that information relating to equality and diversity are captured where the complainant is comfortable to disclose this information.

11. Implications for Partners

- 11.1 As outlined in the annual report, improving the way that complaints are dealt with requires a whole-Council approach, with services committing to responding to complaints in a timely fashion and using the intelligence provided by the Complaints Team to make service improvements. It is the responsibility of every service to make responding to complaints and learning from customer feedback a priority.

12. Risks and Mitigation

- 12.1 The Council continues to face budget pressures and the need to deliver significant financial savings as part of its two-year budget strategy for the period 2019/20 to 2020/21. There is a risk that the impact of delivering these savings will lead to a rise in complaint volumes.
- 12.2 It will therefore, be vital that the Council continues to manage customer expectations around what is sustainable for the Council to deliver. To mitigate this, the Council will engage with the public as appropriate, for example, in seeking the views of the public in respect of budget saving proposals.

13. Accountable Officer(s)

Shokat Lal, Assistant Chief Executive
Jackie Mould, Head of Policy Improvement and Performance
Stuart Purcell, Corporate Complaint Manager

Approvals obtained on behalf of:-

| | Named Officer | Date |
|--|----------------------|-----------------------------|
| Chief Executive | | Click here to enter a date. |
| Strategic Director of Finance & Customer Services (S.151 Officer) | Judith Badger | 20/09/19 |
| Assistant Director of Legal Services (Monitoring Officer) | Bal Nahal | 20/09/19 |
| Assistant Director of Human Resources (if appropriate) | N/A | Click here to enter a date. |
| Head of Human Resources (if appropriate) | N/A | Click here to enter a date. |

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This report is published on the Council's [website](#).

ANNUAL REPORT COMPLIMENTS AND COMPLAINTS

1st APRIL 2018 - 31st MARCH 2019



www.rotherham.gov.uk/complaints

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I. INTRODUCTION

Rotherham Council is committed to being a responsive organisation that listens to customers and treats everyone with respect. Therefore, both customer feedback and the way that the Council responds to this feedback are vital indicators of the overall performance of the organisation.

The Council aims to maintain a high level of performance and improve the quality of service offered to customers. This includes providing high quality, timely responses to complaints, and continuing to learn and improve, based on the feedback received. Performance improved significantly in 2018/19, with 87% of complaints being resolved within relevant timescales, which was the strongest performance of the past five years and exceeded the Council Plan target of 85%.

All Councils need to provide complaint procedures to respond to customer concerns in an open and transparent way within defined timescales. The purpose of this report is to outline the complaints and compliments that the Council received 1st April 2018 – 31st March 2019, highlighting key themes and longer term trends. The report also explains how the Council has performed against the required standards and, crucially, includes case studies demonstrating how services have learnt from complaints received. This is arguably the most important aspect of the complaints process.

It should also be noted that the changes introduced last year to the format and overall presentation of the report following feedback from the Overview and Scrutiny Management Board have been maintained in this report. In addition, as recommended by the Council's Equality and Diversity Peer Review in 2017, information is now captured and reported on the demographics of complainants.

Whilst customer feedback provides a valuable insight into how the Council is performing, complaints and compliments figures do not reflect the full picture. This report should therefore, be understood within the context of the number of customers interacting with each service, key developments that occurred within 2018/19 and the quarterly performance reports on the Council Plan.

Furthermore, building on the key developments in 2018/19, priority areas of focus for 2019/20 will include:

- Increasing the number of compliments recorded. The Complaints Team will promote the procedure for recording compliments and support Directorates to ensure that more of the compliments received are properly recorded and reported.
- Addressing current and upcoming issues, using complaints as direct customer feedback to make immediate service improvements. For example, for 2019/20 this includes mitigating the impact of changes to the garden waste collection service for customers.
- Reviewing the way that the Council considers learning from complaints to ensure that each complaint enquiry is fully considered and used to positively develop services.

2. KEY HEADLINES – 2018/19

1,275

Fewer complaints were received.
(1,275 in 2018/19 compared with 1,304 in 2017/18, which is a decrease of 2%.)

Fewer compliments were received.
(844 in 2018/19 compared with 1,064 in 2017/18, which is a decrease of 20%.)



More complaints were upheld; at 305 or 25%.
(260 or 24% upheld 2017/18.)

More complaints were responded to within timescales.
(87% in 2018/19 Compared with 79% in 2017/18.)



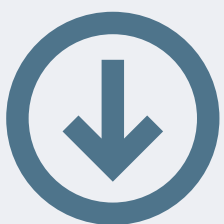
14 complaints were investigated by the Local Government and Social Care Ombudsman.
(five in 2017/18 in comparison.)

Fewer complaints around quality of service.
(a decrease of 15%)



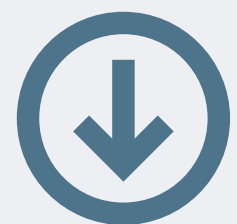
A similar number of complaints regarding actions of staff.
(a decrease of 1%)

More complaints relating to Housing Services and Finance and Customer Services.



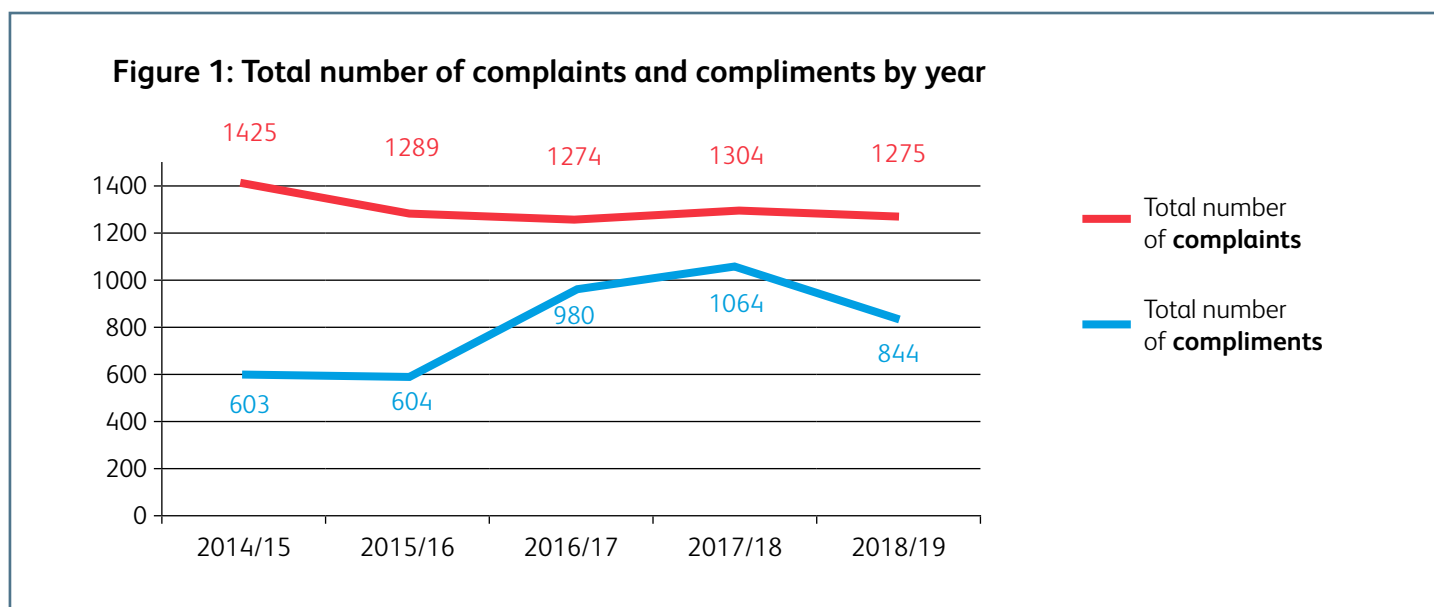
Fewer complaints relating to Adult Care Services, Children's and Young People's and Regeneration and Environment Services.

Fewer escalations through the complaint procedure.
(55 or 4% compared to 62 or 6% in 2017/18.)



3. OVERVIEW

3.1 Summary



In 2018/19, the overall number of complaints received by the Council decreased by 2%, going from 1,304 in 2017/18 to 1,275. This moderate decrease has brought it close to the numbers recorded between 2015 and 2017, following last year's increase.

Furthermore, the Council provides a wide variety of services to over 264,700 residents. In this context, 1,275 complaints is only a fraction of the number of customer interactions occurring each year. See Appendix Two which provides an indication of the number of customer contacts received through the Council's customer service centres.

The number of compliments recorded by the Council also decreased, from 1,064 in 2017/18 to 844 (a decrease of 20%). The numbers of compliments dropping could be seen as customers being less satisfied with the services provided by the Council considering the increase in the numbers in the last few years. However, it may be that, although compliments continue to be received by staff they are not being passed on to be recorded. Therefore, there will be a renewed effort to publicise the compliments reporting process across the council.

It is recognised that both compliments and complaints procedures need to be easy and accessible for customers to allow them to provide valuable feedback.

The decrease in complaints has been across most departments. Children and Young People's Services recorded the biggest decrease at 22% followed by Adult Care Services at 14%. Regeneration and Environment Services also decreased but by only 3%. Against this trend was Housing Services who recorded a small increase at 3%. Further details are available within each of the Directorate sections of the report.

Subsequently, there was a decrease in compliments received for most areas.

The following diagrams show the breakdown of complaints and compliments by Directorate in 2017/18 and 2018/19.

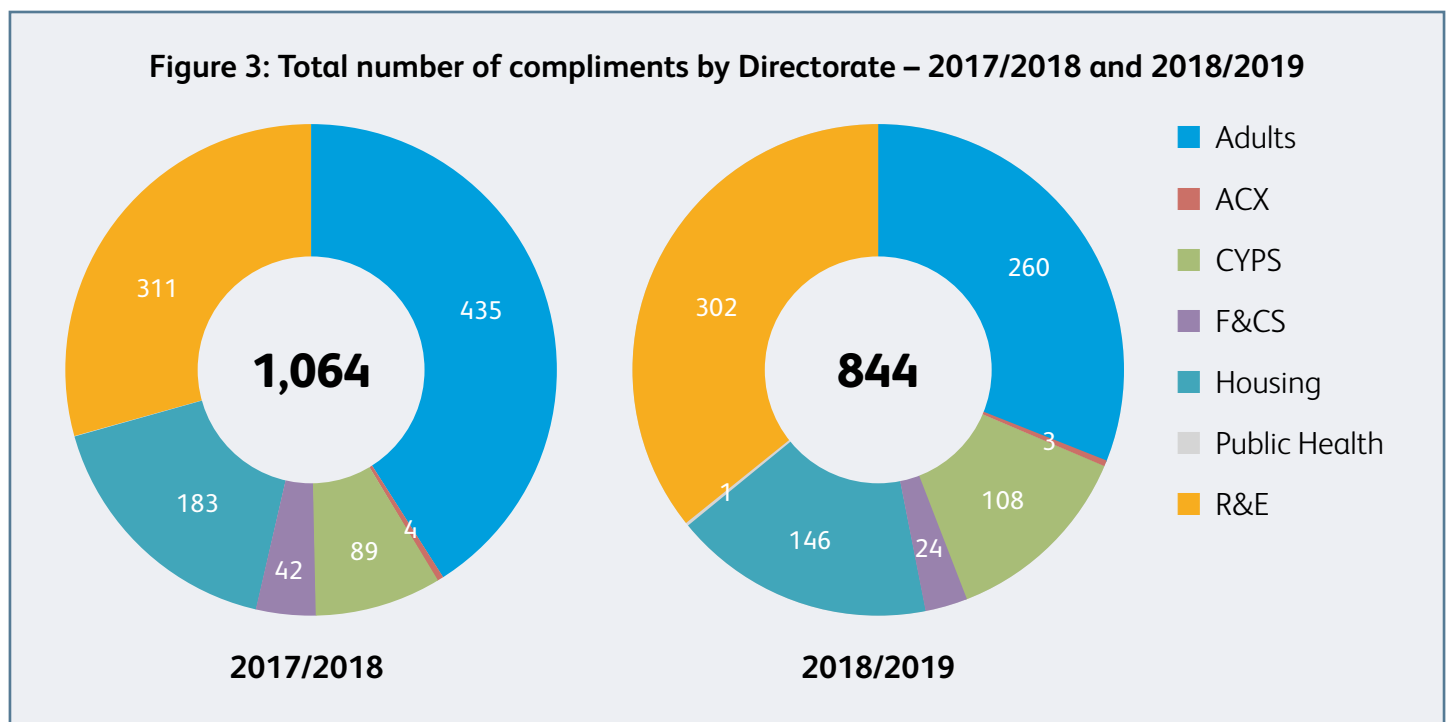
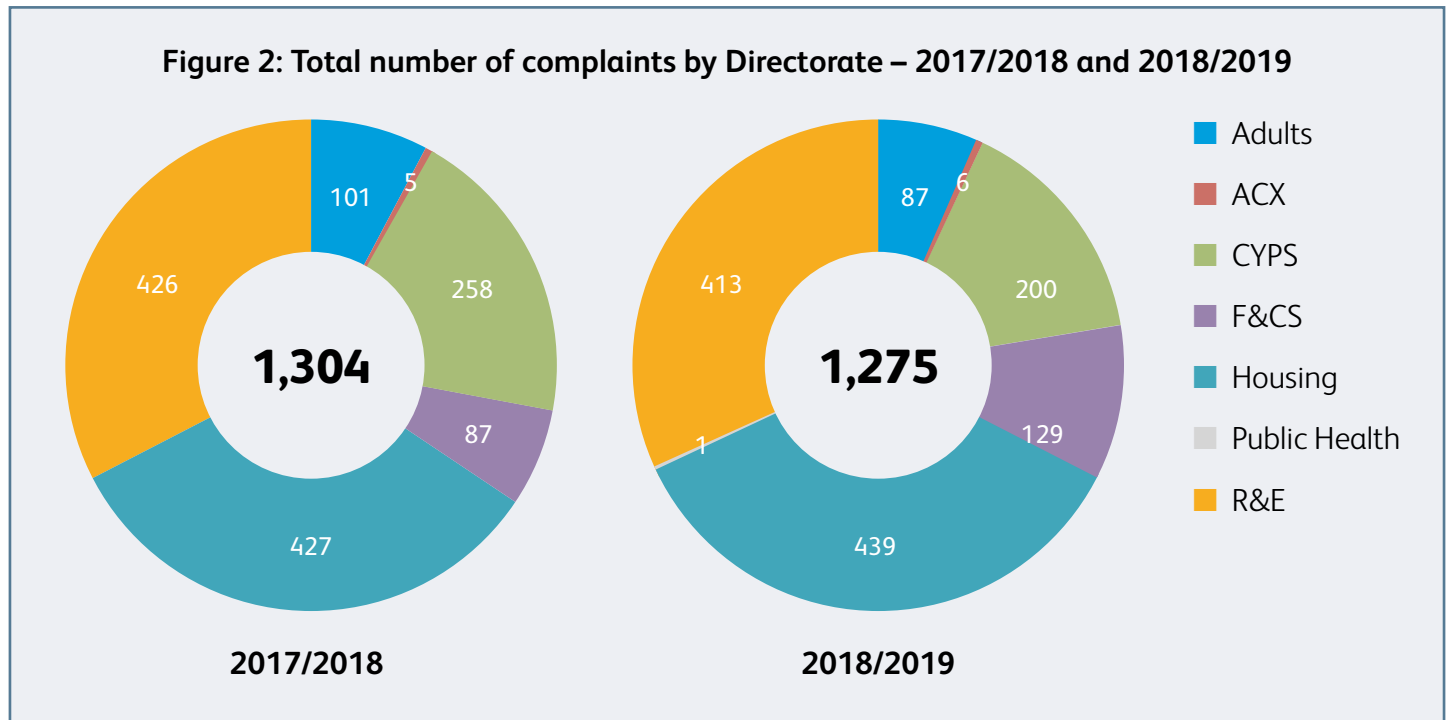
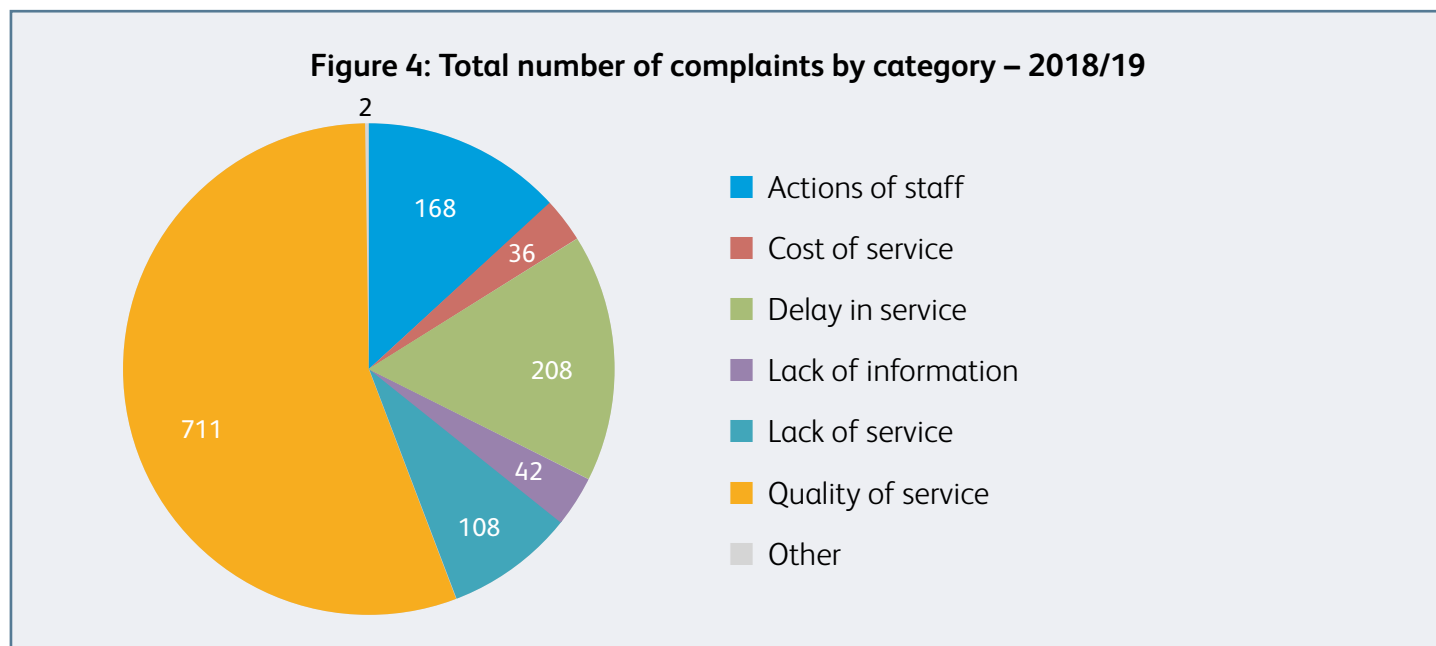


Figure 2 demonstrates that the two highest areas for complaints were Housing Services, and Regeneration and Environment Services, followed by Children and Young People’s Services. This is consistent with previous years’ figures, as these three areas typically receive the highest volume of complaints.

It is also evident from these diagrams that some areas receive a lower volume of overall customer feedback. With the exception of Finance and Customer Services, this tends to correlate to the number of customers that are served by the Directorate. Therefore, a Directorate receiving a higher volume of complaints is not necessarily reflective of poor performance and should be understood within the context of services provided.

As part of the process of monitoring and handling customer feedback, the Complaints Team is responsible for categorising complaints based on the subject matter. The following diagram outlines the categories of complaints received in 2018/19:



Approximately 55% of all complaints were categorised as quality of service. Complaints within this category have decreased from 839 (in 2017/18 to 711 in 2018/19 (a decrease of 15%).

Delay in service also accounted for the second highest category of complaints, with 208 complaints (or 16% falling into this category). Although the numbers of complaints in categories quality of service and actions of staff were significant across all Directorates, the majority of the complaints categorised as delay in service were again within Housing Services, with 138 of the 208 complaints in this category (see section 7).

In addition to reporting against general subject areas there is a need to report complaints in more detail to Directorate and Service Management Teams. To assist with this level of reporting additional complaint classifications were developed, as recommended in the 2017/18 Annual Complaints report. These are service specific and more accurately reflect the types of complaints received. Examples of the most common complaint types recorded by this classification are as follows:

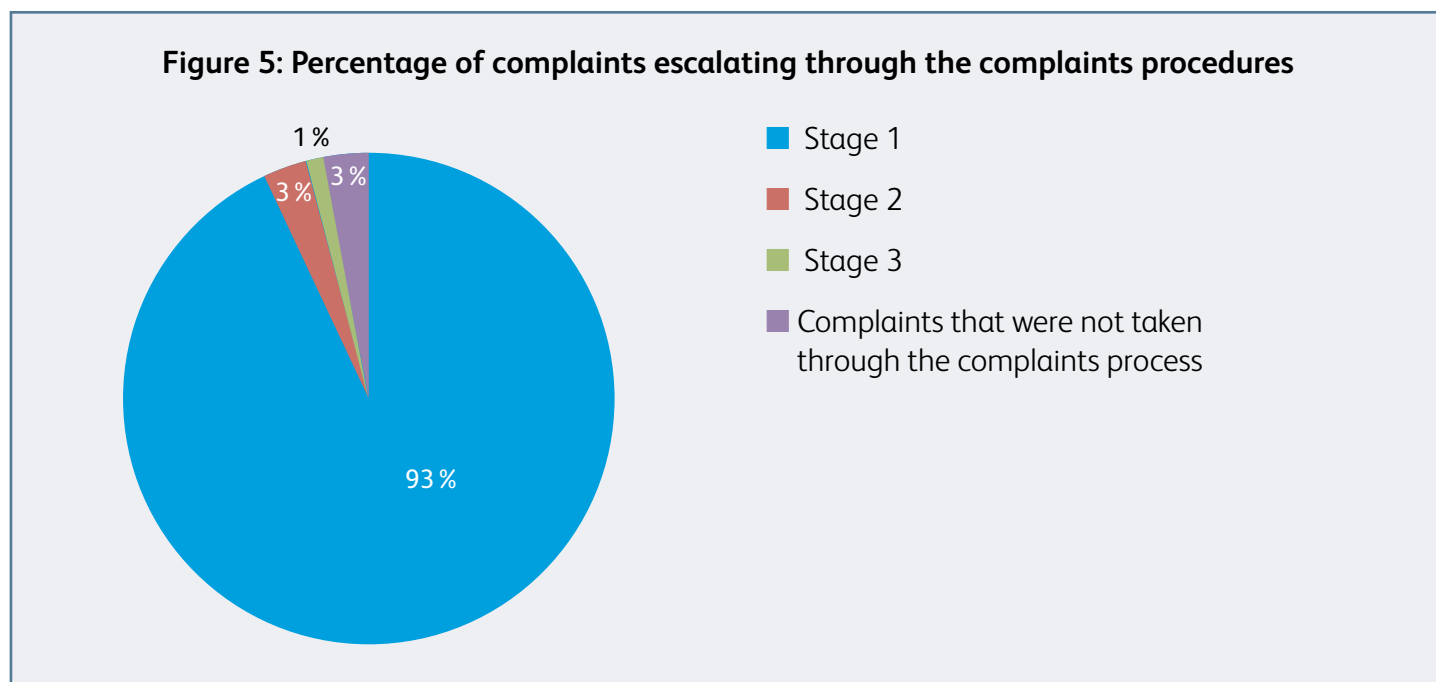
- Missed bin/non-collection
- Repair delay
- Anti-social behaviour management
- Boiler/heating issues
- Appointments – missed/late
- Brown bin collections
- Care outcomes
- Street work issues

For further detail around Directorate complaint trends please see sections 5 to 11 of the report.

3.2 Dealing with Complaints

The Council follows four different complaints procedures: housing, children's social care, adult social care and the corporate complaints procedure. The former three complaints procedures are legislative and have individual statutory requirements about how complaints are dealt with.

A relatively small portion of complaints are not taken through the formal complaints procedure – (formally referred to as informal complaints). These are complaints that are in relation to Council policy or decisions that have been formally approved in Cabinet. In these cases, the complaint is not taken through the formal procedure as it cannot be upheld, however all complainants receive a formal response. This report includes these complaints in the overall total figures. In 2018/19, this amounted to only 38 out of a total of 1,275 complaints.



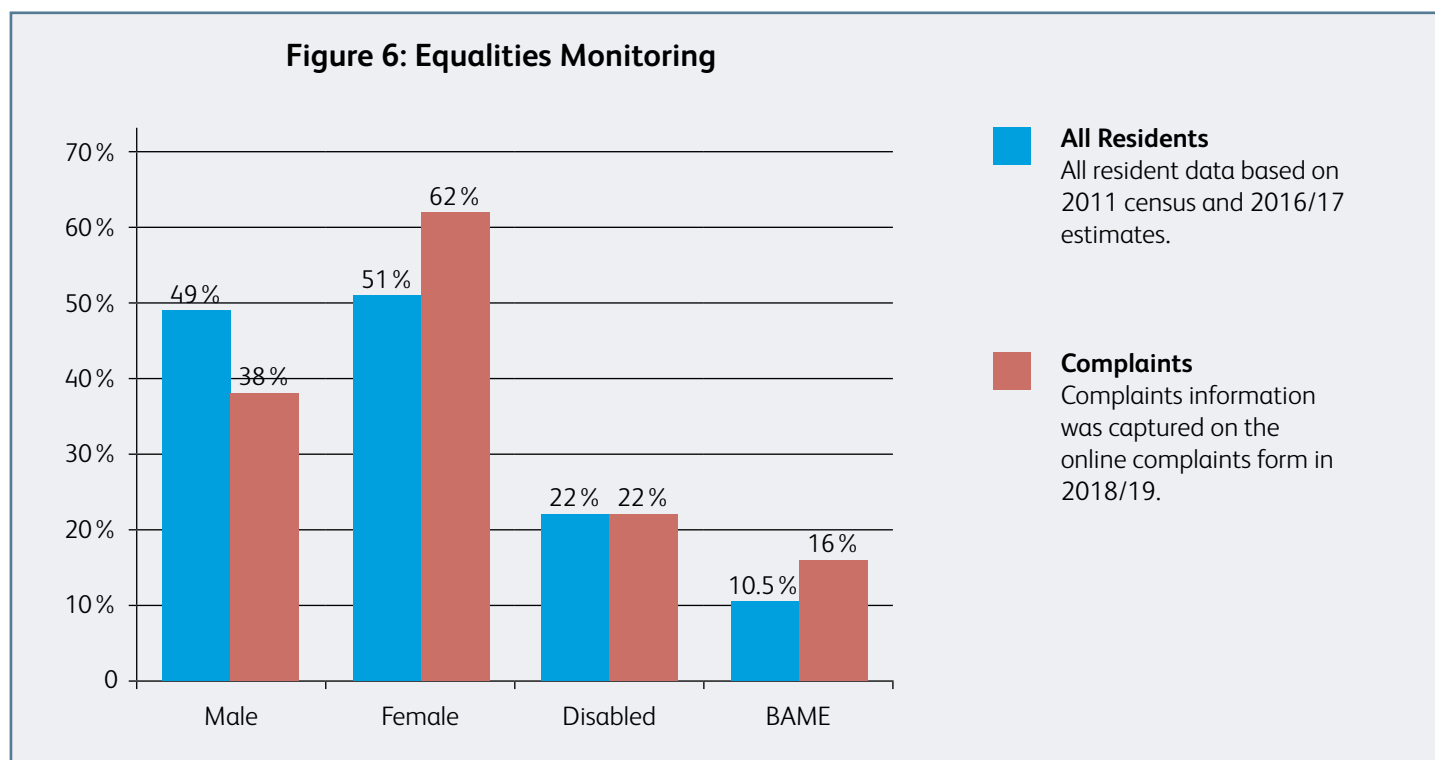
The diagram above outlines the number of complaints that reached the various stages of the complaints procedures.

The extent to which complaints escalate through the complaints procedure is an important measure, as it is preferable to find resolutions for customers at the earliest possible stage. As shown in figure 5, the vast majority of complaints (93%) were resolved at stage 1 (only 44 were escalated to stage 2, compared with 52 in 2017/18).

Additionally, of the 1,237 complaints that were taken through the Council's formal complaints procedures, more were upheld in 2018/19 (305 or 25% compared with 260 or 24% in 2017/18).

3.3 Equalities Monitoring

Following the Council's Equalities and Diversity Peer Review in October 2017, it was agreed to start recording the demographics of customers making formal complaints. This information will be used to ensure that the complaints process is fair and accessible for all customers.



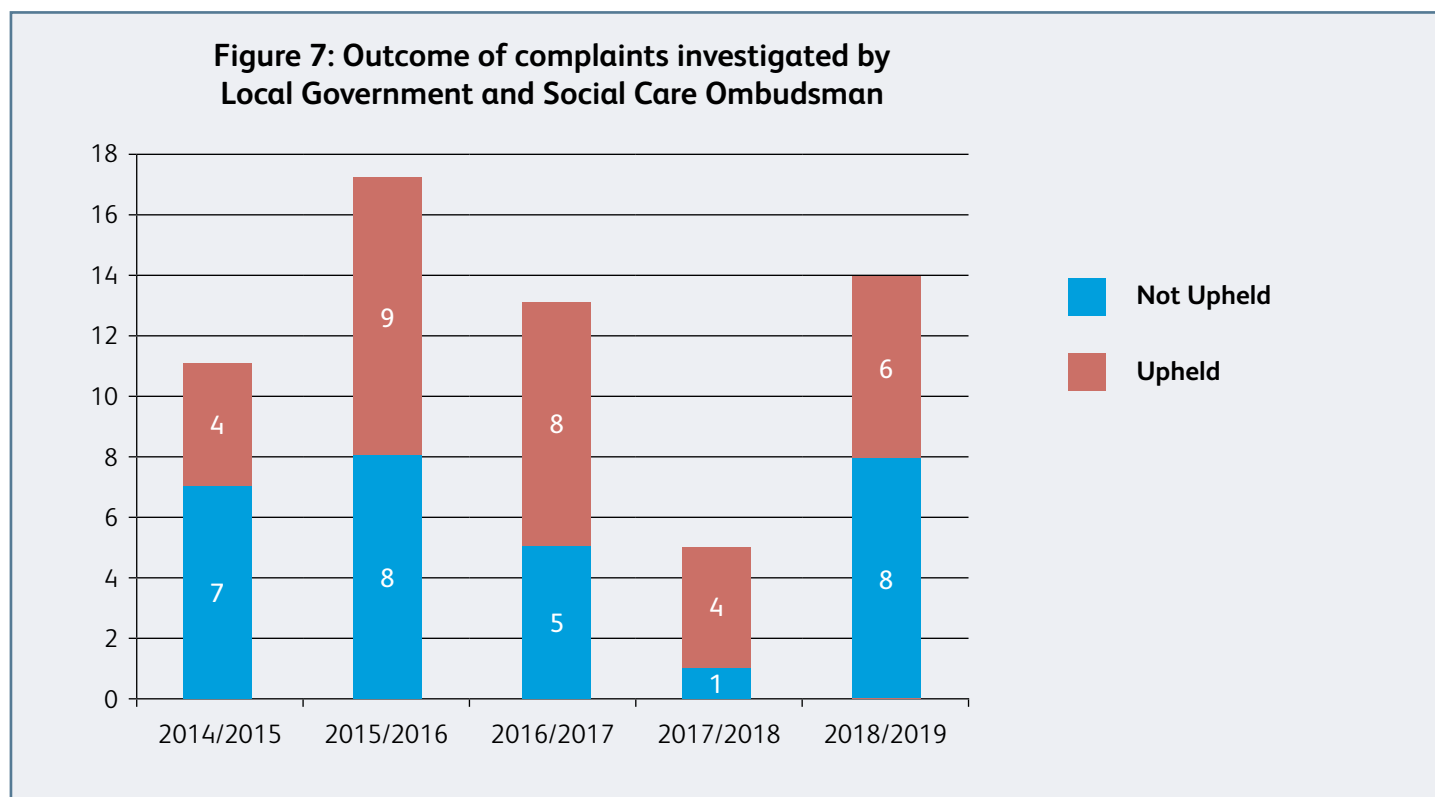
The information received indicates that more female customers complained about Council services in 2018/19. All Directorates apart from Finance and Customer Services recorded a higher number of female complainants. For example in Housing Services the percentage of female complainants was 66% and Regeneration and Environment it was 58%.

It is also noted that there is parity in the numbers for those customers who are disabled and a slightly higher proportion of BAME customers have made a complaint compared to the all residents figure.

The Complaints Team will continue to develop and monitor the information in 2019/20; and will be able to provide more detailed analysis in respect of complaint trends and protected characteristics during the year.

3.4 Local Government and Social Care Ombudsman

If complainants are not satisfied with the outcome of their complaint as investigated through the Council's complaints procedures, they can involve the Local Government and Social Care Ombudsman (LGSCO). 60 complaints and enquiries were directed to the LGSCO in 2018/19, and of these 60, the LGSCO investigated 14. Figure 7 (see below) provides some context; on average, approximately 12 complaints were investigated by the LGSCO per year between the financial years of 2014/15 and 2018/19.



In 2018/19 more complaints were investigated and more complaints were upheld by the LGSCO than in the previous year. This is slightly above the five year average of 12 and is the highest number since 2015/16. This is in part explained by the time taken by the LGSCO to investigate complaints meaning that complaints are often received in one year and the investigation completed in the following year. This is illustrated by the fact that five out of the 14 decisions received in 2018/19 were received in the first quarter of 2018/19 whilst the investigation started in the final quarter of the previous year.

Appendix one outlines the LGSCO decisions for the Council for 2018/19 and how these compare with 16 statistical neighbour Councils. In 2018/19, the Council had more than the average number of complaint investigations compared to its statistical neighbours. However, it had a good upheld rate at 43%, based on the total investigated (57% were not upheld). This placed the Council 3rd out of 16 Councils.

Furthermore, it shows that the majority of complaints that were brought to the LGSCO (60 considered) were deemed invalid or incomplete, referred back for local resolution or closed after initial enquiries. This along with the relatively low number of investigations reflects positively that the Council's complaints procedures are working effectively to find fair and appropriate local resolutions.

Of the six complaints that were investigated and upheld by the Local Government and Social Care Ombudsman, three were in Children and Young People's Services, one was in Adult Care Services, one was in Regeneration and Environment Services and another was in Housing Services.

3.5 Housing Ombudsman

From April 2013, the Housing Ombudsman has dealt with all complaints regarding social housing. There were five decisions made by the Housing Ombudsman in 2018/19 (Please note, two decisions made were simply to advise that the complaints were outside of their remit to adjudicate). There was only one complaint upheld.

The upheld complaint was regarding repairs to a council property and responses through the complaints process leading up to the Ombudsman investigation. Only issues relating to delays in response to the complaint were upheld.

4. PERFORMANCE

4.1 Performance Overview

Performance relating to complaints is monitored via the Council Plan and reported to the Strategic Leadership Team and Cabinet on a quarterly basis. The plan includes the following actions and measures:

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

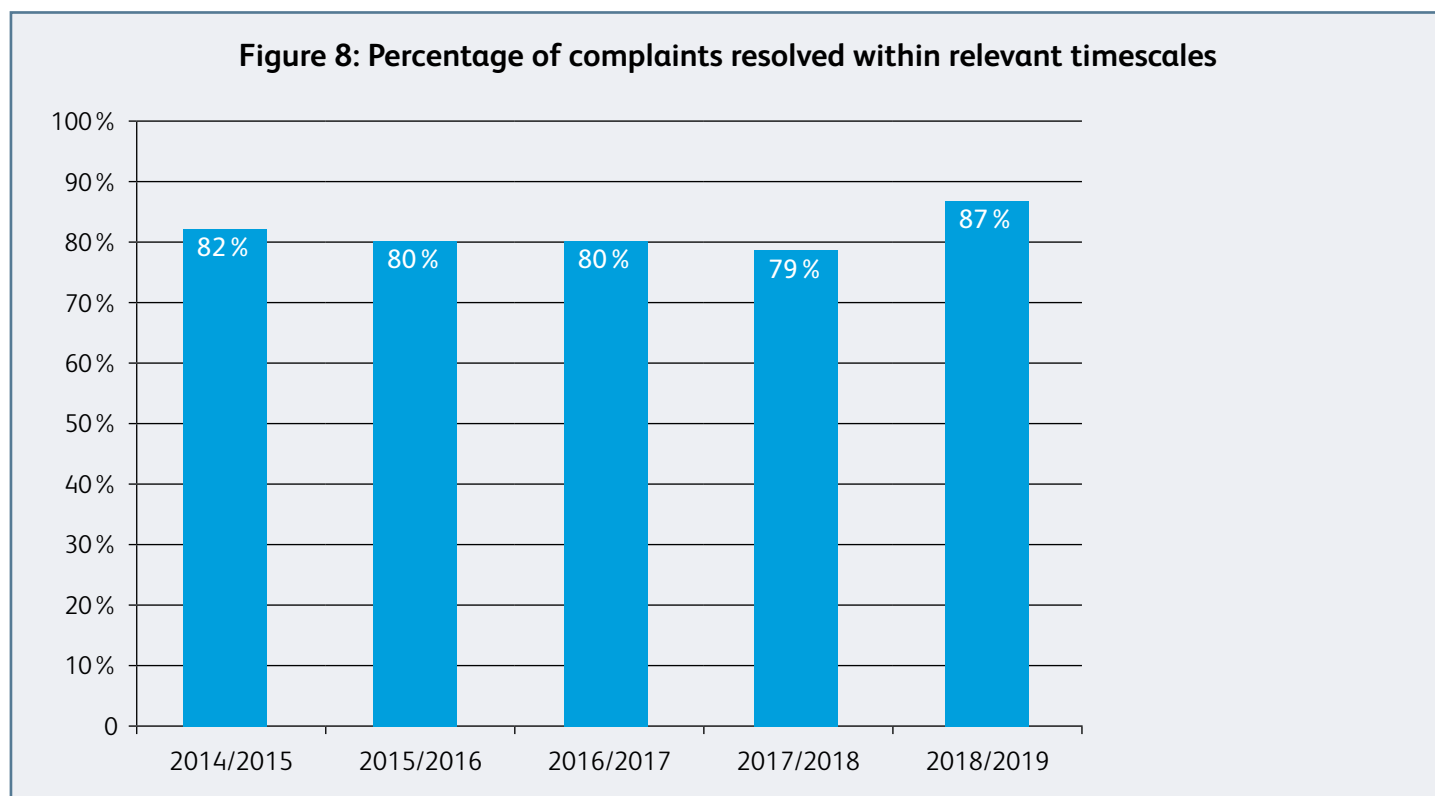
- Action – Deliver a cleaner, greener Rotherham to ensure that it is a safe and attractive place to live, work and visit
 - o Measure 3.B3 – Total number of customer contacts by service area and overall total – Service areas include a) Street Cleansing, b) Grounds Maintenance, c) Litter, d) Waste Management. Contacts measured are: i) Official complaints, ii) Compliments received, iii) Service Requests
 - o Target – 10% reduction (target around 190 cumulative) in the number of official complaints received

Priority 5 – A modern efficient council

- Action – Treating customer complaints with respect and dealing with them in an efficient and outcome-focused way
 - o Measure 5.C1 – % of complaints closed within timescale (cumulative)
 - o Target – 85% target

Performance is also monitored through service plans and regular (weekly, monthly and quarterly) performance reports are presented to Directorate Leadership Team meetings and Service Management Team meetings.

The following graph compares the overall Council performance against timescales for the past five years:



Performance has exceeded the Council Plan target (85%) for the first time, at 87% of complaint responses within target timescale. This is also the best performance in the last five years. (79% were responded to within timescales in 2017/18). An effort has been made across all Council services to improve performance to timescales, with additional focus in Children's Safeguarding and Waste Management. In addition, there has been weekly complaint performance reporting to Directorate Management Teams and quarterly reporting to Strategic Leadership Team via the Council Plan.

4.2 How we are improving

Improving the way that complaints are dealt with requires a whole Council approach, with services prioritising complaints and making improvements based on the feedback from customers. Therefore, it is the responsibility of every service to make responding to complaints and learning from customer feedback a priority.

A number of service improvements have been made over the year based on feedback from our customers. Key themes of service improvements have included the training and performance management of staff; reviews of processes and policies; and the revision of communication materials. Examples of case studies where service improvements have been made based on complaints are outlined within each Directorate section.

Further work will be undertaken in 2019/20 to continue to improve the approach to dealing with complaints. This is outlined in the 'Next Steps, 2019/20' section at the end of this report.

5. ADULT CARE SERVICES

Figure 9: Total number of complaints and compliments relating to Adult Care Services

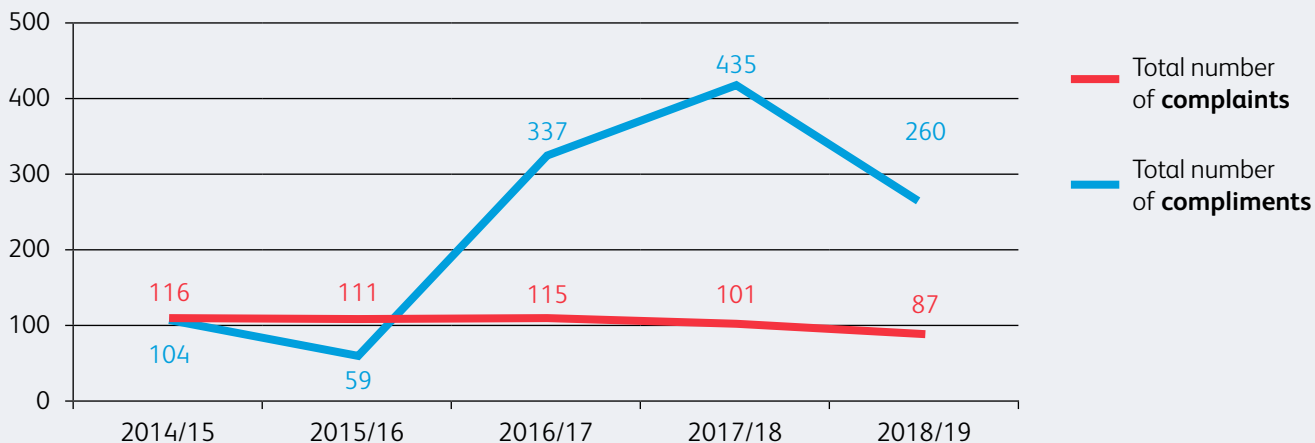


Figure 10: Percentage of complaints relating to Adult Care Services closed in timescales

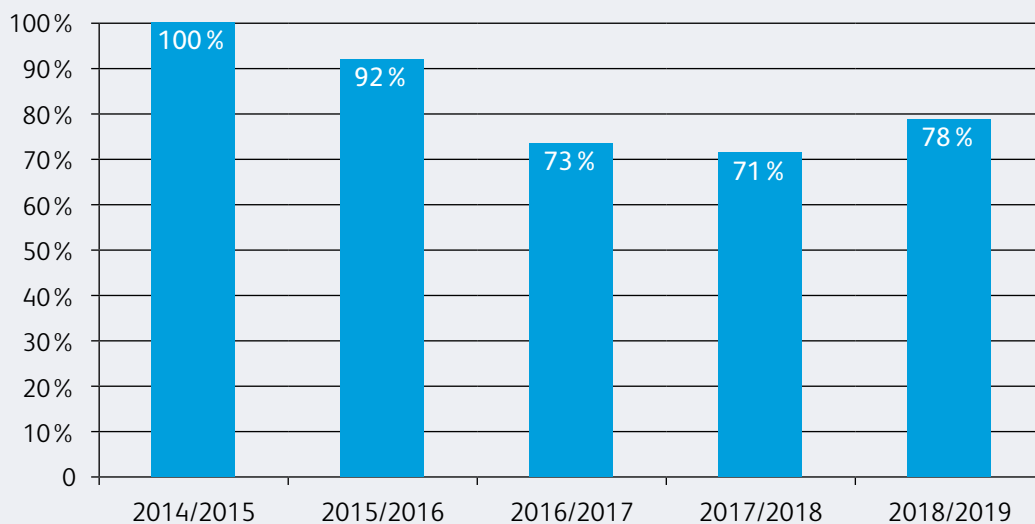
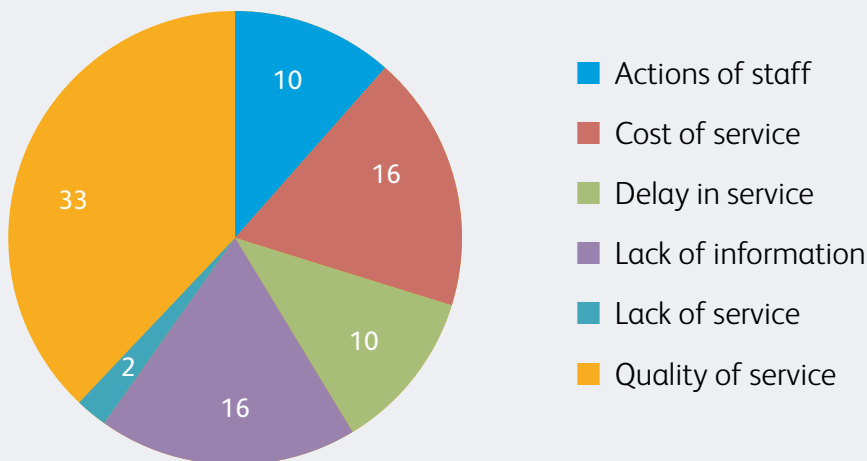


Figure 11: Complaints about Adult Care Services by category



5.1 Key Headlines

14%

fewer
complaints
received

Fewer complaints about Adult Care Services were received.
(87 in 2018/19 compared with 101 in 2017/18.)

Fewer compliments were received about Adult Care Services.
(260 in 2018/19 compared with 435 in 2017/18.)

40%

fewer
compliments
received

Fewer complaints were upheld.
(14 in 2018/19 compared with 25 in 2017/18.)

78% of complaints were responded to within timescales.

This is slightly above the Council average of 77% but falls short of the Council Plan target of 85%.



Two Ombudsman complaint decisions were received.

Neither were upheld.

Nearly half of complaints were regarding quality of service.

(30 of 79 complaints.)



Prevalent themes which emerged specifically within upheld and partially upheld complaints for Adult Care Services complaints were:

- Lack of contact and poor communication by Social Workers.
- Assessment outcomes; disagreement with the amount or type of support offered.
- Issues around the cost of care and information provided in respect of financial issues.

Examples of some of the compliments received for Adult Care Services in 2018/19:

“The lady who came to see me was very pleasant, extremely helpful and understanding”

“The member of staff was easy to talk to and willing to help whenever she can, she had great understanding and empathy”

“The member of staff is the most caring, supportive and “real” social worker we have ever had. She’s methodical, she keeps us updated at every opportunity, and she juggles her schedule to meet ours. In our opinion she’s an absolute diamond.”

5.2 Lessons Learned

Adult Care Services made several service improvements based on customer feedback in 2018/19. An example of these improvements is outlined in the case study below:

The Complaint

A number of customers complained about problems experienced through the discharge process. Including the level of information provided and other communication problems.

What did we do?

Individual complaints were addressed and action was taken so that staff improved practice around information and advice.

In addition, in 18/19 the service was subject to redesign to address problems experienced through the discharge process. The service now has a single referral process which improves the persons experience in terms of communication with appropriate professionals supporting a timely and effective discharge.

Who is better off?

Customers and their families now receive better information through a more straightforward process and communication is improved. The improvements to the discharge process were recognised at the HSJ awards, where the Integrated Discharge Team was awarded the Acute Service Redesign Award.

Adult Care Services are also working on the following key service improvements:

- Developing a Wellbeing Forum that provides high support, high challenge, consistency and quality assurance of case decisions.
- Developing and implementing new operating policies and procedures.
- Improving practice and quality assurance including case file audits.
- Delivering a workforce development plan that includes legal literacy training to support practitioner confidence and competence in relation to statutory duties under the Care Act.
- Implementing a new target operating model that will improve the adult care pathway.

6. CHILDREN AND YOUNG PEOPLE’S SERVICES

Figure 12: Total number of complaints and compliments about Children and Young People’s Services

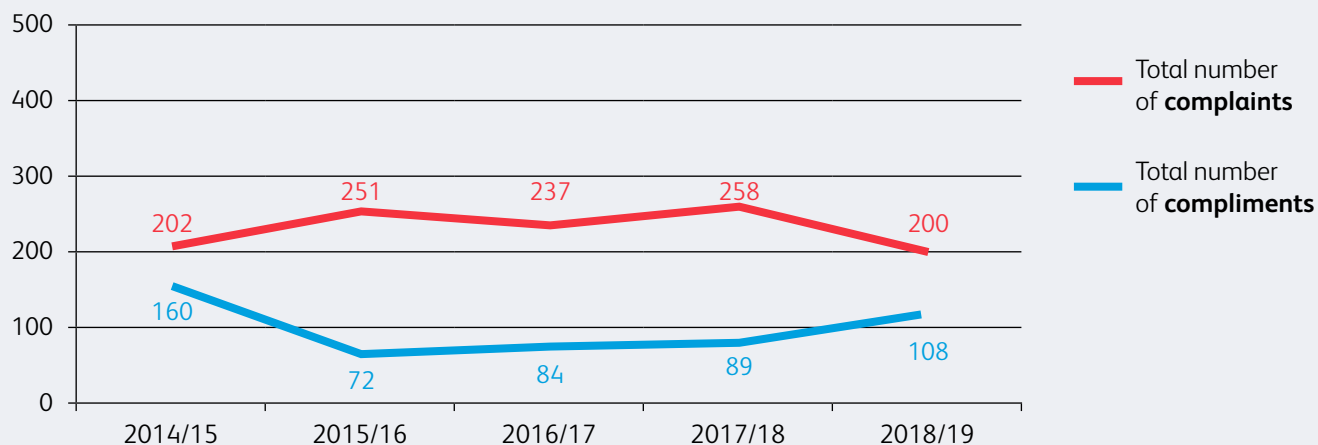


Figure 13: Percentage of complaints about Children and Young People’s Services closed within timescales

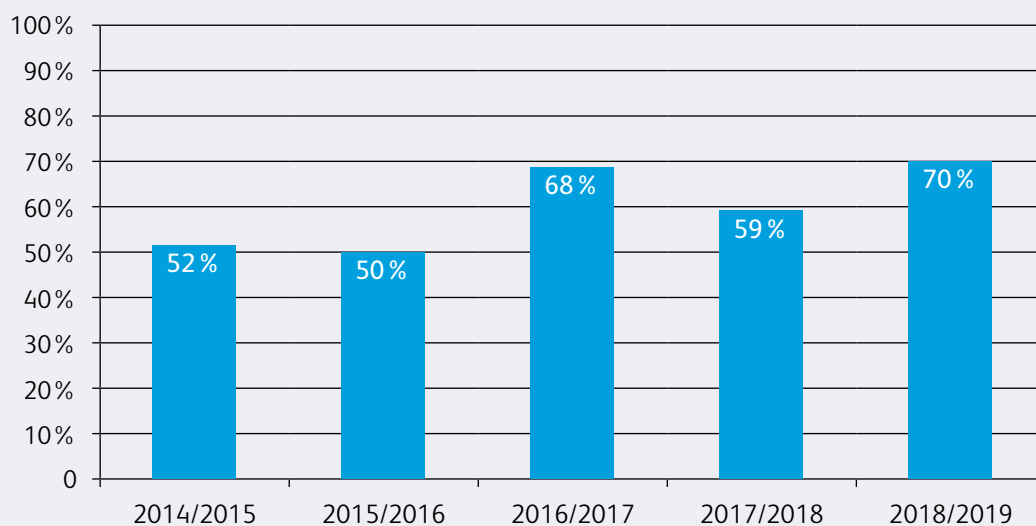
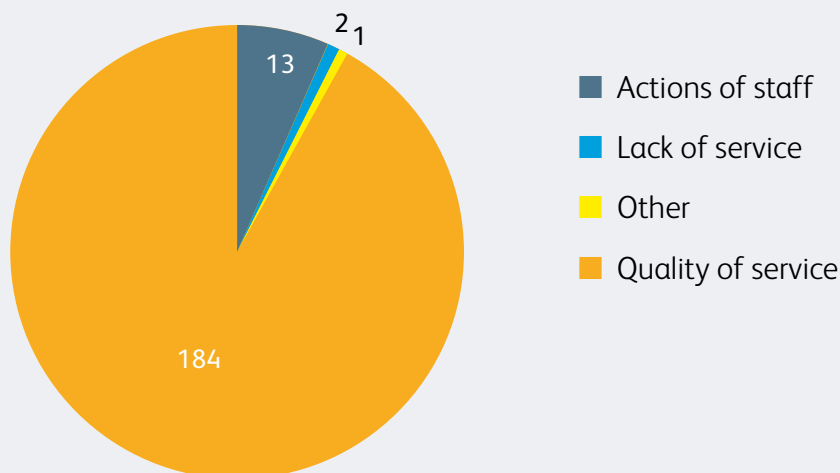


Figure 14: Children and Young People’s Services – complaints by category



6.1 Key Headlines

22%

fewer
complaints
received**Fewer complaints
about Children and
Young People's
services were received.**(200 in 2018/19
compared with
258 in 2017/18.)**More compliments
were received about
Children's and Young
People's services.**(108 in 2018/19
compared with
89 in 2017/18.)

18%

more
compliments
received**Fewer complaints
were upheld.**(23 in 2018/19
compared with
33 in 2017/18.)**70% of complaints
were responded to
within timescales.**This is below the Council
average of 77% but an
increase on last year.**Three Ombudsman
complaint decisions
were received.**One was upheld and
two were not upheld.**Most complaints
were regarding
quality of service.**(184 of 200
complaints.)**Prevalent themes which emerged specifically within upheld and partially upheld complaints for Children & Young People's Service complaints were:**

- Dissatisfaction around the sharing of information
- Lack of contact and communication
- Delays and lack of progress
- Unhappy with decisions made

Examples of some of the compliments received for Children & Young People's Service in 2018/19:

"The Social Worker went way above the requirements of her role and I cannot thank her enough for this for her help with my daughter. She is calm, honest, open, friendly and inclusive. Both my daughters view her as a friend and this is testament to her fantastic attitude, caring nature and professional approach."

"I would like to let you know that I have been working with the Social Worker for the past ten months and it was a pleasure working with her, not only has she supported my young girl but she has been a great support to me and has always gone the extra mile to make sure I have been ok. She is a credit to you and your team and I am hoping I will work with her in the future."

"The support worker was very helpful and understood everything I was going through. She sat and listened to my problems and helped so much. Very helpful, polite and friendly also the service has helped a great deal."

6.2 Lessons Learned

Children and Young People's Services made several service improvements in 2018/19 following the feedback from customers. An example of this is outlined in the case study below:

The Complaint

A child who was placed with a family member was not placed for adoption with the Early Permanency Planning (EPP) carers. The complaint was received from the EPP carers as a result of the child not being placed with them.

What did we do?

A reflective learning session was held with the Principal Social Worker, Adoption and Court and Permanency Team Manager and EPP champions to review the actions from the complaint and lessons learnt.

From that CYPS relaunched and completed a refresher training event on EPP in May 2019. This was delivered to Social Workers in the Adoption Team, Court and Permanency Teams and colleagues within the Legal Team. This training considered the matching process for when making EPP placements, the professional's role in this and messages that are given to EPP carers regarding their role and associated risks with EPP, in that there is not a guarantee that the child will remain in their care or be placed for adoption with them.

A leaflet has now been produced to give to EPP carers when we are considering matching to reiterate the verbal information that is given them about their specific role as EPP foster carers (not adopters at this stage) and the uncertainty that they may experience during the Court proceedings.

Who is better off?

As a result of the reflective learning and training sessions, EPP carers will be presented with the risks involved at the outset which will ensure that anyone entering into this type of carer arrangement is fully conversant with the uncertainty it may bring.

7. HOUSING SERVICES

Figure 15: Total number of complaints and compliments relating to Housing Services

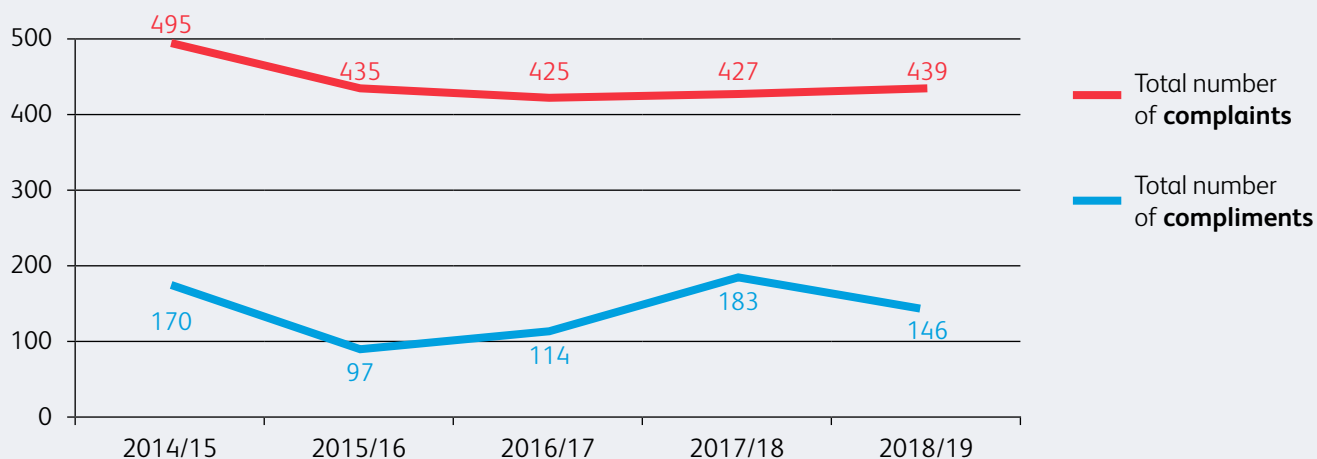


Figure 16: Percentage of complaints closed within timescales

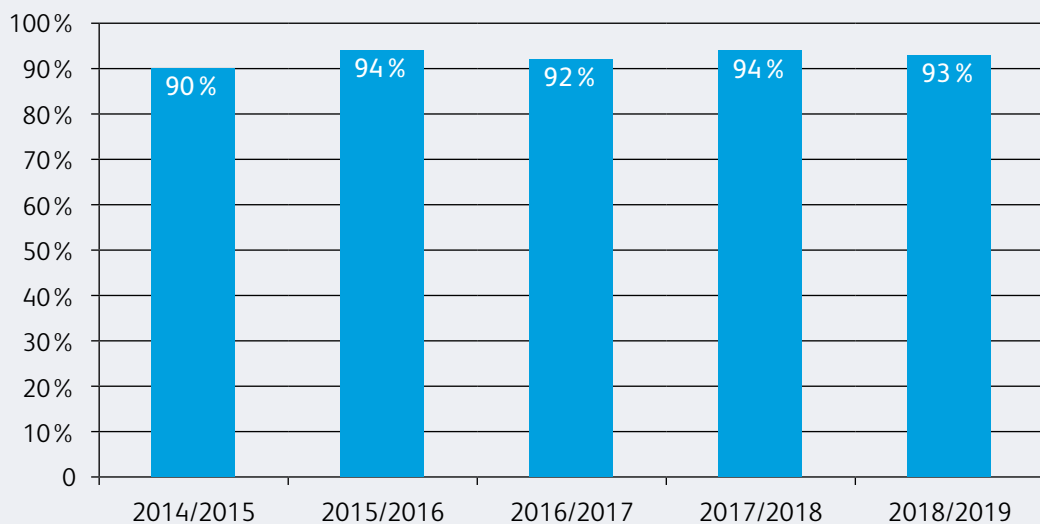
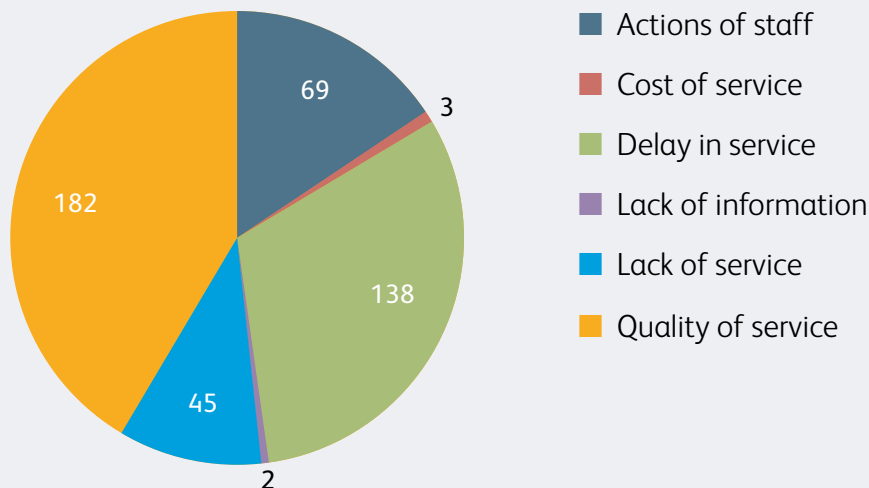


Figure 17: Housing Services complaints – by category



7.1 Key Headlines

2.8%

more
complaints
received

More complaints about Housing Services were received.
(439 in 2018/19 compared with 427 in 2017/18.)

Fewer compliments were received about Housing Services.
(146 in 2018/19 compared with 183 in 2017/18.)

20%

fewer
compliments
received



More complaints were upheld.
(129 in 2018/19 compared with 120 in 2017/18.)

93% of complaints were responded to within timescales.

This is significantly above the Council average of 77% and the Council Plan target of 85%.



Eight Ombudsman complaint decisions were received.
One was upheld.

Almost half of complaints were regarding quality of service.
(182 of 439 complaints.)



Prevalent themes which emerged specifically within upheld and partially upheld complaints for Housing Services complaints were:

- Issues relating to repairs
- Delays in service
- Linked to both issues and most complaints is the need to improve communication between services and customers. This includes raising customer awareness of policies and feeding back to customers while investigations and works are in progress.

Examples of some of the compliments received for Housing Services in 2018/19:

“She is a brilliant worker. She is so knowledgeable.”

“Thank you for all your help in quickly arranging the repair of the back door and bathroom window after a break in.”

“She has been outstanding with her contribution to arrange and rearrange visits with myself and being persistent and dogmatic in her approach.”

7.2 Lessons Learned

Housing Services made several service improvements based on customer feedback in 2018/19. An example of these improvements is outlined in the case study below:

The Complaint

A family suffered a two week delay replacing a boiler in January. The delay was mainly due to the sub-contractor not having the correct contact details, not pursuing the lack of contact thoroughly and then the need to erect scaffolding when an appointment was attended. An apology was made and resident compensated.

What did we do?

- To prevent this problem happening again the following changes have been made;
- If a customer has not been successfully contacted by the second day, the contractor will visit the property and if this fails they will contact the Council to raise their concern.
- The initial boiler fault sheet has been changed to include a section for assessing whether scaffolding is required to ensure that such issues are identified at the earliest opportunity.
- The Gas Team have liaised with the Contact Centre Supervisors to ensure that they are constantly checking current contact numbers, as the initial repair job had the wrong landline number which created the problem.
- The Gas Team are ensuring that the most up to date telephone number is added to the replacement boiler job sheet when it is sent to the contractor.

Who is better off?

Customers requiring a replacement boiler will receive a quicker more reliable service.

8. REGENERATION AND ENVIRONMENT SERVICES

Figure 18: Total number of compliments and complaints about Regeneration and Environment Services – 2018/19

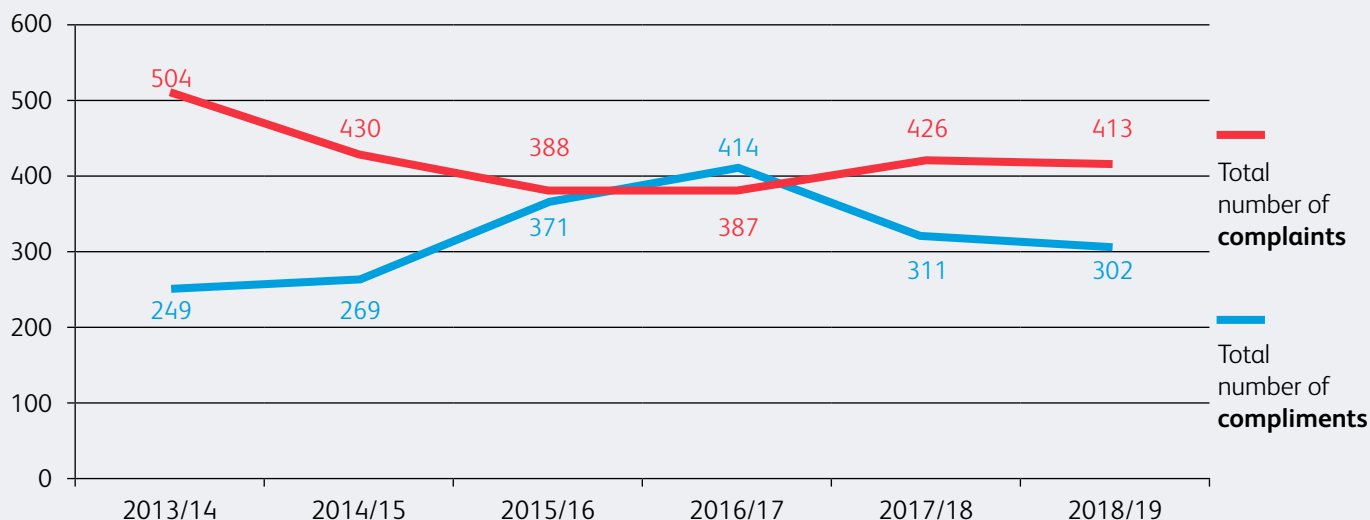


Figure 19: Percentage of complaints about Regeneration and Environment Services closed within timescales – 2018/19

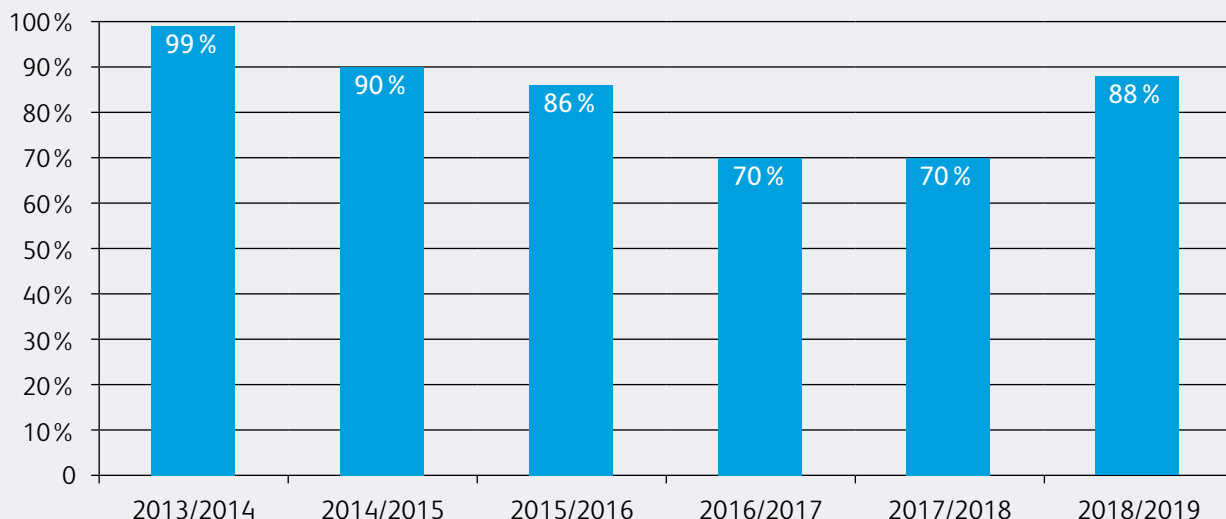
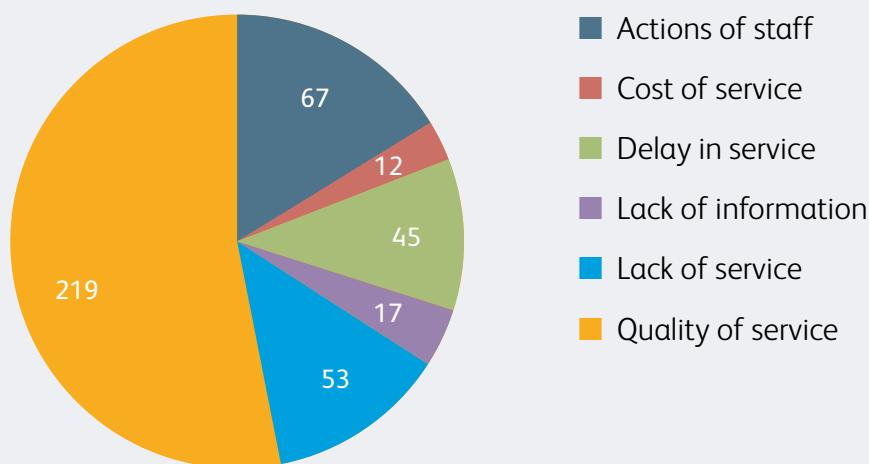


Figure 20: Complaints for Regeneration and Environment by category – 2018/19



8.1 Key Headlines

3%

fewer
complaints
received**Fewer complaints
about Regeneration
and Environment
Services were received.**(413 in 2018/19
compared with
426 in 2017/18.)**Fewer compliments
were received about
Regeneration and
Environment Services.**(302 in 2018/19
compared with
311 in 2017/18.)

3%

fewer
compliments
received**More complaints
were upheld.**(107 in 2018/19
compared with
75 in 2017/18.)**More complaints
responded to within
timescales.**(88% in 2018/19
compared with
78% in 2017/18.)**Four Ombudsman
complaint decisions
were received.**One was upheld and
three were not upheld.**Over half of
complaints were
regarding quality
of service.**(219 of 413
complaints.)**Prevalent themes which emerged specifically within upheld and partially upheld complaints for Regeneration and Environment Services were:**

- Waste management issues including missed bin collections and bins not being returned.
- Conduct of staff across all services.

Examples of some of the compliments received for Regeneration and Environment Services in 2018/19:

“The men who collected our bin were a credit to the Council and it appeared that they both enjoyed their jobs. They were very polite and spoke to both me and my grandson (aged 2) - who was watching as our bin was emptied.”

“Thank you very much for your help with regards to my noise complaint.”

“The information was perfect and the fact that I received this information back so quickly and out of normal service hours was wonderful.”

8.2 Lessons Learned

Regeneration and Environment Services made several service improvements based on customer feedback in 2018/19. An example of these improvements is outlined in the case study below:

The Complaint

A complaint had been received around the refusal to accept a fridge which a customer wished to take to a Household Waste Recycling Centre.

What did we do?

The customer was advised that the fridge could not be accepted due to it containing ammonia which is a hazardous substance and these types of fridge being classed as industrial waste. It was confirmed that the operative had acted correctly.

It was agreed however, that the information on the leaflet and online could be made clearer in respect of the restrictions around disposal of fridges.

The information on our website was subsequently updated to state that commercial-type fridges or freezers and ammonia fridges are not accepted at Household Waste Recycling Centres.

Who is better off?

Customers now receive accurate advice regarding the disposal of fridges and the restrictions which apply; as well as advice regarding the disposal of a number of common items via an A-to-Z guide on the Council website.

9. FINANCE AND CUSTOMER SERVICES

NB. The comparison for Finance and Customer Services is based on the previous two financial years only, due to the fact that these services formerly sat within another Directorate.

Figure 21: Total number of complaints and compliments about Finance and Customer Services

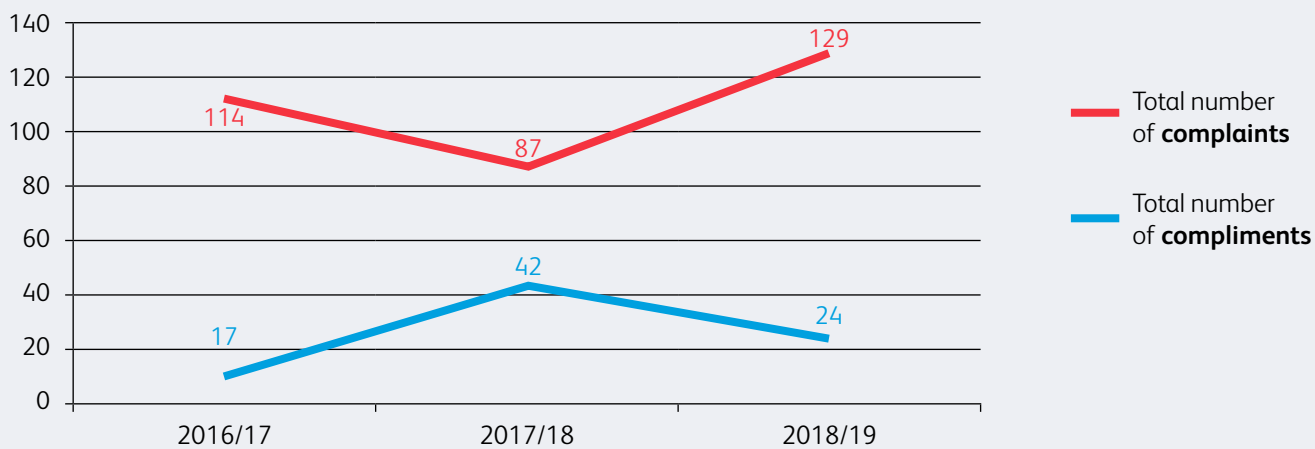


Figure 22: Percentage of complaints about Finance and Customer Services closed within timescales

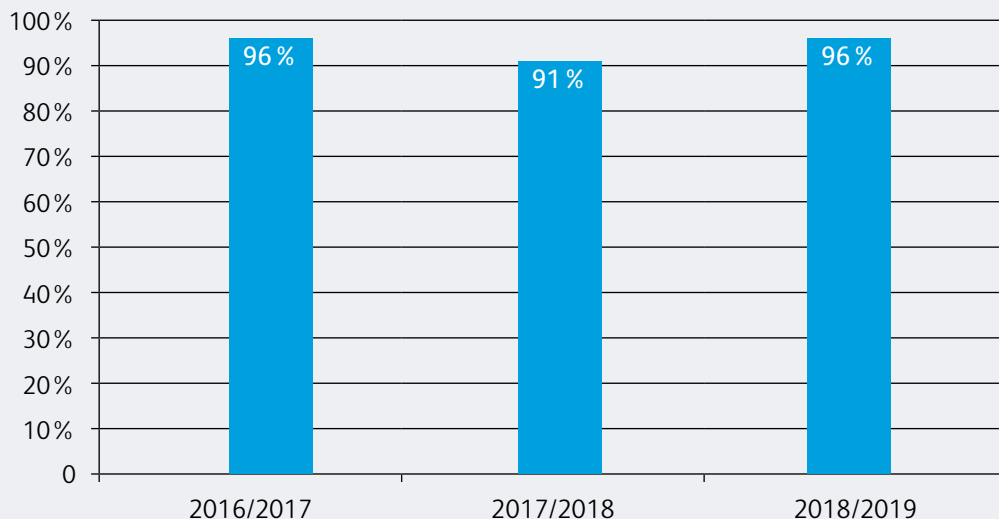
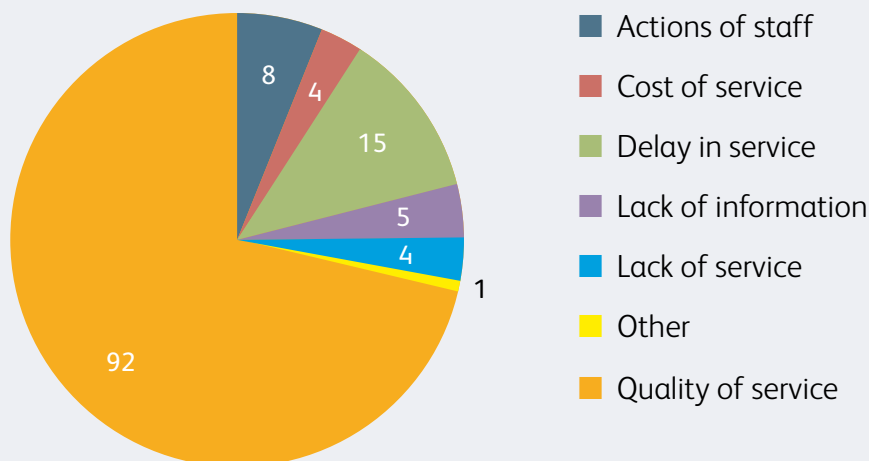


Figure 23: Finance and Customer Services – complaints by category



9.1 Key Headlines

48%

more
complaints
received

**More complaints
about Finance and
Customer Services
were received.**

(129 in 2018/19
compared with
87 in 2017/18.)

**Fewer compliments
were received about
Finance and
Customer Services.**

(24 in 2018/19
compared with
42 in 2017/18.)

42%

fewer
compliments
received



**More complaints
were upheld.**

(32 in 2018/19
compared with
seven in 2017/18.)

**96% of complaints
were responded to
within timescales.**

This is slightly above
the Council Plan
target of 85 %.



**No Ombudsman
complaint decisions
were received.**

**84% of complaints
were regarding
quality of service.**
(92 of 129 complaints.)



Prevalent themes which emerged specifically within upheld and partially upheld complaints for Finance and Customer Services were:

- Call waiting times for customer services.
- Conduct of staff particularly when handling telephone enquiries to Customer Services, Council Tax and Housing Benefit.
- Errors with the administration of Council Tax and Housing Benefit accounts

Examples of some of the compliments received for Finance and Customer Services in 2018/19:

“Customer said if there was survey at the end of the call she would receive 100%. She was awesome – polite, patient and calm.”

“Customer commented how easy it is to deal with/contact us. She has properties in other boroughs and she is always held on the phone for ages.”

“Thank you for your continuous support over the weekend, it means a lot to know that you are there supporting us at such a busy time and making yourself available to support you.”

9.2 Lessons Learned

Finance and Customer Services made several service improvements in 2018/19 following the feedback from customers. An example of these is outlined in the case study below:

The Complaint

A number of customers complained about delays in being able to contact the Council's Customer Services to enquire about the new garden waste collections service.

What did we do?

A significant factor in management of volume of calls was that letters which were sent to households regarding the new garden waste service were sent over a 3-week period. The introduction of the service received unprecedented demand which resulted in increases calls volumes. The letters generated a high volume of telephone calls to the Council over a short period of time.

The mail out for the further changes to waste collection services was staggered over a longer period of seven weeks so that the volume of telephone calls was distributed over a longer period of time as well as additional members of staff being recruited to deal with the volume of enquiries.

Who is better off?

Customers were able to successfully contact the Council with enquiries regarding the garden waste collection service and the Council received fewer complaints as a result.

10. ASSISTANT CHIEF EXECUTIVE'S DIRECTORATE

The comparisons for the Assistant Chief Executive's Directorate is based on the previous two financial years only, due to the fact these services formerly sat within another Directorate. The Directorate is mainly comprised of services internally supporting the council, the largest service area being Human Resources. The majority of services within the Directorate only have limited contact with customers and due to the nature of services they provide they will not generate a lot of complaints or compliments.

As such, information on what was received in 2018/19 is provided in summary below.

10.1 Key Headlines

- One more complaint was received (six in 2018/19 compared with five in 2017/18).
- One less compliment was recorded (three in 2018/19 compared with four in 2017/18).
- Five complaints were taken through the formal complaints procedure, three Stage One complaints and two Stage Two complaints.
- Two complaints were partially upheld (two upheld 0 part upheld in 2017/18).
- No complaints were investigated by the Local Government and Social Care Ombudsman.
- 40% of complaints were resolved within statutory timescales (two out of five in time).

10.2 Complaints

The subject matter of each complaint received is listed below:

Democratic Services

- The Council's petition scheme and decisions to decline consideration of petitions submitted. (Investigated again at Stage Two).

Neighbourhoods

- The creation of a local community group and the management of its finances. (Investigated again at Stage Two).
- Unhappy with the response by a member of staff in respect of their concerns about ASB in their local area.

Policy and Partnerships

- Unhappy with the Council's use of the Laser Credit Union Ltd.

10.3 Compliments

Three received

Neighbourhoods

- “I just wanted to say a personal thank you for everything that you have done and doing for our little group. There is no way without you it would be as successful as it is now.”

Democratic Services

- “Thank you for your help this morning which has seen instant action. A risk assessment has been completed and the matter has been dealt with swiftly. You are an ambassador for the council. Your approach to his concerns has resulted in matters being dealt with quickly and all the officers that he has been in contact with today have been effective and efficient in their work. Well done!”

Performance, Intelligence and Improvement

- “Thank you for the ongoing support in regard to voluntary work and for understanding and supporting me when needed.”

10.4 Lessons Learned

Democratic Services

- The complaints received about the Council’s petition scheme informed a review of the scheme and the processes involved. This included considering making the list of exclusions more descriptive, the time taken to respond and the information provided if a petition is rejected.

Neighbourhoods

- Complaints were made about a local community group. Although not upheld there was general reflection on how the service supports local groups and what level of support they require.

II. PUBLIC HEALTH

It is a statutory requirement to report annually on the complaints received for Public Health Services. Please note that the Public Health department predominately commission services and it is the commissioned service providers who will respond to any formal complaints via their own complaint procedures. The information below relates to compliments and to complaints responded to by the Public Health services directly under the council's complaint procedure.

One complaint was received in 2018/19. It was regarding the tendering process relating to the provision of sexual health services. The complaint was responded to in time and was not upheld.

One compliment was recorded in 2018/19. Substance Misuse Team "Very big thank you... ..I have learnt so much in my time spent in rehab, and now have the tools to cope and excel in day to day living, and living is something I am certainly doing every day now. My hope has been restored and I have much faith in my future."

12. NEXT STEPS, 2019/20

During 2018/19 although the overall number of complaints decreased, the landscape that the Council operates within remains challenging. Change continues to be made to the delivery of services in response to the critical need to manage budget savings. This could have a negative impact on the public perceptions of the Council and it is therefore important that customer expectations are managed and complaints responded to in a timely manner.

Further steps will be taken in 2019/20 to ensure that the approach the Council takes to dealing with complaints and responding to customer feedback continues to improve. Key actions will include:

- Introduction of a new case management system in the Complaints Team. This will include a full review of the processes around formal complaints and compliments.
- Comprehensive audit of all complaint guidance, including the policy, guide to officers, the internet pages and the intranet.
- Review of all customer complaint literature, including website information, easy read guidance and information for children and young people.
- Ensure that the annual complaints report/updates on complaints data are shared at the highest level and that consideration of complaints is included in strategic Council wide improvement discussions.
- Developing the training offer for officers who sit outside of the Complaints Team. This will include the development of a simple e-learning training course for front line staff to allow them to understand the role and purpose of the complaint procedures.
- Focus more on the lessons learned from upheld complaints and how these can be addressed effectively.
- Work to improve performance within statutory timescales.
- Creation of a new easy read complaint response template for social care complaints.
- Commence procurement exercise for Children's Social Care Independent Officers. This is expected to reduce cost and improve performance to timescales.
- Creation of a Council and NHS Complaint Managers group in Rotherham.

APPENDIX ONE

Local Government and Social Care Ombudsman decisions 2018/19, Rotherham Metropolitan Borough Council and statistical neighbours

| Authority Name | Invalid or Incomplete | Advice Given | Referred Back for Local Resolution | Closed after Initial Enquiries | Not Upheld | Upheld | Total | Uphold Rate (%) | Total Investigated | Average uphold rate (%) of similar authorities |
|---|-----------------------|--------------|------------------------------------|--------------------------------|------------|----------|-----------|-----------------|--------------------|--|
| Telford and Wrekin Council | 2 | 0 | 12 | 8 | 5 | 2 | 29 | 29 | 7 | 55 |
| Barnsley Metropolitan Borough Council | 2 | 0 | 26 | 10 | 5 | 4 | 47 | 44 | 9 | 61 |
| Halton Borough Council | 0 | 0 | 15 | 16 | 5 | 4 | 40 | 44 | 9 | 55 |
| Wigan Metropolitan Borough Council | 2 | 5 | 26 | 14 | 4 | 5 | 56 | 56 | 9 | 61 |
| Rochdale Metropolitan Borough Council | 3 | 0 | 16 | 20 | 2 | 9 | 50 | 82 | 11 | 61 |
| St Helens Metropolitan Borough Council | 0 | 1 | 15 | 13 | 6 | 5 | 40 | 45 | 11 | 61 |
| Walsall Metropolitan Borough Council | 4 | 0 | 14 | 18 | 5 | 6 | 47 | 55 | 11 | 61 |
| Gateshead Metropolitan Borough Council | 2 | 5 | 13 | 16 | 6 | 6 | 48 | 50 | 12 | 61 |
| Stockton-on-Tees Borough Council | 3 | 0 | 15 | 12 | 8 | 5 | 43 | 38 | 13 | 55 |
| Rotherham Metropolitan Borough Council | 3 | 2 | 26 | 15 | 8 | 6 | 60 | 43 | 14 | 61 |
| Wakefield City Council | 4 | 3 | 28 | 27 | 8 | 6 | 76 | 43 | 14 | 61 |
| Dudley Metropolitan Borough Council | 1 | 5 | 34 | 18 | 4 | 13 | 75 | 76 | 17 | 61 |
| Doncaster Metropolitan Borough Council | 2 | 1 | 27 | 21 | 10 | 8 | 69 | 44 | 18 | 61 |
| Tameside Metropolitan Borough Council | 5 | 1 | 37 | 21 | 8 | 11 | 83 | 58 | 19 | 61 |
| Stoke-on-Trent City Council | 5 | 2 | 33 | 38 | 7 | 15 | 100 | 68 | 22 | 55 |
| Bolton Metropolitan Borough Council | 2 | 1 | 27 | 16 | 5 | 24 | 75 | 83 | 29 | 61 |

APPENDIX TWO

Customer contacts 2018/19

Below is a summary of the customer contacts received during 2018/19 via some of the Council's key customer services (within Riverside House and localities). It should be noted that this document does not provide a comprehensive overview and those listed are only a proportion of the customer contacts which the Council received.

Face to face

| | |
|---------------------------|----------------|
| Appointment New Claim/COA | 206 |
| Benefit Queries | 1,678 |
| Blue Car Badges | 4,054 |
| Casual Caller | 65,360 |
| Concessionary Travel | 1,173 |
| Council Tax | 3,070 |
| Forms and Evidence | 4 |
| Housing | 13,419 |
| Licensing | 7,901 |
| Non Domestic Rates | 61 |
| Parking Services | 354 |
| Planning and Building | 92 |
| Rothercard | 85 |
| Total | 97,457 |
| Cashiers | 19,743 |
| Property shop | 10,974 |
| Total | 128,174 |

Telephony

| | |
|----------------------|------------------|
| Contact Centre Calls | 693,603 |
| Adult Care Services | 253,321 |
| Children's Services | 314,982 |
| Council Tax | 97,391 |
| Recovery | 44,436 |
| Benefits | 57,773 |
| Property Shop | 910 |
| Housing Advice | 52,513 |
| Planning | 12,088 |
| Building Control | 13,803 |
| Licensing | 16,828 |
| Total | 1,557,648 |

Self-serve

| | |
|---------------------------------|------------------|
| Email accounts | 56,740 |
| Automated Payments | 62,722 |
| E forms | 187,077 |
| Kiosk | 65,431 |
| Pay Point | 224,199 |
| Internet Payments (Incl PayPal) | 108,119 |
| Unique Web Visitors | 1,236,182 |
| Total | 1,940,470 |

| | |
|----------------------|------------------|
| Overall total | 3,626,292 |
|----------------------|------------------|

