

## **OVERVIEW AND SCRUTINY MANAGEMENT BOARD**

**Date and Time :-** Friday, 20 December 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 previous meetings (Pages 1 - 18)**

To consider the minutes of the previous meetings of the Overview and Scrutiny Management Board held on 2 and 16 October and 27 November 2019 and approve them as true and correct records 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.

## **Items for Pre-Decision Scrutiny**

In accordance with the outcome of the Governance Review in 2016, the following items are submitted for pre-scrutiny ahead of the Cabinet meeting on 23 December 2019. Members of the Overview and Scrutiny Management Board are invited to comment and make recommendations on the proposals contained within the report.

**6. Adult Services Non-residential Care Charging Policy Proposals (Pages 19 - 61)**

Cabinet Portfolio: Adult Social Care and Health

Strategic Directorate: Adult Care, Housing and Public Health

**7. Housing Revenue Account Business Plan 2020-21 (Pages 62 - 83)**

Cabinet Portfolio: Housing

Strategic Directorate: Adult Care, Housing and Public Health

**8. Housing Revenue Account Rents and Service Charges 2020-2021 (Pages 84 - 104)**

Cabinet Portfolio: Housing

Strategic Directorate: Adult Care, Housing and Public Health

**9. Rotherham Town Centre Parking Strategy (Pages 105 - 155)**

Cabinet Portfolio: Jobs and the Local Economy

Strategic Directorate: Regeneration and Environment

**10. Outcomes from Workshop on Area Housing Panels Review (Pages 156 - 158)**


To consider the recommendations arising from a workshop on Area Housing Panels

**11. Urgent Business**

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

**12. Date and time of next meeting**

The next meeting of the Overview and Scrutiny Management Board will be held on Wednesday 15 January 2019 at 11.00 a.m. at Rotherham Town Hall.



SHARON KEMP,  
Chief Executive.

**OVERVIEW AND SCRUTINY MANAGEMENT BOARD**  
**Wednesday, 2nd October, 2019**

Present:- Councillor Steele (in the Chair); Councillors Cowles, Cusworth, R. Elliott, Jarvis, Mallinder, Taylor, Walsh and Wyatt.

Apologies were received from Councillor Tweed.

The webcast of the Council Meeting can be viewed at:-

<https://rotherham.public-i.tv/core/portal/home>

**58. MINUTES OF THE PREVIOUS MEETING HELD ON 11 SEPTEMBER 2019**

It was noted that the minutes of the previous meeting would be presented for approval at the next meeting on 16 October 2019.

**59. DECLARATIONS OF INTEREST**

There were no declarations of interest from Members in respect of items listed on the agenda.

**60. QUESTIONS FROM MEMBERS OF THE PUBLIC AND THE PRESS**

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

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

The Chair reported that there were no items of business on the agenda which would require the exclusion of the press and public from the meeting.

**62. UPDATE - OVERVIEW AND SCRUTINY MANAGEMENT BOARD WORK PROGRAMME 2019/20**

Consideration was given to an update report in respect of the 2019-20 work programme for the Overview and Scrutiny Management Board. The work programme had been developed following a Scrutiny Chairs' work planning session held on 19 June 2019 with Cabinet Members and the Strategic Leadership Team. Since that point, Overview and Scrutiny Management Board (OSMB) had held ongoing discussions to refine its draft work programme.

Members noted the content of the work programme and the work undertaken to date in the current municipal year. Furthermore, it was agreed that update reports on the progress against the work programme would be submitted to ordinary meetings of the Board.

**Resolved:-**

1. That the work programme of the Overview and Scrutiny Management Board be noted.
2. That updates be provided to each 'ordinary' meeting of the Overview and Scrutiny Management Board on the progress of the work programme and for further prioritisation as required.

**63. STATUTORY GUIDANCE ON OVERVIEW AND SCRUTINY IN LOCAL GOVERNMENT**

Consideration was given to a report presented by the Head of Democratic Services and Statutory Scrutiny Officer which summarised the key points outlined in the guidance and was to submitted to provide 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.

It was reported that the Ministry of Housing, Communities & Local Government (MHCLG) had published new statutory guidance on overview and scrutiny in local government in May 2019. This new guidance for local (and combined) authorities stressed the role of scrutiny committees in holding decision makers to account and its importance in supporting the successful functioning of local democracy.

Reflecting on the content of the statutory guidance, Members were of the view that scrutiny was in a healthy position in Rotherham. Suggestions were made that the way in which Members volunteered to be members of the Select Commissions did not take account of the skills sets of the individual members. It was also suggested the use of external, expert technical advisers may be helpful in some areas of scrutiny.

In summary, the Chair proposed that a working group be convened later in the municipal year to review the authority's position against the statutory guidance with a view to making recommendations for improvements to be implemented at the commencement of the 2020-21 municipal year.

**Resolved:-**

1. That the report be noted.
2. That a working group be established by the Chair of the Overview and Scrutiny Management Board later in the municipal year to review the statutory guidance and inform proposals for improvement.

**64. CHILDREN'S SERVICES FINANCIAL MONITORING AND REVIEW 2019/20**

Consideration was given to a report detailing financial monitoring and review activity for 2019/20 in Children & Young People Services. The directorate was implementing a two-year budget recovery plan to reduce the budget pressures from previous years (£15.7m in 2018/19) and deliver budget savings. The budget pressure at the end of July was £4.9m and adverse movement of £600k in the period, and whilst the Looked After Children number of 634 was just below the budget profile (638) for this period, the placement mix of having too many placements in residential care was leading to budget pressures.

Members recognised that the main indicator for future spend in Children and Young People's Services was a positive and safe reduction in the numbers of looked after children. It was recognised that as a demand led service, it was impossible to predict exactly what would happen, but there was assurance that the service was aware of the challenges and doing a lot of work to address them. Members asked the Cabinet Member for Children's Services and Neighbourhood Working as to how confident he was that savings could be achieved in the timescales agreed. In response, the Cabinet Member indicated that he was very confident that the savings target would be met, however he was only quite confident on when the savings would be met.

Following on, assurance was sought on the recruitment of new foster carers. In response, officers confirmed that they were fairly confident. The offer was competitive and the authority was doing much better in terms of the package for foster carers than previously. It was noted that there had been a significant increase in visits to the fostering website and indications were positive. There was more visibility and transparency in relation to the recruitment and there was evidence of recruitment from the independent foster agency sector.

Members expressed concern at the figures in respect of the Dedicated Schools Grant and sought assurances in respect of arrangements for monitoring. In response, officers confirmed that it was monitored at internal budget monitoring meetings, at Improving Lives Select Commission and the Rotherham Schools' Forum also had oversight of the budget too. A recovery plan had also been submitted to the Department for Education (DfE) and it was anticipated the DfE would introduce a monitoring programme.

Assurances were sought in respect of actions being taken to address the £500,000 overspend in respect of transport. In response, the Cabinet Member confirmed that the directorate would continue to do what it had been doing, but it would be a slow process to save money. A significant amount of work had been undertaken to look at individual journeys and it was felt that the savings would be realised and a number of short term actions were expected to realise impact.

**Resolved:-**

1. That the report be accepted.
2. That a further report be submitted to the Overview and Scrutiny Management Board on 29 January 2020 in respect of fostering and the High Needs Block.

**65. COUNCIL PLAN QUARTER 1 (APRIL TO JUNE 2019) AREAS FOR IMPROVEMENT**

Consideration was given to the Council Plan Quarter 1 Performance Report for the period from April to June 2019. It was reported that at the end of Quarter 1, 31 measures had either met or had exceeded the target set in the Council Plan. This represented 55% of the total number of measures where data was available or where targets had been set. This was 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 was Priority 4 (Extending opportunity, prosperity and planning for the future) where 75% of measures (where data is available or where targets have been set) were marked as on target. The direction of travel was positive for 29 (53%) of the measures calculated in this quarter. This was noted as an improvement compared to the 51% figure for last quarter and 45% in Quarter 1 2018-2019.

Referring to the measure in respect of repeat child protection plans, Members sought clarification as to whether any work had been done to establish how effective interventions have been. In response, officers indicated that a substantial amount of work had taken place, with reviews occurring through practice learning days and developing a culture of learning in the service. In response to a supplementary question, officers were not wholly confident that plans were not revisiting issues that were considered to have been previously resolved.

Members sought to understand the rationale behind the projected increase in missed bins. In response, officers indicated that performance was not where they wanted it to be, but context was important given the significant change in the service that had occurred. It was noted that officers were aware of the areas where collections were being missed. On this basis, they were confident that performance would be under the target figure before the end of the calendar year.

The Board sought assurances around the system in place to ensure that teachers understood the needs and issues of looked after children. In response, officers indicated that every school had identified leads for looked after children and each child had a personal education plan. It was recognised that transitions from one class to another or one school to another could be very complex for children, and teachers needed support in challenging difficult behaviours.

Members queried the level of compliance in respect of safeguarding requirements for hackney carriage/private hire licence holders. In response, officers confirmed that there was 100% compliance and that the policy provided for a licence not to be issued without a check from the Disclosure and Barring Service.

Surprise was expressed that only 8 homes had been delivered against the target of 175 and sought to understand what the timeframes and plans were for delivery. In response, officers confirmed that it was not a linear process and it was not expected to be a problem in delivering against the target. Construction programmes at Braithwell Road in, Maltby and the Bellows site at Rawmarsh would contribute significantly towards the delivery of the target. It was noted that pre-fabricated home were not included in the delivery plan.

**Resolved:-**

1. That the report be noted.

**66. ANNUAL COMPLIMENTS AND COMPLAINTS REPORT 2018-19**

Consideration was given to the annual report on compliments and complaints received by the Council during 2018-19 in line with statutory requirements and identify key trends within complaints and compliments over a five year period.

Members welcomed the report and were particularly pleased to see the learning and trends identified, specifically referencing the opportunities for improvement. It was noted that Members often received compliments arising from their casework which was not being recorded and felt that this was an area for improvement. It was also suggested that the recommendations from the Local Government Ombudsman annual report could be incorporated into the report in future. In response, officers confirmed that this could be done in future.

Reference was made to avoidable contact and the work that the authority was undertaking to reduce calls to the Council. In response, it was confirmed that work was underway, but it was difficult to quantify volumes as data was manually recorded presently. The new system to improve customer experience had recently been procured and when operational would provide greater insight on this.

In summarising the Board's views, the Chair congratulated officers on an excellent report which was easy to read and the improvements in complaints handling were welcomed. Customer Access would continue to be a focus for the Overview and Scrutiny Management Board throughout the municipal year.

**Resolved:-**

1. That the report be noted.

**67. CALL-IN ISSUES**

The Chair reported that there were no call-in issues arising from the recent Cabinet meeting held on 16 September 2019.

**68. URGENT BUSINESS**

The Chair reported that there were no matters requiring urgent consideration by the Board.

**69. DATE AND TIME OF NEXT MEETING**

**Resolved:-**

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



**OVERVIEW AND SCRUTINY MANAGEMENT BOARD**  
**Wednesday, 16th October, 2019**

Present:- Councillor Steele (in the Chair); Councillors Cowles, R. Elliott, Keenan, Mallinder, Walsh and Wyatt.

Apologies were received from Councillors Cusworth, Jarvis, Taylor and Tweed.

The webcast of the Council Meeting can be viewed at:-

<https://rotherham.public-i.tv/core/portal/home>

**72. MINUTES OF PREVIOUS MEETING**

**Resolved:-**

That the minutes of the previous meeting of the Overview and Scrutiny Management Board held on 11 September 2019 be approved as a true and correct record of the proceedings.

**73. DECLARATIONS OF INTEREST**

There were no declarations of interest by Members at the meeting.

**74. QUESTIONS FROM MEMBERS OF THE PUBLIC AND THE PRESS**

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

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

There were no items of business on the agenda that would require the exclusion of the press or public.

**76. SOCIAL VALUE POLICY**

Consideration was given to a report submitted by the Chief Executive which introduced the proposed Social Value Policy that was to be determined by the Cabinet at its meeting on 21 October 2019.

It was reported that the policy set out the ways in which the Council aimed to maximise the local impact of its spend through its commissioning and procurement processes and work with partners and suppliers. The key elements of the policy were to:

- Raise the living standards of Rotherham residents and commit to working towards the Joseph Rowntree Living Wage
- Increase the proportion of the council's expenditure which goes to local businesses and providers rather than those elsewhere in the country.

- Build social value into all council contracts (in excess of £100,000) and maximise the impact gained from every pound spent and introduce a rigorous system for assessing and measuring social value.
- Commit to the principle of co-designing services wherever possible.

It was further reported that the Council planned to take steps to increase the amount of additional Social Value from its contracts and commissioned services by securing Social Value in every contract above a £100,000 threshold. It would ensure that when the Council invited written quotations – where possible - at least one of the quotes would be from a Rotherham organisation and, where that was not possible, from Sheffield City Region. The Council also aimed to increase over time the proportion of its spend with local businesses and organisations and to open up opportunities for more co-designed services through its commissioning and procurement processes. The Social Value Framework set out the methodology for measuring Social Value through the procurement process. It was framed around six high level outcomes. These were:-

- Raising living standards for residents
- A strong local economy with employment and skills opportunities and a growing business base
- Young people have the opportunity to develop skills and find worthwhile employment
- Equality of opportunity for disadvantaged people and communities including disabled people
- Strengthened and sustainable community and voluntary organisations
- Greater environmental sustainability including accessible green public spaces.

Members noted that Social Value returns would be monitored and reported on an annual basis. The first year of the policy would be a baseline year with targets set subsequently to increase the amount of Social Value secured.

In reviewing the proposed policy, Members sought assurances as to how the Council would ensure that the policy would be adhered to where sub-contractors were involved. In response, it was explained that the CLES would analyse and review the supply chain and identify through the framework how much money would go through the local supply chain

The Board welcomed the opportunity for young to develop skills and employment through the policy and framework. Following on, the Chief Executive confirmed that suppliers would need to demonstrate commitments to young people and the Council would need to see evidence against social value outcomes. To this end, suppliers would need to think creatively and provide assurance as to how they would bring forward proposals to deliver.

In response to a concern in respect of the likelihood of the framework being subject to abuse, it was confirmed that there was a self-declaration process against target outcomes, but there would be independent verification.

Members sought assurances that the costs for suppliers would not apply to smaller organisations and wanted more information on who would manage the portal. In response, the Chief Executive confirmed that the portal would detail all social value outcomes identified by suppliers and those would need to be updated on a quarterly basis. It was explained that the Council would learn from other organisations, but funds were available with existing budgets in the Assistant Chief Executive's Office if required to assist with development.

Having considered the report and responses to questions, the Board was broadly supportive of the proposal to be considered by the Cabinet. Furthermore, it was felt that the wider body of Members would benefit from learning about the Social Value Policy and Framework and that a Member Seminar should be arranged by the Cabinet Member. Given the significance of the policy, Members felt it would be useful to get a report back on the progress made in implementing the policy after twelve months.

**Resolved:-**

1. That Cabinet be advised that the recommendations be supported.
2. That a Member Seminar be arranged in respect of the Social Value Policy.
3. That a report be brought back to the Overview and Scrutiny Management Board after 12 months of the implementation of the policy to review its impact to date.

**77. CRISIS SUPPORT (LOCAL WELFARE PROVISION)**

Consideration was given to a report submitted by the Assistant Chief Executive in respect of contracts for crisis support services which was due to be determined by the Cabinet at its meeting on 21 October 2019. The proposed recommendations for commissioning future crisis support services over the medium term three years from 2020/21 to 2022/23 with voluntary sector providers through the terms of the Rotherham Compact. The process would include an invitation to bid to be the lead organisation in the voluntary sector to engage partner organisations in a co-design with the Council, leading to award of grant(s) and service level agreements.

Members queried the where the funds expected for the £100,000 needed in the third year of the contract would be provided from given that budgets had not been agreed for that period. In response, it was explained that if there was a contractual commitment to provide this funding then it would be built into the budget setting process for the third year of the contract.

**Resolved:-**

1. That Cabinet be advised that the recommendations be supported.
2. That consideration be given to further pre-decision scrutiny of the future delivery arrangements by the Overview and Scrutiny Management Board prior to a future decision by Cabinet.

**78. HOUSE TO HOUSE COLLECTION POLICY**

Consideration was given to a report which was submitted by the Strategic Director of Regeneration and Environment and was due to be determined by the Cabinet at its meeting on 21 October 2019. The report detailed the findings of a public consultation carried out to seek views on key elements of a proposed House to House Collections Policy. Members noted that the Council had been keen to understand what levels of returns to charities the public expected when making donations, and in addition, the times at which collections might be considered to be reasonable. The proposed House to House Collections Policy reflected the findings of the consultation and was recommended for adoption.

Members welcomed the policy but expressed concerns about the cut off time being 1900 hours, which they felt was too late. Members also felt it was important to encourage licence holders to use recyclable plastic bags under the policy. In response, it was explained that the concern around the cut off time of 1900 was a valid point. It was further explained that the law did not allow the authority to enforce provisions regarding the use of recyclable plastic bags, but the policy could potentially be amended to expect collections to be done in a reasonable way.

**Resolved:-**

1. That Cabinet be advised that the recommendations be supported.
2. That consideration be given to amending the policy to restrict collection times during Greenwich Mean Time to 1600 hours, whilst retaining the limit of 1900 hours during British Summer Time.
3. That consideration be given to encouraging the use of recyclable collections bags, where practicable, through the House to House Collections Policy.

**79. URGENT BUSINESS**

The Chair reported that there were no urgent items of business requiring the consideration of the Board at the meeting.

**80. DATE AND TIME OF NEXT MEETING**

**Resolved:-**

That the next meeting of the Overview and Scrutiny Management Board be held on Wednesday 13 November 2019 at 11.00 a.m. at Rotherham Town Hall.

**OVERVIEW AND SCRUTINY MANAGEMENT BOARD**  
**Wednesday, 27th November, 2019**

Present:- Councillor Steele (in the Chair); Councillors Cowles, R. Elliott, Jarvis, Mallinder, Taylor, Tweed, Walsh and Wyatt.

Apologies were received from Councillors Cusworth, Jepson and Keenan.

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**81. DECLARATIONS OF INTEREST**

There were no declarations of interest in any items on the agenda for the meeting.

**82. QUESTIONS FROM MEMBERS OF THE PUBLIC AND THE PRESS**

There were no questions from members of the public or press in respect of matters on the agenda for the meeting.

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

The Chair advised that there were no items of business that would require the exclusion of the press or public from the meeting.

**84. UPDATE ON THE IMPLEMENTATION OF RECOMMENDATIONS ARISING FROM THE SCRUTINY REVIEW OF AGENCY, CONSULTANCY AND INTERIM STAFF**

Consideration was given to a report providing an update on the implementation of recommendations arising from the scrutiny review of agency, consultancy and interim staff.

It was reported that the Workforce Management Board (WMB) continued to monitor and control agency costs by challenging usage across the Council. In approving agency resource, WMB took into account several factors:

- What risks are associated with not filling the role – including safeguarding?
- Is there budget available to fund the agency resource?
- Is the agency resource required to deliver a statutory function?
- Can the work be delivered in any other way?
- Any other factors that are deemed critical for securing additional agency resource

Members queried what work had taken place within the Regeneration and Environment directorate to reduce agency spend and introduce multi-tasking amongst the existing workforce to build capacity and reduce the need for additional cover. In response, officers confirmed that there had been a heavy reliance on agency workers and a large in-year reduction in agency spend was anticipated in the Regeneration and Environment directorate. It was explained that agency costs were largely incurred due to seasonal work between March and October, but work was being undertaken to analyse the potential for the work to be done outside of peak hours.

Members sought to understand how the authority had engaged with the trade unions to prioritise the protection of jobs and saving of money. It was explained that this had been recognised as a priority and options were being explored with the trade unions, who were keen to see staff employed directly by the authority.

Referring to the major transformational changes within Adult Social Care, Members sought reassurances that posts could be filled without recourse to using agency or interim staff. Officers explained that they would need report back outside of the meeting on the detailed numbers, but there was an awareness that recent recruitment activity had been successful and the position would be kept under review.

Members sought further assurance on the way in which the Workforce Management Board monitored spend. It was explained that spend was reviewed on a monthly basis, which had fed into the projections detailed within the report. It was felt that the numbers would have to increase significantly to distort the projected year-end figure.

Having been assured of processes and the ongoing oversight provided by the Workforce Management Board, Members agreed to review the position in respect of implementing recommendations from the scrutiny review of agency, consultancy and interim staff in November 2020.

**Resolved:-**

1. That the update be noted.
2. That a further update on the implementation of recommendations from the scrutiny review of agency, consultancy and interim staff be provided to the Overview and Scrutiny Management Board in November 2020.

**85. OUTCOMES FROM ADULT SOCIAL CARE WORKSHOP**

Consideration was given a briefing paper which detailed the main findings from a scrutiny workshop undertaken by the Overview and Scrutiny Management Board on 9 October 2019. The session provided Members with an overview of the new operating model for Adult Social Care that would be implemented from October 2019 onward.

Since 2018, the Overview and Scrutiny Management Board has regularly scrutinised the budget position and service performance for Adult Social Care together as the two are closely interlinked. The purpose of this approach was to seek assurance that the budget overspend would be reduced and proposed savings achieved without a negative impact on service users and performance, whilst making the requisite changes to practice and service transformation.

Members felt that the workshop had provided a very useful insight into the new operating model and had welcomed the opportunity to discuss a number of issues in detail with the Cabinet Member for Adult Social Care and Health and the Strategic Director of Adult Care, Housing and Public Health. There was broad consensus that future discussions on these matters should be conducted in open session, as the workshop approach had served its purpose during the development period for the new operating model.

Resolved:-

1. That the update be noted.
2. That the Cabinet Member for Adult Social Care and Health and the Strategic Director of Adult Care, Housing and Public Health be invited to attend the Overview and Scrutiny Management Board meeting on 4 March 2020 to provide a further update on the progress made in adult social care.

**86. YOUTH CABINET/YOUNG PEOPLE'S ISSUES**

It was reported that the Rotherham Youth Cabinet manifesto launch had taken place on 21 November, with young people identifying the following four key aims:

- Environment and Climate Change
- Mental Health
- Hate Crime
- Public Transport

Members noted that the next topic for the Children's Commissioner Takeover Challenge (CCTOC) had yet to be confirmed.



Referring to recommendations from previous CCTOCs, the following updates were noted:-

- Public Transport - the South Yorkshire young people's public transport charter will finally be launched in January
- Work experience – a progress update will be presented to Rotherham Youth Cabinet on the evening of 27 November 2019
- Young Carers – a positive meeting had taken place between the Deputy Leader and the Young Carers service at Barnardo's to discuss ideas. People for Places leisure were organising a free activity day for young carers in February half term which would be advertised to encourage other young carers to come forward in addition to those with whom the young carers service is already working.

**Resolved:-**

That the update be noted.

**87. WORK IN PROGRESS - SELECT COMMISSIONS**

The Chairs of the Select Commissions provided an update on their recent work:-

**Health Select Commission**

In the absence of Councillor Keenan, Chair of the Health Select Commission, Councillor Rob Elliott provided an update on the activities of the Health Select Commission:-

- **Workshop on the Refresh of Suicide Prevention and Self-Harm Action Plan**  
This was an opportunity for HSC to have an input into the refreshed plan and to discuss some of the wider partnership work taking place. HSC made suggestions for improvements to how the "local picture" information was presented in the plan. They also made some wider recommendations including involving foster carers in training initiatives around mental health.
- **Mental Health Trailblazer project in schools**  
This will see mental health support teams established in 22 schools and education settings across Rotherham for face-to-face support to help address and prevent mild to moderate mental health problems. The project will be fully operational next month and will complement the RDaSH CAMHS locality model.
- **Social Emotional and Mental Health Strategy**  
Members considered and commented on the draft multi-agency strategy and action plan. Initial work focused on the development of robust data on Special Educational Needs and Disability Sufficiency and will culminate in new provision being introduced in a phased approach by September 2021.

- **Update from Rotherham Hospital following their CQC inspection**

Members were updated on the positive work undertaken to address concerns identified by the CQC inspection of the Urgent and Emergency Care Centre. The CQC returned to the hospital in an unannounced inspection in August and the Trust is awaiting the outcome.

- **Trainee Nursing Associate**

A short presentation outlined this recently introduced role which will help to address the shortage of Registered Nurses and also provide potential career progression opportunities for health care assistants. The Trust is actively supporting this initiative as part of its wider workforce planning.

### **Improving Places Select Commission**

Councillor Mallinder, Chair of Improving Places Select Commission, provided an update on the activities of that committee:-

- **Allotments Self-Management**

A new Community Benefits Society known as Rotherham Allotments Alliance Ltd. will assume allotment management responsibility from the Council in January 2020. The original timescale was extended to ensure sufficient time for surveys and to develop heads of terms for the transfer lease.

- **Impact of traffic from Waleswood Caravan Park**

A review of correspondence, observations of the local road network and an assessment of the traffic signal timings at Wales Bar Crossroads have not identified any negative impact on the local highway network. A follow up traffic speed survey will be undertaken during 2020 to determine existing vehicle speeds as there had been requests for a reduction in the speed limit on Delves Lane. IPSC will have a further report next year and the briefing has been shared with Wales Parish Council.

- **Workshop on Area Housing Panels Review**

In effect this was earlier stage pre-decision scrutiny with IPSC having an opportunity to discuss emerging proposals which reflect the move to ward based working and the Thriving Neighbourhoods Strategy. Emerging proposals discussed were:

- 25 ward housing hubs to replace the existing Area Housing Panels from 2020-21
- base budgets for each hub
- the remainder of the annual budget to be allocated on the basis of the percentage of council homes in each ward

Members were assured by the developing proposals after considering the review process, engagement and tests of the approach that had taken place. They also noted the emergent recommendations around budgets and governance. The equality analysis was also circulated at the workshop.

**Resolved:-**

That the update be noted.

**88. FORWARD PLAN OF KEY DECISIONS - NOVEMBER 2019 TO JANUARY 2020**

Consideration was given to the Forward Plan of Key Decisions for the period from November 2019 to January 2020 detailing the decisions to be taken by the Cabinet over that three-month period.

Members identified the following reports for pre-decision scrutiny at the meeting on 20 December 2019:-

- HRA Rents and Service Charges for 2020-21
- HRA Business Plan 2020-21
- Outcome and recommendations from Non-Residential Charging Consultation
- New organisational and budget arrangements for Area Housing Panels
- South Yorkshire Regional Adoption Agency
- Rotherham Town Centre Parking Strategy

**Resolved:-**

1. That the Forward Plan of Key Decisions from November 2019 to January 2020 be noted.
2. That the following reports be presented for pre-decision scrutiny on 20 December 2019:-
  - HRA Rents and Service Charges for 2020-21
  - HRA Business Plan 2020-21
  - Outcome and recommendations from Non-Residential Charging Consultation
  - New organisational and budget arrangements for Area Housing Panels
  - South Yorkshire Regional Adoption Agency
  - Rotherham Town Centre Parking Strategy

**89. CALL-IN ISSUES**

The Chair reported that there were no call-in issues requiring the Board's consideration.

**90. URGENT BUSINESS**

The Chair advised that there were no urgent items of business to be considered by the Board.

**91. DATE AND TIME OF NEXT MEETING**

**Resolved:-**

That the next meeting of the Overview and Scrutiny Management Board take place on Friday 20 December 2019 at 11.00 in Rotherham Town Hall.

**Committee Name and Date of Committee Meeting**

Cabinet – 23 December 2019

**Report Title**

Adult Services Non-residential Care Charging Policy Proposals

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

Yes

**Strategic Director Approving Submission of the Report**

Anne Marie Lubanski, Strategic Director of Adult Care, Housing and Public Health

**Report Author(s)**

Ian Spicer, Assistant Director of Independent Living and Support  
01709 334062 or [ian.Spicer@rotherham.gov.uk](mailto:ian.Spicer@rotherham.gov.uk)

**Ward(s) Affected**

Borough-Wide

**Report Summary**

On the 17<sup>th</sup> December 2018, Cabinet resolved:-

That public consultation is commenced with service users, carers, providers and support agencies, so as to inform the changes to the current policy and to provide opportunity for the public to give feedback on the following proposals:

**Proposal 1** - To remove the current maximum charge and to charge those people who can afford it the full cost of the services that are provided to them.

**Proposal 2** - Under the new framework, those who can afford it would be charged for the total number of carers attending and providing services, which would mean introducing a charge where more than one carer is provided at the same time.

**Proposal 3** - It is proposed that the liability for charges be from the date on which the service commences, so people will be asked to pay the accrued charges for the services they have received following completion of a financial assessment.

**Proposal 4** - To include the full value high rate Attendance Allowance or Disability Living Allowance, or the enhanced daily living component of Personal Independence Payments, when carrying out non-residential financial assessments.

**Proposal 5** – To review our current policy to determine whether our allowance is fair and equitable across Rotherham and to consider putting in place a standard list or rate of allowances, in line with our neighbouring authorities.

An initial review carried out in September and October 2018 was undertaken on the non-residential adult care charging policy which identified key areas for proposed change. This report sets out the outcome of the consultation and provides recommendations for Cabinet to consider on those proposed changes.

The consultation was launched on the 22<sup>nd</sup> July 2019, with an initial planned closure date of the 9<sup>th</sup> September 2019. This was extended for a further three weeks to the 29<sup>th</sup> September, to ensure that there was sufficient opportunity for people to respond. A number of responses were received after the closing date and these have also been included on the basis that it is important to capture as many views as possible from those affected or potentially affected by the proposed changes.

## **Recommendations**

That approval be given as set out below to make changes to the non-residential charging policy.

1. Note the outcome of the consultation as set out in detail in Appendix 3.
2. Approve **Proposal 2** - Under the new framework, those who can afford it would be charged for the total number of carers attending and providing services, which would mean introducing a charge where more than one carer is provided at the same time and **Proposal 3** - It is proposed that the liability for charges be from the date on which the service commences, so people will be asked to pay the accrued charges for the services they have received following completion of a financial assessment, as changes to the non-residential charging policy from April 2020 which are also detailed further in Section 3.
3. Approve the recommended policy changes from the date of implementation for a period of 2 years. The policy will not be reviewed within the two years unless there are statutory requirements to do so.

## **List of Appendices Included**

Appendix 1 Equality Impact Screening  
Appendix 2 Equality Impact Assessment  
Appendix 3 Consultation Outcomes Paper

## **Background Papers**

Cabinet Report 17<sup>th</sup> December 2018.

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

Overview and Scrutiny Management Board – 20 December 2019

## **Council Approval Required**

No

**Exempt from the Press and Public**

No

## **Adult Services Non-residential Care Charging Policy Proposals**

### **1. Background**

- 1.1 The Care Act 2014 focuses on improving people's independence and wellbeing. It makes it clear that it is the duty of the Council to provide or arrange services that help to prevent or delay people from developing eligible needs for care and support. The Council must maintain a service for providing advice and information relating to care and support. It states that Council may make a charge for meeting needs, in order to cover the cost that is incurred in meeting the needs to which the charge applies. In order to do this, a financial assessment is required to determine an individual's financial ability to contribute to their care cost.
- 1.2 A service user who receives care and support in their own home will need to pay their daily living costs such as rent, food and utilities, and must have enough money to meet these costs. Under the care and support statutory guidance their income must not be reduced below a specified level after charges have been deducted. This is known as the 'Minimum Income Guarantee' and is designed to promote independence and social inclusion. The Minimum Income Guarantee ensures that the service user receives an income equivalent to Income Support or the Guaranteed Credit element of Pension Credit plus a minimum buffer of 25%.
- 1.3 An initial review of our current non-residential care charging policy has been carried out, the outcome of which was presented to Cabinet in a report on 17<sup>th</sup> December 2018, resulting in the identification of five key areas for proposed changes in order to update the non-residential charging policy and financial assessment service that are provided by the Council. In turn, these proposals would seek to ensure that there is equity and clarity in how this policy is applied across all recipients of non-residential services.
- Benchmarking against other Local Authorities has shown that the Council's current charging regime, especially in the areas identified are not aligned with the policies of other Authorities. Comparisons are included against each proposal in section 4.
- 1.4 This report sets out the outcome of the consultation and provides recommendations for cabinet to consider on the proposed changes.

### **2. Key Issues**

- 2.1 The Council has finite resources with which to meet the needs of not only an aging population, but one in which the level of need within all groups is increasing. Demand for Council services is likely to continue to grow, year on year, notwithstanding the implementation of a strengths based approach to the provision of support to all.



- 2.2 Currently, the way in which the Council delivers and charges for non-residential services results in the provision of a subsidy for a number of residents who have the financial means to pay the full economic cost. This means that there is less money available within the service to meet other potential demands. It is important that the Council finds a way to manage its limited resources in a way that is equitable to all current users, as well as those who may require support in the future.
- 2.3 Should none of the policy change options described above be adopted, there remains a shortfall of £600k in the adult social care budget for 2020/21. This shortfall would have to be met from elsewhere in the Adult Services budget, further impacting upon the ability to deliver services.
- 2.4 It is important that, if the Council is to successfully manage the rise in demand for its services and ensure that Rotherham residents remain independent for as long as possible, sufficient preventative services are available to achieve this. Such services will need to be developed over the coming years to ensure positive outcomes for the more frail and vulnerable members of the community. The reinvestment of the charges for services is vital in continuing to develop these services.
- 2.5 It is incumbent upon the Council to ensure that all members of the community who have been assessed as requiring care and support receive appropriate services and that there are sufficient resources available to achieve this.
- 2.6 The Council is currently exercising its discretion to charge for services at a rate which is lower than the real cost of delivery and recognises that care and support plans are being subsidised. A number of recipients of the service have the economic resources to meet the full cost of the care they receive. Those on a lower income would continue to receive the same service with no change to their charges. Such subsidies therefore have an impact on the delivery and development of other services given the finite nature of the budget.
- 2.7 All local authorities have to be mindful of the impact that a potential reduction in this subsidy has on people who need services; they must decide whether a path can be found to ensure the effective delivery of future services against the potential financial impact on those who currently receive support.
- 2.8 The Council has discretionary power to charge for non-residential care services, covering the cost that it incurs in meeting service users' needs. The amount of the charge is determined by a financial assessment that is carried out as close to the start of service as possible.

- 2.9 Paragraph 8.43 of the Care and Support Statutory Guidance (October 2018) sets out the three areas of discretion that the local authority may consider:
- Disregard additional income
  - Maximum charging
  - Charge a percentage of disposable income
- 2.10 At paragraph 8.46 the statutory guidance states: 'Local authorities should consult people with care and support needs when deciding how to exercise this discretion. In doing this, local authorities should consider how to protect a person's income. The government considers that it is inconsistent with promoting independent living to assume, without further consideration, that all of a person's income above the minimum income guarantee (MIG) is available to be taken in charges.'
- 2.11 Within the context of the statutory guidance, the Council has considered a number of options set out below.
- 2.12 The current policy has set a maximum charge for the non-residential services that an individual receives based on the residential care rate, which places a ceiling on the amount chargeable to cover care costs.
- 2.13 The current policy also only charges for one carer in cases where more than one carer is provided.
- 2.14 The process for carrying out the financial assessment at present takes into consideration only the lower rate of Attendance Allowance and Disability Living Allowance, and the standard rate of Personal Independence Payments where services are only received during daytime hours; this is the case even where the service user is in receipt of the higher and enhanced rates of these payments.
- 2.15 Currently the financial assessment is carried out after the needs assessment. The contributions are applied from the point of the financial assessment and not from the point of completion of the care needs assessment based on Department of Health fairer charging policy, which was replaced by the Care Act. Currently there is, on average, a two week gap between the completion of the Care Act assessment and the financial assessment.
- 2.16 The option is available for the Council not to make any changes to the current policies following consultation. For any proposals that are agreed, it is recommended that these are fixed for a period of two years from the date of implementation, subject to further review and consultation after that time period or any legislative changes during that period.
3. **Options considered and recommended proposals**
- 3.1 **Proposal 1** - To remove the current maximum charge and to charge those people who can afford it the full cost of the services that are provided to them. ***Not Recommended***

- 3.1.1 Currently Rotherham Council has a maximum charge of £456 per week per individual in place for non-residential charges, which is based on the current residential care fee to independent providers for older people (65+ yrs).

### 3.1.2 Benchmarking analysis:

Benchmarking has shown that most authorities in the region do not have a maximum charge and therefore charge up to the full cost of the service delivered. Only 3 out of 8 authorities researched in Yorkshire still have a maximum charge for non-residential care services. The current minimum assessed contribution is £1 per week for Rotherham.

Client A - in receipt of supported living scheme £1188.79 per week with savings over £23,250											
	Cost of Service	Rotherham Current Included	Rotherham Proposal 1	Barnsley	Bradford	North Yorkshire	York	Doncaster	Sheffield	East Riding	Wakefield
Charge	1188.79	456.00	1188.79	1188.79	1188.79	1188.79	1188.79	429.00	375.00	1188.79	1188.79

### 3.1.3 Consultation outcome:

173 customers, (86% of all surveys), responded to this question. Of those who responded, 20% agreed with the proposal and 58% disagreed. There was an unclear response from 16% and 6% stated they had no opinion/didn't know.

Many responders favoured retaining a clear maximum charge, with some suggesting as an alternative that this should be reviewed and increased rather than removed entirely.

### 3.1.4 Impact Analysis:

There are 10 people (3 of whom are in receipt of Supported Living within Learning Disability services) who would currently be affected if the maximum charge was removed: the increase in charge would range from £186 to £1,145 per week. This is due to the service users having capital (excluding property value) above the upper capital threshold limit of £23,250, which means that the full charge would apply.

Based on the current number of people who would be affected by this proposal, its implementation would result in additional income of £7,000 per week (£364,000 per annum). The final amount received is likely to be lower, as people's savings reduce to below the capital threshold and the amount they are required to pay is therefore reduced. However as new recipients of a service enter the system who have savings they will be impacted by this proposed change.

If the maximum charge was increased to £550 per week this would still impact on the 10 people, but the increase in income would reduce to £940 per week (£49,000 per annum). A maximum charge of £600 per week would result in additional income of £1,400 per week (£73,000 per annum) and affect the same 10 people.

The principle of paying the full cost of care, where an individual is assessed as being able to afford to do so, (in line with statutory guidance) is well established both nationally and locally. For example, where someone requires residential care (although this sits under another policy and framework guidance), they are required to pay the full cost of care until their personal savings reach the 23k threshold. There is no cap on how much they pay (the full cost of care) only a point at which the Council starts to subsidise the costs of care on a sliding scale. The removal of the maximum charge would support a more equitable and consistent approach to charging across non-residential and residential services.

The impact of the removal of the maximum charge would be a significant change to those current individuals; it would not be a risk to their care and support, but they would need to consider the overall impact and potentially make different choices. For those new to requiring care and support, they would be able to make decisions and plans right at the beginning based on the changes to the policy.

\*However, depending on whether other proposals identified in this report are implemented, this could mean additional service users could reach the current maximum charge, for example, charging for additional carers outlined in 4.2.

The tables below show the range of impact across those affected by any of the options identified above:

Remove maximum charge		Increase Maximum charge to £550		Increase Maximum charge to £600	
Over 65		Over 65		Over 65	
Value of increase	Numbers Affected	Value of increase	Numbers Affected	Value of increase	Numbers Affected
0-100	0	0-100	10	0-100	0
101-200	1	101-200	0	101-200	10
201-300	0	201-300	0	201-300	0
301-400	2	301-400	0	301-400	0
401-500	0	401-500	0	401-500	0
501-600	0	501-600	0	501-600	0
601-700	0	601-700	0	601-700	0
701-800	4	701-800	0	701-800	0
801-900	0	801-900	0	801-900	0
901-1000	1	901-1000	0	901-1000	0
1001-1100	1	1001-1100	0	1001-1100	0
1101-1200	1	1101-1200	0	1101-1200	0
<b>Total</b>	<b>10</b>	<b>Total</b>	<b>10</b>	<b>Total</b>	<b>10</b>

**Breakdown of the individuals potentially impacted by the proposal:**

<b>Proposal 1</b>		
<b>Ethnicity_Group</b>	<b>Number of People</b>	<b>Percentage</b>
White	10	100.0%
Mixed / multiple ethnic groups	0	0.0%
Asian / Asian British	0	0.0%
Black / African / Caribbean / Black British	0	0.0%
Other ethnic group	0	0.0%
No data	0	0.0%
<b>Total</b>	<b>10</b>	
<b>CURRENT_AGE_GROUP</b>	<b>Number of People</b>	<b>Percentage</b>
18-64	0	0.0%
65+	10	100.0%
<b>Total</b>	<b>10</b>	
<b>Gender</b>	<b>Number of People</b>	<b>Percentage</b>
Male	3	30.0%
Female	7	70.0%
<b>Total</b>	<b>10</b>	

3.2 **Proposal 2** - Under the new framework, those who can afford it would be charged for the total number of carers attending and providing services, which would mean introducing a charge where more than one carer is provided at the same time. **Recommended**

3.2.1 The Council's current policy does not charge for an additional carer where more than one carer is provided.

3.2.2 **Benchmarking analysis:**

Benchmarking analysis has identified that all but one of the local authorities in the region charge for more than one carer.

<b>Client A - in receipt of 14 hours care x2 carers charged at £16.27 per hour with savings over £23250.00</b>											
	Cost of service	Rotherham Current Included	Rotherham Proposal 2	Barnsley	Bradford	North Yorkshire	York	Doncaster	Sheffield	East Riding	Wakefield
<b>Charge</b>	455.56	227.78	455.56	455.56	455.56	455.56	455.56	227.78	455.56	455.56	455.56
<b>Client B - in receipt of 14 hours care x2 carers charged at £16.27 per hour with disposable income of £299.52 per week</b>											
	Cost of service	Rotherham Current Included	Rotherham Proposal 2	Barnsley	Bradford	North Yorkshire	York	Doncaster	Sheffield	East Riding	Wakefield
<b>Charge</b>	455.56	227.78	299.52	299.52	299.52	299.52	299.52	227.78	299.52	299.52	299.52

3.2.3 **Consultation outcome:**

174 customers, (86% of all surveys), responded to this question. Of those who responded, 18% agreed with the proposal and 56% disagreed. This was the proposal with the highest proportion of responses in which there was no clarity on whether they agreed or disagreed, (24%) with a number wanting to understand the impact on them personally before stating whether they did or did not agree and 2% stating that they had no opinion/didn't know.

Those in favour understood the Council's need to charge to recoup costs and saw it as fair that more service would equate to higher costs. There were, however, concerns regarding whether residents would opt not to have the service and choose to place themselves at risk. Some responders also raised some concerns on how required service levels would be set and the need for better monitoring of providers' delivery if charges were increased. Some respondents stated that they believed that their current provision of two carers was often not needed, and that this would need to be addressed through a reassessment of care and support needs.

### 3.2.4 Impact Analysis:

Currently the Council has 81 people who have a commissioned second carer. If the Council started to charge for an additional carer and maintain the maximum charge of £456 per week, the average increase in charge would be £160 per week (ranging from an increase of £1 to £228 per week). This could potentially generate additional income of approx. £13k per week (£676,000 per annum) based on an analysis of the current services. An additional 15 people would reach the current maximum weekly charge of £456.

This table shows that the majority of this group would see their charge for services increase between £100 and £228 per week. Range of change to charging illustrated below.

Under 65		Over 65		Totals	
Value of Increase	Numbers affected	Value of Increase	Numbers affected	Value of Increase	Numbers affected
0.00 - 4.99	0	0.00 - 4.99	1	0.00 - 4.99	1
5.00 - 9.99	0	5.00 - 9.99	0	5.00 - 9.99	0
10.00 - 24.99	0	10.00 - 24.99	3	10.00 - 24.99	3
25.00 - 49.99	1	25.00 - 49.99	3	25.00 - 49.99	4
50.00 - 74.99	0	50.00 - 74.99	5	50.00 - 74.99	5
75.00 - 99.99	0	75.00 - 99.99	4	75.00 - 99.99	4
100.00 - 149.99	1	100.00 - 149.99	12	100.00 - 149.99	13
150.00 - 199.99	1	150.00 - 199.99	23	150.00 - 199.99	24
200.00 - 299.99	2	200.00 - 299.99	25	200.00 - 299.99	27
Total	5	Total	76	Total	81

If the maximum charge was removed and proposal 1 and 2 were fully implemented the average increase in charge would be £178 per week (ranging from an increase of £16 to £456 per week). This could potentially generate additional income of approx. £14.3k per week (£744,000 per annum).

If this proposal were implemented people may consider what their options might be with regard to alternative services and provision.

Proposal 1 & 2							
Under 65			Over 65			Totals	
Value of Increase	Numbers affected		Value of Increase	Numbers affected		Value of Increase	Numbers affected %
0.00 - 4.99	0		0.00 - 4.99	0		0.00 - 4.99	0 0%
5.00 - 9.99	0		5.00 - 9.99	0		5.00 - 9.99	0 0%
10.00 - 24.99	0		10.00 - 24.99	3		10.00 - 24.99	3 4%
25.00 - 49.99	1		25.00 - 49.99	3		25.00 - 49.99	4 5%
50.00 - 74.99	0		50.00 - 74.99	5		50.00 - 74.99	5 6%
75.00 - 99.99	0		75.00 - 99.99	4		75.00 - 99.99	4 5%
100.00 - 149.99	1		100.00 - 149.99	11		100.00 - 149.99	12 15%
150.00 - 199.99	0		150.00 - 199.99	13		150.00 - 199.99	13 16%
200.00 - 299.99	3		200.00 - 299.99	35		200.00 - 299.99	38 47%
300.00 - 399.99	0		300.00 - 399.99	1		300.00 - 399.99	1 1%
400.00 - 499.99	0		400.00 - 499.99	1		400.00 - 499.99	1 1%
Total	5		Total	76		Total	81 100%

### 3.2.5 Breakdown of the individuals potentially impacted by the proposal:

Proposal 2		
Ethnicity_Group	Number of People	Percentage
White	80	98.8%
Mixed / multiple ethnic groups	0	0.0%
Asian / Asian British	0	0.0%
Black / African / Caribbean / Black British	0	0.0%
Other ethnic group	0	0.0%
No data	1	1.2%
Total	81	
CURRENT_AGE_GROUP	Number of People	Percentage
18-64	5	6.2%
65+	76	93.8%
Total	81	
Gender	Number of People	Percentage
Male	40	49.4%
Female	41	50.6%
Total	81	

3.3 **Proposal 3** - It is proposed that the liability for charges be from the date on which the service commences, so people will be asked to pay the accrued charges for the services they have received following completion of a financial assessment. **Recommended**

3.3.1 The Council currently starts to charge for new services from the date on which the person is informed of their assessed contribution, not the date the service actually starts. The Care Act allows for the charging to be implemented from the point a service starts. This means a loss of income to the Council if financial assessments are delayed.

### 3.3.2 Benchmarking analysis:

It is common practice across other local authorities to charge from the date on which care starts.

### 3.3.3 Consultation outcome:

168 customers, (83% of all surveys), responded to this question. Of those who responded, 35% agreed with the proposal and 45% disagreed. There were unclear response from 17% and 2% stated they had no opinion/didn't know.

This proposal relates to customers changing or starting new service provision. However, this was misunderstood by many responders as including and issuing a 'backdated' charge for those already on service, (22 surveys, 11% of responders). This confusion may have affected the response rates, but it is worth noting that three of these respondents are included in the 'agreeing with the proposal' figures, 12 did not agree and seven 'didn't know'.

There were also comments that respondents thought that this proposal was already the case and that clearer charging information needs to be supplied, with some stating that the start of charges should be linked to the assessment and that a swifter financial assessment process would be needed so that clients quickly understand, and have choice in, their potential service charges at the very start.

### 3.3.4 Financial Impact Analysis:

Based on current performance over the last 6 months, there is a gap on average of two weeks between the service commencing and the outcome of the financial assessment being reached. The current policy doesn't allow for charging to be accrued from commencement of the service, which results in £1,600 per week (£83,000 per annum) in charges not being collected.

#### **Breakdown of the individuals potentially impacted by the proposals:**

Depending on the proposal outcome and the agreed start date this would only impact on new customers but would negate a potential ongoing loss of income to the council.

- 3.4 **Proposal 4** - To include the full value high rate Attendance Allowance or Disability Living Allowance, or the enhanced daily living component of Personal Independence Payments, when carrying out non-residential financial assessments. ***Not Recommended***

- 3.4.1 The Council's current policy is to take only the middle/lower rate of these allowances into account in the financial assessment. This currently affects 1042 people.



This proposal would take into account all the benefits provided to individuals to cover additional needs as well as for care and support. Understandably, the people who are in receipt of these benefits can be amongst the most vulnerable within the Borough, but it is important to be aware that there would be limited risk to their direct care and support should the proposal be implemented. There are a number of safeguards in place, such as the minimum income guarantee, a 'duty of care', formal safeguarding, hardship considerations and discretionary powers for disability related expenditure. If implemented this would mean that the council would ensure that hardship did not arise as a result of the policy change.

The benchmarking analysis table below shows that this is a varied picture across this group of Yorkshire Councils but that this proposal is not out of step, with 5 of the 8 implementing the same approach.

### 3.4.2 Benchmarking analysis:

Client A - receives highest rate disability benefit but has no night time care needs											
	Client income	Rotherham Current Included	Rotherham Proposal 4	Barnsley	Bradford	North Yorkshire	York	Doncaster	Sheffield	East Riding	Wakefield
State Pension	160.00	160.00	160.00	160.00	160.00	160.00	160.00	160.00	160.00	160.00	160.00
Attendance Allowance	87.65	58.70	87.65	58.70	58.70	87.65	87.65	58.70	87.65	87.65	87.65
<b>Total Income</b>		<b>218.70</b>	<b>247.65</b>	<b>218.70</b>	<b>218.70</b>	<b>247.65</b>	<b>247.65</b>	<b>218.70</b>	<b>247.65</b>	<b>247.65</b>	<b>247.65</b>
<b>less</b>											
Standard Allowance	189.00	189.00	189.00	189.00	189.00	189.00	189.00	189.00	189.00	189.00	189.00
Housing Allowances	20.00	20.00	20.00	20.00	20.00	20.00	20.00	20.00	20.00	20.00	20.00
DRE's	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	5.00	16.00
<b>Charge</b>		<b>4.70</b>	<b>33.65</b>	<b>4.70</b>	<b>4.70</b>	<b>33.65</b>	<b>33.65</b>	<b>4.70</b>	<b>33.65</b>	<b>33.65</b>	<b>22.65</b>

### 3.4.3 Consultation outcome:

172 customers, (85% of all surveys), responded to this question. Of those who responded, 20% agreed with the proposal and 60% disagreed. There was an unclear response for 17% and 3% stated they had no opinion/didn't know.

Within the positive responses there were additional suggestions that, if all such income was considered, all related disability/support expenditure would also need to be within the financial assessment. This is aligned to the views of those who strongly disagreed with the proposal, as many believe that the DLA is to provide for the wider additional costs caused by their disability (i.e. Transport) and should not be considered in this financial assessment.

### 3.4.4 Impact Analysis:

This proposal would impact on those with higher rate disability benefit and those with no disability benefits; those with lower disability benefits would see no change. The minimum income guarantee would still apply.

AA/DLA and enhanced rate of PIP, this could result in an additional income of around £18,000 per week (£936k per annum) based on the existing cohort, which would affect around 782 people. The average increase per service user would be around £17 per week (ranging from no increase to £30).

If it is decided to take into account the current higher rate of £87.65 for AA/DLA and enhanced rate of PIP, this could result in an additional income of around £18,200 per week (£946k per annum) based on the existing cohort, which would affect around 782 people. The average increase per service user would be around £17 per week (ranging from no increase to £30).

***Impact of Proposal 4:***

Under 65		Over 65		Totals	
Value of Increase	Numbers affected	Value of Increase	Numbers affected	Value of Increase	Numbers affected
0.00 - 4.99	21	0.00 - 4.99	15	0.00 - 4.99	36
5.00 - 9.99	26	5.00 - 9.99	19	5.00 - 9.99	45
10.00 - 14.99	35	10.00 - 14.99	62	10.00 - 14.99	97
15.00 - 19.99	35	15.00 - 19.99	21	15.00 - 19.99	56
20.00 - 24.99	48	20.00 - 24.99	31	20.00 - 24.99	79
25.00 - 29.99	200	25.00 - 29.99	269	25.00 - 29.99	469
Total	365	Total	417	Total	782

**Breakdown of the individuals potentially impacted by the proposal:**

Proposal 4		
Ethnicity_Group	Number of People	Percentage
White	731	93.5%
Mixed / multiple ethnic groups	2	0.3%
Asian / Asian British	33	4.2%
Black / African / Caribbean / Black British	2	0.3%
Other ethnic group	3	0.4%
No data	11	1.4%
Total	782	
CURRENT_AGE_GROUP	Number of People	Percentage
18-64	365	46.7%
65+	417	53.3%
Total	782	
Gender	Number of People	Percentage
Male	361	46.2%
Female	421	53.8%
Total	782	

- 3.5 **Proposal 5** - To introduce a standard allowance of 30 per cent of disability benefits as an allowance for the Disability Related Expenditure (DRE) allowances that are taken into account as part of the financial assessment. Disability related expenditure is defined by statutory guidance.

***Not Recommended***

- 3.5.1 Under the current assessment regime the assessor will determine in each individual case the level of disability related expenditure that the service recipient has. During the financial assessment, any reasonable costs resulting from the customer's disability will be taken into consideration. The additional costs should be over and above those of a person without a disability and it is expected that evidence of the costs would be provided. This means that DRE allowances vary greatly across each person. The customer's care plan should also indicate that additional allowances are

justified. Our policy is to assess customers on an individual basis that takes account of individual need and circumstances.

The decisions around what and how to take into account Disability Related Expenditure is possibly the most complex of the proposals to address and assess. Placing a single allowance figure of 30% would impact the most on those without any disability benefits. The overall impact on those with higher rate benefits would be a reduction in charges.

### 3.5.2 Benchmarking analysis:

Client A - receives highest rate disability benefit											
	Client income	Rotherham Current Included	Rotherham Proposal 5	Barnsley	Bradford	North Yorkshire	York	Doncaster	Sheffield	East Riding	Wakefield
State Pension	160.00	160.00	160.00	160.00	160.00	160.00	160.00	160.00	160.00	160.00	160.00
Attendance Allowance	87.65	87.65	87.65	87.65	87.65	87.65	87.65	87.65	87.65	87.65	87.65
<b>Total Income</b>		247.65	247.65	247.65	247.65	247.65	247.65	247.65	247.65	247.65	247.65
<b>less</b>											
Standard Allowance	189.00	189.00	189.00	189.00	189.00	189.00	189.00	189.00	189.00	189.00	189.00
Housing Allowances	20.00	20.00	20.00	20.00	20.00	20.00	20.00	20.00	20.00	20.00	20.00
DRE's	33.00	33.00	26.80 (30% of 87.65)	19.87	33.00	33.00	33.00	33.00	33.00	33.00	16.00
<b>Charge</b>		5.65	NIL	18.78	5.65	5.65	5.65	5.65	5.65	5.65	22.65

Client B - Receives 58.70 disability benefit											
		Rotherham Current Included	Rotherham Proposal 5	Barnsley	Bradford	North Yorkshire	York	Doncaster	Sheffield	East Riding	Wakefield
ESA	196.25	196.25	196.25	196.25	196.25	196.25	196.25	196.25	196.25	196.25	196.25
DLA MIDDLE RATE	58.70	58.70	58.70	58.70	58.70	58.70	58.70	58.70	58.70	58.70	58.70
<b>Total Income</b>		254.95	254.95	254.95	254.95	254.95	254.95	254.95	254.95	254.95	254.95
<b>less</b>											
Standard Allowance	151.45	151.45	151.45	151.45	151.45	151.45	151.45	151.45	151.45	151.45	151.45
Housing Allowances	9.48	9.48	9.48	9.48	9.48	9.48	9.48	9.48	9.48	9.48	9.48
DRE's	0.00	0.00	17.61	0.00	0.00	0.00	0.00	0.00	0.00	0.00	16.00
<b>Charge</b>		94.02	76.41	94.02	94.02	94.02	94.02	94.02	94.02	94.02	78.02

Client C - Receives no disability benefit											
		Rotherham Current Included	Rotherham Proposal 5	Barnsley	Bradford	North Yorkshire	York	Doncaster	Sheffield	East Riding	Wakefield
State Pension	160.00	160.00	160.00	160.00	160.00	160.00	160.00	160.00	160.00	160.00	160.00
Occ Pension	93.21	93.21	93.21	93.21	93.21	93.21	93.21	93.21	93.21	93.21	93.21
<b>Total Income</b>		253.21	253.21	253.21	253.21	253.21	253.21	253.21	253.21	253.21	253.21
<b>less</b>											
Standard Allowance	189.00	189.00	189.00	189.00	189.00	189.00	189.00	189.00	189.00	189.00	189.00
Housing Allowances	20.00	20.00	20.00	20.00	20.00	20.00	20.00	20.00	20.00	20.00	20.00
DRE's	33.00	33.00	0.00 (No Disability Benefit)	0.00 (No Dis Ben)	33.00	33.00	0.00 (No Dis Ben)	0.00 (No Dis Ben)	0.00 (No Dis Ben)	33.00	16.00
<b>Charge</b>		11.21	44.21	44.21	11.21	11.21	44.21	44.21	44.21	11.21	28.21

### 3.5.3 Consultation outcome:

147 customers, (73% of all surveys), responded to this question. Of those who responded 16% agreed with the proposal and 52% disagreed. There was unclear response from 16% and 17% stated they had no opinion/didn't know.

At 73% of all surveys this was the lowest response rate to any question in the consultation. This seems to be due to a lack of understanding of the proposal, as it was also the highest 'no opinion/don't know' rate at 16%, with many related comments stating that this is an unclear proposal or that they don't understand.

Although some have stated that this may be easier to calculate and simpler to understand, there was a strong consensus that there is a need to retain a personalised assessment because individual needs and related costs vary.

### 3.5.4 Impact Analysis:

Based on the latest cohort, there are currently 1797 service users who receive a DRE, with an average allowance of £37 per week (this ranges from £0.09 up to £863). The proposal is to introduce a set allowance or cap, which would then allow more telephone assessments rather than actual visits, resulting in more efficient use of existing resources.

To allow automatically 30% of the higher disability benefit rate of £87.65 as a DRE allowance would affect 1971 people, with an average allowance of £22 per week (ranging from £3.48 to £26.30).

However, this proposal should come with a caveat, as people can still request a full financial assessment, which they will probably choose to do if charges increase significantly; therefore, any additional income is unlikely to be generated in addition to that identified in Proposal 4

The main impact would be on people with no disability benefit, with a 100% increase in charge. There would be a reduction for those on lower rate benefits and a small increase for those on higher rates. The main benefit of this proposal would be a reduction in time spent on financial assessments for the Council.

## 4. Consultation on proposal

4.1 The consultation was launched on the 22<sup>nd</sup> July 2019, with an initial planned closure date of the 9<sup>th</sup> September 2019. This was extended for a further three weeks to the 27<sup>th</sup> September 2019, to ensure that there was sufficient opportunity for people to respond.

4.2 Five proposals were consulted on, as detailed in the report. The full consultation report can be found in Appendix 3.

4.3 Methodology:

- Direct posting to all current people in receipt of non-residential services (2,700), this was also repeated as a reminder part way through the consultation period.
- 6 Fully public open events, 96 people attended.
- Bespoke information sessions at Sight and Sound; Older peoples Forum; Extra care housing x3; attracting interest of over 80 people approx.
- Benefits Team Home Visits during the consultation period, circa 200 people informed.
- Locality Team Visits during the period, circa 100 people informed.
- Announcement of consultation email to Subscribers of Adult Care, Housing & Public Health Staff, circa 1,000.
- Support organisations contacted twice, providing and offering information sessions.
- Direct contacts to the Council via email box or phone calls.
- 204 people responded formally to the consultation.

4.4 For proposals 1, 2, 4 & 5, responses were very consistent with regard to the levels of agreement and disagreement, with half of the responders on average not in agreement with the proposal and, on average, 20% agreeing.

4.5 For proposal 3, responses in terms of agreement and disagreement were very close at 41% for and 40% against.

4.6 **General recurrent themes, concerns and suggestions (across all questions)**

- Strong concerns raised across all proposals regarding discrimination against older people and/or those with disabilities.
- General understanding on the need to help those who cannot support themselves, but a significant worry that this will penalise those who have worked and saved.
- Concerns raised that people will choose not to receive the support they require just to save money, putting the ability to pay bills above their own safety and health.
- Consideration needs to be given to whether quality of care and value for money for each individual and whether need would be best met in residential care.
- Information regarding charging policy, regardless of the outcome of this review, needs to be much clearer for customers to understand what they receive, why and the cost.
- Changes in charging should be a transitional, 'stepped' approach for existing customers with some level of flexibility, as a one-size fits all approach may not be appropriate for those worried about how they will manage financially.

5. **Timetable and Accountability for Implementing this Decision**

5.1 It is proposed that any changes to the non-residential charging policy would come into effect on the 6<sup>th</sup> April 2020.

6. **Financial and Procurement Advice and Implications**

6.1 The figures contained within this report are based on the latest cohort of people receiving non-residential care services and are therefore subject to fluctuations in the demand for services. It is also feasible that some people may be affected by more than one of the above proposals, for example, increases in AA/DLA and changes to DRE allowances (Proposals 4 and 5).

6.2 People receiving local authority-arranged care and support other than in a care home need to retain a certain level of income to cover their daily living costs. Under the Care Act 2014, charges must not reduce people's income below a certain amount, but local authorities can allow people to keep more of their income if they wish. This amount is known as the Minimum Income Guarantee. This is the equivalent of Income Support or the Guaranteed credit element of Pension Credit, plus a minimum buffer of 25%.

- 6.3 Reviewing some of the allowances and charges highlighted in this report would result in additional income to the Council, which could assist in mitigating budget pressures and savings within Adult Social Care but more importantly developing preventative services for potential future recipients of services.

Proposal	Description	Est. income	# of People	Increase in charge
		£000's		Range (£ per week)
1	Removal of the maximum charge*	364	10	184-1,145
2	Commence charging for additional carers	676	81	1-228
3	Charge from the start of service	83	n/a	n/a
4	Include higher rates of AA/DLA/PIP	936	781	0-30
5	Allow 30% of Disability Benefit as DRE allowance			

Should none of the policy change options described above be adopted, there remains a savings target shortfall of £600k in the Adult Social Care budget for 2020/21. This shortfall would have to be taken from elsewhere in the Adult Services budget, further impacting upon ability to deliver services.

- 6.4 There are no direct procurement implications associated with the recommendations detailed in this report.

## 7. Legal Advice and Implications

- 7.1 As noted above, the Council is required to undertake needs assessments under the Care Act 2014 and mandated to meet the eligible unmet needs that are identified. The legislation, regulations and statutory guidance permit the local authority to charge for the services that it delivers within certain parameters, but it should be noted that there is no requirement in law to charge for non-residential care. However, where a charge is to be made, it must comply with the statutory guidance last updated in 2018. The guidance permits the local authority a degree of discretion within which it must act: the options set out above comply with those requirements.
- 7.2 The way in which these proposals have been developed complies with the Equality Act 2010.

- 7.3 Cabinet are entitled to make the decisions that are set out in the report under Appendix 9 of the Council's constitution. Legal advice has been sought in relation to the preparation of this report. This is a key decision which is included in the Forward Plan and is subject to call-in.

8. **Human Resources Advice and Implications**

- 8.1 There are no HR implications for this report

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

- 9.1 There are no immediate implications for Children and Young people, although any policy changes would impact on when young people becoming an adult as the policy does now.

10. **Equalities and Human Rights Advice and Implications**

- 10.1 The Council has a duty as defined in the Equality Act 2010, the main requirements being that a public authority must, in the exercise of its functions, have due regard to the need to:

- eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by or under this Act;
- advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it;
- foster good relations between persons who share a relevant protected characteristic and people who do not share it

- 10.2 An Equality Impact Assessment has been produced and it is attached at Appendix 1. It has considered the impact of the proposals on older and disabled people as a whole and sought to identify whether any other equality characteristics are impacted upon so that appropriate mitigating actions can be considered. The impact assessment identified that the people who will be affected by the proposals will all be older and/or disabled people, but that no other equality characteristics were impacted upon disproportionately.

<b>Ethnicity_Group</b>	<b>Number of People</b>	<b>Percentage</b>
White	2468	93.5%
Mixed / multiple ethnic groups	101	3.8%
Asian / Asian British	43	1.6%
Black / African / Caribbean / Black British	7	0.3%
Other ethnic group	8	0.3%
No data	13	0.5%
<b>Total</b>	<b>2640</b>	
<b>CURRENT_AGE_GROUP</b>	<b>Number of People</b>	<b>Percentage</b>
18-64	1120	42.4%
65+	1520	57.6%
<b>Total</b>	<b>2640</b>	
<b>Gender</b>	<b>Number of People</b>	<b>Percentage</b>
Male	1112	42.1%
Female	1528	57.9%
<b>Total</b>	<b>2640</b>	

10.3 The main actions arising from the Equality, Diversity, Cohesion and Integration Impact Assessment are as follows:

The Council has a legal responsibility to meet identified eligible need under the Care Act and will continue to meet this duty by ensuring no one is asked to pay what they cannot reasonably afford. This will be done through the application of the financial assessment and through looking at individual circumstances where customers are facing difficulties.

Signposting and support to access financial advice and advocacy in its broadest sense is one of the key mitigating factors we have identified to the issues raised in the consultation. Work with appropriate commissioned services and third sector organisations to promote further the support services.

To consider how all communication, web, written and spoken is presented in a simple easily understood way and it is carried out in a manner, at a pace and where necessary with appropriate support that allows service users to understand and question the information they are being given, seek clarity and decide how to proceed.

Address any access equity issues by ensuring Borough wide proactive advocacy/support services for individual's facing financial difficulty or material deprivation

10.4 The Equality Impact Assessment also identified the positive impact of the consultation process, providing the opportunity to better understand the potential impact of the proposed changes and identify ways in which these could be mitigated. A further positive impact is the financial assessment process. This seeks to maximise people's income through providing benefits reviews as part of the financial assessment process.



## 11. Implications for Partners

- 11.1 As demonstrated through the consultation there has been anxiety raised about the potential for applying any of these proposals in a new policy. Contact with partners across the voluntary and statutory sectors has increased. The Council has remained in regular communication about the proposals and will inform key partners of the outcomes and plan accordingly with those partners to respond to any impact.

## 12. Risks and Mitigation

- 12.1. As outlined in the report, there are safeguards already in place with regard to personal income guarantees.

## 13. Accountable Officers

Ian Spicer, Assistant Director Independent Living and Support

Approvals obtained on behalf of Statutory Officers:-

	Named Officer	Date
Chief Executive	Sharon Kemp	12/12/19
Strategic Director of Finance & Customer Services (S.151 Officer)	Judith Badger	04/12/19
Head of Legal Services (Monitoring Officer)	Bal Nahal	04/12/19

*Report Author: Ian Spicer, Assistant Director of Independent Living and Support*

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

## PART A - 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 (Part B).

Further information is available in the Equality Screening and Analysis Guidance – see page 9.

### 1. Title

**Title:** Adult Services non-residential care charging policy review

**Directorate:** Adult Social Care

**Service area:**

**Lead person:** Ian Spicer

**Contact number:** 01709 334062

Is this a:

☒

**Strategy / Policy**

☐

**Service / Function**

☐

**Other**

**If other, please specify**

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

On the 17th December 2018 Cabinet approved a proposal to consult on the options available to the Council for non-residential care charges, including options for the financial assessment. An initial review had been undertaken on the non-residential adult care charging policy and had identified key areas for proposed change. This report sets out the outcome of the consultation and makes recommendations for cabinet to consider on those proposed changes.

The consultation was launched on the 22<sup>nd</sup> July with an initial planned closure date of the 9<sup>th</sup> September. This was extended for a further three weeks to the 29<sup>th</sup> September to ensure there was sufficient opportunity for people to respond.

### 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, disability, sex, gender reassignment, race, religion or belief, sexual orientation, civil partnerships and marriage, pregnancy and maternity and other socio-economic groups e.g. parents, single parents and guardians, carers, looked after children, unemployed and people on low incomes, ex-offenders, victims of domestic violence, homeless people etc.

Questions	Yes	No
Could the proposal have implications regarding the accessibility of services to the whole or wider community?	X	
Could the proposal affect service users?	X	
Has there been or is there likely to be an impact on an individual or group with protected characteristics?	X	
Have there been or likely to be any public concerns regarding the proposal?	X	
Could the proposal affect how the Council's services, commissioning or procurement activities are organised, provided, located and by whom?		X
Could the proposal affect the Council's workforce or employment practices		X

If you have answered no to all the questions above, please explain the reason

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 before decisions are made.

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 using the prompts for guidance and complete an Equality Analysis (Part B).

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

Adult Social Care provides services to older and disabled people and so we know that these groups will be affected by the proposals. The proposals may also have an impact on Carers, both as people who may use services and as people who provide unpaid care and support to service users. The provision of any service is related purely to identified or assessed need and as such, religion, sexuality, culture, ethnicity should not impact upon the provision of services however it may impact upon how and where those services are provided.

The consultation will need to ensure that it is effective in engaging with all those who wish to take part including making it accessible to those with disabilities.

**Demographic**

263,400 people live in Rotherham Borough, about half living in and around the main urban area of Rotherham. The remainder live in smaller towns such as Wath, Dinnington and Maltby, and in numerous large villages and rural communities, all of which have their own distinct identities

Rotherham has a similar age profile to the national average and in common with the national trends, the population is ageing. Central Rotherham has a younger population than average whilst the more suburban and rural areas, mainly in the south of the borough, have older age profiles

One in four residents (25.2%) are aged 60 years or over and 22,500 people (8.5%) are aged 75 years or over. Rotherham has 56,900 children aged 0-17 (21.6% of the population).

**Key findings**

This identified that the people that the proposals will affect will all be older and/or disabled people, but that no other equality characteristics were impacted upon disproportionately. A range of actions are included to mitigate the impact of the proposals recommended.

**Actions**

To consider how all communication, web, written and spoken is presented in a simple easily understood way and it is carried out in a manner, at a pace and where necessary with appropriate support that allows service users to understand and question the information they are being given, seek clarity and decide how to proceed.

The Council has a legal responsibility to meet identified need under the Care Act and will continue to meet this duty by ensuring no one is asked to pay what they cannot reasonably afford. This will be done through the application of the financial assessment and through looking at individual circumstances where customers are facing difficulties.

Date to scope and plan your Equality Analysis:	30/09/2019
Date to complete your Equality Analysis:	10/10/19
Lead person for your Equality Analysis (Include name and job title):	Ian Spicer Assistant Director – Independent Living & Support

## 5. Governance, ownership and approval

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

Name	Job title	Date
Gerry Gillen	Legal Officer	
Ian Spicer	Assistant Director	

## 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](mailto: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.

<b>Date screening completed</b>	19/09/19
<b>Report title and date</b>	Adult Services non-residential care charging policy review  Date:

<b>If relates to a Cabinet, key delegated officer decision, Council, other committee or a significant operational decision – report date and date sent for publication</b>	14/10/19
<b>Date screening sent to Performance, Intelligence and Improvement</b> <a href="mailto:equality@rotherham.gov.uk">equality@rotherham.gov.uk</a>	14/10/19

## PART B – Equality Analysis Form

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.

This form:

- Can be used to prompt discussions, ensure that due regard has been given and remove or minimise disadvantage for an individual or group with a protected characteristic
- Involves looking at what steps can be taken to advance and maximise equality as well as eliminate discrimination and negative consequences
- Should be completed before decisions are made, this will remove the need for remedial actions.

Note – An Initial Equality Screening Assessment (Part A) should be completed prior to this form.

When completing this form consider the Equality Act 2010 protected characteristics Age, Disability, Sex, Gender Reassignment, Race, Religion or Belief, Sexual Orientation, Civil Partnerships and Marriage, Pregnancy and Maternity and other socio-economic groups e.g. parents, single parents and guardians, carers, looked after children, unemployed and people on low incomes, ex-offenders, victims of domestic violence, homeless people etc. – see page 11 of Equality Screening and Analysis Guidance.

1. Title	
<b>Equality Analysis title:</b> Adult Services non-residential care charging policy	
<b>Date of Equality Analysis (EA):</b> 10/10/19	
<b>Directorate:</b> ACH&PH	<b>Service area:</b> Independent Living & Support
<b>Lead Manager:</b> Ian Spicer – Assistant Director	<b>Contact number:</b> 01709 334062
<b>Is this a:</b> <input checked="checked" type="checkbox"/> <b>Strategy / Policy</b> <input type="checkbox"/> <b>Service / Function</b> <input type="checkbox"/> <b>Other</b>  <b>If other, please specify</b>	

## 2. Names of those involved in the Equality Analysis (Should include minimum of three people) - see page 7 of Equality Screening and Analysis Guidance

Name	Organisation	Role (egg service user, managers, service specialist)
Mark Scarrott	RMBC	Finance Officer
Gerry Gillen	RMBC	Solicitor

## 3. What is already known? - see page 10 of Equality Screening and Analysis Guidance

### **Aim/Scope (who the Policy/Service affects and intended outcomes if known)**

This may include a group/s identified by a protected characteristic, others groups or stakeholder/s e.g. service users, employees, partners, members, suppliers etc.)

**Aim/Scope** (who the Policy /Service affects and intended outcomes if known) See page 7 of guidance step 1

The council's current non-residential charging policy has been in place since 2016 and has not been reviewed in that time. There is an expectation that all council policies should be reviewed in a timely fashion to ensure that they are fit for purpose and in line with legislation and statutory guidance.

To be eligible for services from the council requires a statutory assessment under the Care Act 2014 and those who will receive such services must meet an eligibility criteria set out in the legislation.

The council delivers these services to groups who have protected characteristics under the Equality Act 2010 namely older people, people with a disability and carers.

The services referred to in this assessment are home care or supported living services, day care and transport to day care, tele care services and services delivered through direct payments. Note: Reablement services are free of charge and not affected.

As a result of funding reductions from Central Government along with a growing demand for services has led to a need to manage finite resources more efficiently and equitably including the potential to reduce subsidies for services provided to current service users. This has resulted in a number of proposed changes to charging for non-residential adult social care services as set out below.

Any changes to the charging regime must comply with statutory guidance as set out below

An initial review of the Council's current non-residential care charging policy has been carried out, the outcomes of which were presented to Cabinet in a report on 17<sup>th</sup> December 2018, resulting in the identification of five key areas for proposed changes in order to update



the non-residential charging policy and financial assessment service provided by the Council. In turn these proposals would seek to ensure that there is equity and clarity in how this policy is applied across all the people that receive non-residential services as well as giving consideration for those not currently users of the service.

The Care Act 2014 focuses on improving people's independence and wellbeing. It makes it clear that it is the duty of the Council to provide or arrange services that help prevent or delay people developing eligible needs for care and support. The council must maintain a service for providing advice and information relating to care and support. It states that a Council may make a charge for meeting needs, covering the cost that is incurred by the Council in meeting the needs to which the charge applies. In order to do this, a financial assessment is required to determine an individual's ability to contribute to their care cost.

A person who receives care and support in their own home will need to pay their daily living costs such as rent, food, utilities, and must have enough money to meet these costs. Under the Care and Support Statutory Guidance 2018 their income must not be reduced below a specified level after charges have been deducted. This is known as the 'Minimum Income Guarantee' and is designed to promote independence and social inclusion. The Minimum Income Guarantee ensures income equivalent of Income Support or Guaranteed Credit element of Pension Credit plus a minimum buffer of 25% is maintained by service users.

The proposals are detailed below:

- 1.1 Proposal 1: To remove the current maximum charge, and to charge those people who can afford it, the full cost of the services they are provided.
- 1.2 Proposal 2: Under the new framework those who can afford it would be charged for the total number of carers attending and providing services, which would mean introducing a charge where more than one carer is provided at the same time.
- 1.3 Proposal 3: That the liability for charges will be from the date on which the service commences and not from the date that the financial assessment is completed.
- 1.4 Proposal 4: To include the full value high rate Attendance Allowance or Disability Living Allowance or the enhanced daily living component of Personal Independence Payments, when carrying out non-residential financial assessments.
- 1.5 Proposal 5: To introduce a standard allowance of 30 per cent of disability benefits for Disability Related Expenditure (DRE) as part of the financial assessment.

**What equality information is available? (Include any engagement undertaken)**

Rotherham has a steadily growing population which reached a record level of 263,400 in 2017. The population is growing as a result of natural increase (more births than deaths), net inward migration and increased life expectancy. Rotherham has 161,400 people of working age (61%). This is slightly lower than the English average. Rotherham has an ageing population not only in absolute terms but also as a proportion of the total population

and their health and social care needs place increasing pressure on care and support services. There are 51,000 people aged 65+ including 6,000 people aged 85+ whose numbers are projected to increase by a third over the next 10 years. ONS data shows that as a person ages their need for support grows. (<https://tinyurl.com/yywje8ha>).

The population is increasingly diverse, with around one person in 10 from a minority ethnic group. The largest BME group is Pakistani and Kashmiri who numbered 7,900 in 2011. At the time of the 2011 Census, there were 13,147 people born outside the UK and living in Rotherham or 5.1% of the population, compared with 6,473 in 2001. The number has since increased further through migration, especially from Slovakia, Poland and latterly Romania.

Health in Rotherham has long been poorer than average with life expectancy below that in England as a whole, although rising. Life expectancy for males in Rotherham is 1.4 years below the national average and for females the gap is greater at 1.9 years. Health inequalities within the Borough are illustrated by the 9.5 year gap in life expectancy for men living in the most deprived areas and the least deprived, and a 7 year gap for women.

Particular health and lifestyle concerns in Rotherham are obesity, alcohol and smoking related illness, cancer, smoking in pregnancy and low breastfeeding initiation. Older people in Rotherham are far more likely to be disabled and be in poor health than average. The 2011 Census showed that 56,588 (21.9%) of Rotherham's population had a long term health problem or disability and 11.3% said their day-to-day activities were limited a lot by long term conditions (8.3% nationally).

The current policy applies to all groups of people aged 18 and over who have been assessed as having eligible needs under the Care Act 2014 and requires commissioned non-residential services.

The current policy applies to all of the current 2,700 people who are in receipt of non-residential services and any new people who require such services. Any amendments to the policy will affect the current as well as future users of the service from the date of implementation.

Any changes to service user contributions which are implemented will be carefully monitored. Adult Social Care has procedures in place to systematically monitor the use of services and follow-up individual customers to ensure that their eligible needs are met and welfare needs addressed. For all customers who cease or reduce their service when any new charging arrangements are introduced, a risk assessment will take place. An initial screening will be undertaken by the service provider and if any risks or potential risks to the customer or their carer are identified the case will be referred to care management for a review. Previous changes to charging policy or to the financial assessment methodology have resulted in only a very small number of customers seeking to stop or reduce their service, all of whom have been risk assessed and dealt with appropriately. No-one with eligible needs will have their service ceased or reduced due to the impact of any policy changes if this would put them at risk of harm. In such a situation the care manager will carry out a review and consideration will be given to how support can be effectively delivered to meet their needs to keep them safe.

The Equality Assessment has been informed by the consultation process, which has provided the opportunity to better understand the potential impact of the proposed changes

<p>and identify ways in which these could be mitigated. A further positive impact is the financial assessment process which seeks to maximise people's income through providing benefits checks as part of the financial assessment process, including completing benefits claims forms on behalf of the customer, where necessary.</p>	
<p><b>Are there any gaps in the information that you are aware of?</b></p> <p>No</p>	
<p><b>What monitoring arrangements have you made to monitor the impact of the policy or service on communities/groups according to their protected characteristics?</b></p> <p>Closely monitor people's use of services through targeted reviews of those who are impacted upon, following the implementation of any changes to charging to ensure that customers' needs are being met.</p> <p>Establish clear points of contact for those most effected.</p> <p>Identify any impact on the use of services and any changes in demand curves.</p> <p>Provide staff with training and support so they can confidently and clearly respond to queries and comments and challenge where applicable.</p>	
<p><b>Engagement undertaken with customers. (date and group(s) consulted and key findings)</b></p>	<p>On the 17th December 2018 Cabinet approved a proposal to consult on the options available to the Council for non-residential care charges, including options for the financial assessment. An initial review had been undertaken on the non-residential adult care charging policy and had identified key areas for proposed change.</p> <p>The consultation was launched on the 22<sup>nd</sup> July with an initial planned closure date of the 9<sup>th</sup> July. This was extended for a further three weeks to the 27<sup>th</sup> September to ensure there was sufficient opportunity for people to respond.</p> <p>5 proposals were consulted on, as set out above, using the following methodology:</p> <p>All the relevant information was available via the council's website.</p> <p>Press releases sent to the Advertiser newspaper (date).</p> <p>Drop-in session 1 26 July Town Hall 11am Drop-in session 2</p>

	<p>30 July New York Stadium 5.30pm - 7.30pm Drop-in session 3 31 July Town Hall 1pm – 2.30pm Drop-in session 4 1 August Town Hall 3pm – 4.30pm Drop-in session 5 29 August Maltby Service Centre 11am – 12.30pm Drop-in session 6 30 August High St Centre, Rawmarsh</p> <p><b>Arranged group meetings</b></p> <p>Sight and Sound 2 September Sight and Sound 12 September 4 September, Older People's Forum 10.45am -11.45am 23 September, Stag Willow/Oak Trees ECH 1pm 24 September, Bakersfield Court ECH 2pm-4pm 26 September, Potteries Court ECH 10am-11am</p> <p>Letter mailed to people who use the service including consultation pack. Letter sent to people who use the service to remind them to take part in the consultation Announcement of consultation email to Subscribers of Adult Care, Housing &amp; Public Health Staff, 2 July Easy Read email to support organisations 16 August. (Followed up 29 August.) Information about additional drop-in session emailed to support organisations 23 August</p> <p>Throughout this process direct contact was made with over 3,000 people.</p> <p>85 people attended the Drop in sessions</p> <p>The benefits and assessments team visited over 100 service users during the consultation period.</p> <p>50 direct enquiries received and responded to from the mail box.</p> <p>202 people completed the consultation forms.</p>
<b>Engagement undertaken with staff (date and group(s)consulted and key findings)</b>	<p>Staff briefings across the directorate held on the 16<sup>th</sup> and 30<sup>th</sup> October.</p> <p>Cross directorate working group held monthly meetings for 12 months.</p>

	<p>Reports and discussions at weekly Directorate Leadership Team</p> <p>Discussions at fortnightly Senior Managers Team Meetings</p>
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#### 4. The Analysis - of the actual or likely effect of the Policy or Service (Identify by protected characteristics)

##### **How does the Policy/Service meet the needs of different communities and groups?**

(Protected characteristics of Age, Disability, Sex, Gender Reassignment, Race, Religion or Belief, Sexual Orientation, Civil Partnerships and Marriage, Pregnancy and Maternity) - see glossary on page 14 of the Equality Screening and Analysis Guidance)

Under the Equality Act 2010 the following are recognised as protected characteristics: Age, Disability, Sex, Gender Reassignment, Race, Religion or Belief, Sexual Orientation, Civil Partnerships and Marriage, Pregnancy and Maternity.

Rotherham also includes Carers as a specific group. Other areas to note are Financial Inclusion, Fuel Poverty, and other socio-economic factors. This list is not exhaustive - see guidance appendix 1 **and** page 8 of guidance step 4

Adult Social Care through their duties under the Care Act 2014 provides services to eligible individuals following an assessment of need. These individuals are older and disabled people and so it is known that these groups will be affected by the proposals. The proposals may also have an impact on carers, both as people who may use services and as people who provide unpaid care and support to service users. The provision of any service is related purely to identified or assessed need and as such, religion, sexuality, culture, ethnicity should not impact upon the provision of services however it may impact upon how and where those services are provided.

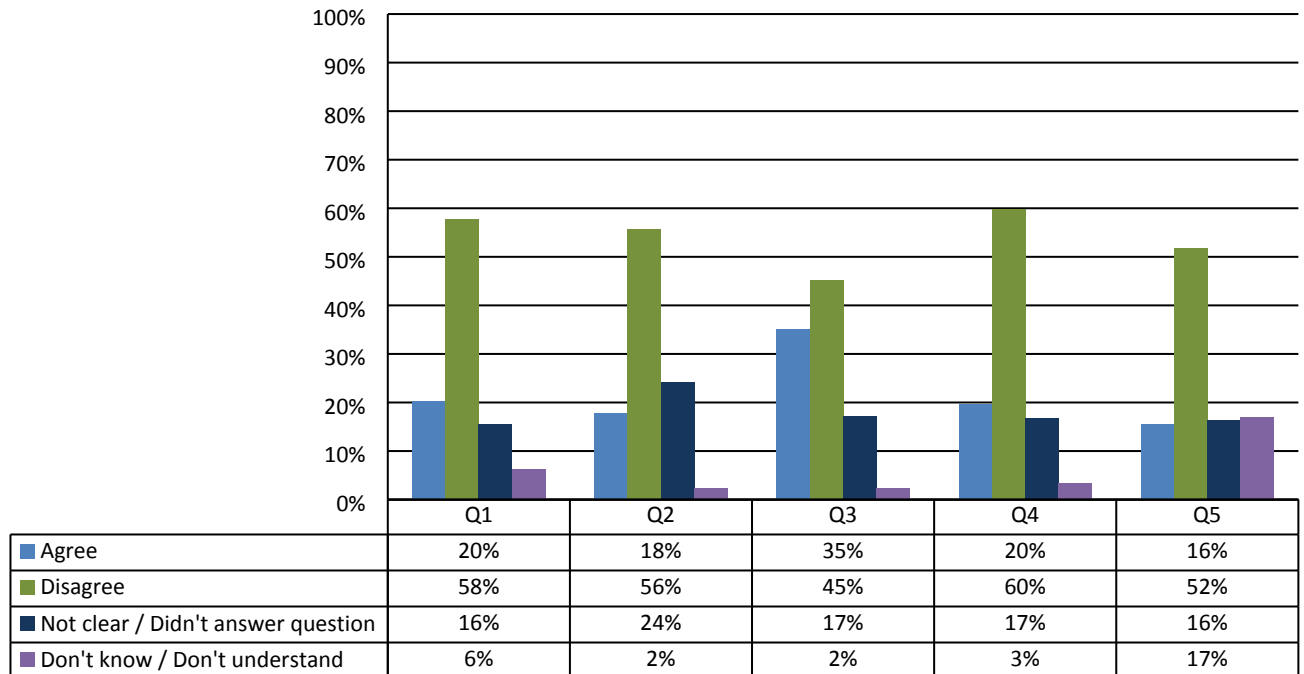
The equality assessment has identified that the people that the proposals will affect will all be older and/or disabled but that no other equality characteristics will be impacted upon disproportionately. A range of actions are included to mitigate the impact of the proposals recommended.

- Financial hardship due to increased care costs, decreased quality of life and impact on wellbeing due to financial hardship.
- Individuals refusing services all together or opting for a lower level of service due to cost increases which could put their health and/or wellbeing at risk
- This could lead to an increase in requirements for higher cost services for the local authority as a result of, for example, individuals falling, as well as potentially greater social isolation
- Fear/reluctance of approaching Adult Social Care early due to a perceived inability to be able to afford services until a crisis has been reached resulting in either admission to hospital or higher cost services.
- A small number of current users may decline council services and purchase support from other providers

- Residential care may become a financially more attractive service

**Graph 2: % Summary of response for each question**

(Of those who completed the question)



### Does your Policy/Service present any problems or barriers to communities or Groups?

Individually, there may be a perception that those who have worked and/or saved over their lifetime and being disadvantaged compared to those who have chosen not to save. However, any amendment in the council's policy follows the statutory guidance issued by the Department of Health and Social Care. The decision to levy charges has been brought about by policy decisions by Parliament that care services would not be free at the point of use and therefore must be paid for by those that can financially afford them. Additionally as demand grows the money available to local authorities diminishes as a result of reductions in funding from central government therefore requiring a realignment on how services are charged

### Does the Service/Policy provide any positive impact/s including improvements or remove barriers?

Although it is recognised that by increasing charges this will impact adversely on a number of current users it will have the effect of reducing the subsidy provided for delivered support and move it closer to the real cost of services to the local authority. This will allow the council to manage its budgets in such a way as to ensure that the growing older and frailer population will receive a service which has the greatest possibility of keeping them safe and well as they become more vulnerable due to illness and disability.

Under the Care Act the local authority must meet eligible unmet needs and therefore has to use its finite resources to deliver and/or commission appropriate services for the identified group. It

is important that members of the community receive sufficient information to understand what services are available and that decisions regarding assessments of need and ability to pay and

Explain the Council's legal duties to provide care and support for people from all communities. Ensure that we share clear and transparent information about the entitlement to services with all communities' in particular new migrants. In addition provide open and transparent information on how such entitlements are calculated that challenge inaccurate perceptions and prejudices with one aim of dispelling some of the present myths around what migrants are entitled too and replace those myths with clear and accurate understanding.

This could be achieved by providing staff with training and support so staff can confidently and clearly respond to queries and comments and challenge where applicable.

**What affect will the Policy/Service have on community relations?** (may also need to consider activity which may be perceived as benefiting one group at the expense of another)

Conversely individual perception of others getting services free that they have to pay for may cause a decrease in social cohesion. Mitigate by the dissemination of clear unambiguous information regarding who receives social care and how what they are asked to contribute is calculated.

Closely monitor people's use of services following the implementation of any changes to charging to ensure that customers do not become socially isolated.  
Carry out work to identify the impact on the use of services and any changes in demand curves.

Please list any **actions and targets** that need to be taken as a consequence of this assessment on the action plan below and ensure that they are added into your service plan for monitoring purposes – see page 12 of the Equality Screening and Analysis Guidance.

## **5. Summary of findings and Equality Analysis Action Plan**

If the analysis is done at the right time, i.e. early before decisions are made, changes should be built in before the policy or change is signed off. This will remove the need for remedial actions. Where this is achieved, the only action required will be to monitor the impact of the policy/service/change on communities or groups according to their protected characteristic - See page 11 of the Equality Screening and Analysis guidance

<b>Title of analysis:</b> Adult Services non-residential care charging policy
<b>Directorate and service area:</b> ACH&PH – Independent Living & Support
<b>Lead Manager:</b> Ian Spicer – Assistant Director
<b>Summary of findings:</b>
<p>The current policy applies to all of the current 2,700 people who are in receipt of non-residential services and any new people who require such services. Any amendments to the policy will affect the current as well as future users of the service from the date of implementation.</p> <p>The equality assessment has identified that the people that the proposals will affect will all be older and/or disabled and carers but that no other equality characteristics will be impacted upon disproportionately. A range of actions are included to mitigate the impact of the proposals recommended.</p> <p>Adult Social Care has procedures in place to systematically monitor the use of services and follow-up individual customers to ensure that their eligible needs are met and welfare needs addressed.</p> <p>No-one with eligible needs will have their service ceased or reduced due to the impact of any policy changes if this would put them at risk of harm.</p> <p>The Equality Assessment has been informed by the consultation process, which has provided the opportunity to better understand the potential impact of the proposed changes and identify ways in which these could be mitigated.</p>



Although it is recognised that by increasing charges this will impact adversely on a number of current users it will have the effect of reducing the subsidy provided for delivered support and move it closer to the real cost of services to the local authority. This will allow the council to manage its budgets in such a way as to ensure that older people, those with a disability and carers will receive a service which has the greatest possibility of keeping them safe and well especially as needs may increase.

Action/Target	State Protected Characteristics as listed below	Target date (MM/YY)
The Council has a legal responsibility to meet identified eligible need under the Care Act and will continue to meet this duty by ensuring no one is asked to pay what they cannot reasonably afford. This will be done through the application of the financial assessment and through looking at individual circumstances where customers are facing difficulties.	A, C and D	Starting with the notification of the decisions arising from this review and ongoing
Signposting and support to access financial advice and advocacy in its broadest sense is one of the key mitigating factors we have identified to the issues raised in the consultation. Work with appropriate commissioned services and third sector organisations to promote further exposure of the support services.	A, C and D	Ensure any commissioned and Voluntary support services are informed of any policy changes in advance
To consider how all communication, web, written and spoken is presented in a simple easily understood way and it is carried out in a manner, at a pace and where necessary with appropriate support that allows service users to understand and question the information they are being given, seek clarity and decide how to proceed.	A,C and D	Develop Comms plan covering accessible information pending any Policy changes
There are continuing programmes including 'Thriving Neighbourhoods' looking to develop new and innovative ways of providing support through mobilising community resources to address social isolation.	A, C and D	As part of comprehensive Comms plan to include all related support programmes.
Look at the possibility of identifying funding to either commission new or extend existing services to address any access equity issues by providing	A, C and D	Inform lead commissioner of the proposals and work

Borough wide proactive advocacy/support services for individual's facing financial difficulty or material deprivation.		up plan to address this concern.
Consider with members and senior officers the level and degree of the changes we are proposing in light of the concerns raised and look to identify any potential changes to the proposal that could reduce anxiety or actual financial hardships.	A, C and D	Discuss with Cabinet member for Adult Social Care

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

#### 6. Governance, ownership and approval

Please state those that have approved the Equality Analysis. Approval should be obtained by the Director and approval sought from DLT and the relevant Cabinet Member.

Name	Job title	Date
Anne Marie Lubanski	Strategic Director	25.10.2019

#### 7. Publishing

The Equality Analysis will act as evidence that due regard to equality and diversity has been given.

If this Equality Analysis 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 should also be sent to [equality@rotherham.gov.uk](mailto: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.

<b>Date Equality Analysis completed</b>	10/10/19
<b>Report title and date</b>	Adult Services non-residential care charging policy 18/10/19
<b>Date report sent for publication</b>	
<b>Date Equality Analysis sent to Performance, Intelligence and Improvement</b> <a href="mailto:equality@rotherham.gov.uk">equality@rotherham.gov.uk</a>	10/10/19

The following is an analysis of the consultation survey on proposals to amend the non-residential charging policy which closed on the 29<sup>th</sup> September 2019. To allow for the inclusion of surveys sent via royal mail, all responses received by the 3<sup>rd</sup> October have been considered.

In total 202 responses to consultation survey were received.

The survey consisted of five specific questions with opportunity to supply further comments at the end. Responses to all questions were 'open text' in structure and respondents were not required to answer all questions. Due to the structure of the questions the analysis is based on a review and interpretation of each individual response to make a judgement on whether the customer agrees or disagrees with each proposal. Additional quality assurance and independent moderation of these judgement decisions has also been provided by the Performance and Improvement Manager, (Assistant Chief Executive Services). For a number of responses the respondents opinion is unclear or they have stated they have no opinion, these are also shown within the analysis.

**Proposal 1 - The proposal is to remove the current maximum charge, and to charge those people who can afford it, the full cost of the services they are provided.**

173 customers, (86% of all surveys), responded to this question. Of those which responded 20% agreed with the proposal and 58% disagreed. It was unclear response for 16% and 6% stated they had no opinion/didn't know.

Many responders favoured retaining a clear maximum charge with some suggesting an alternative that this should be reviewed and increased rather than removed entirely.

**Proposal 2 - Under the new framework those who can afford it would be charged for the total number of carers attending and providing services, which would mean introducing a charge where more than one carer is provided at the same time.**

174 customers, (86% of all surveys), responded to this question. Of those which responded 18% agreed with the proposal and 56% disagreed. This was the proposal with the highest proportion of responses where there was no clarity on whether they agreed or disagreed, (24%) with a number wanting to understand the impact on them personally before stating whether they agree or not agree. 2% stated they had no opinion/didn't know.

Those in favour understood the council's need to charge as a business and saw it as fair that more service would equate to higher costs. There were however concerns regarding whether residents would opt not to have the service and choose to place themselves at risk. Some responders also some concerns raised on how required service levels would be set and the need for better monitoring of providers delivery if charges were increased. Some cited that they believe their current provision of two carers is often not needed.

**Proposal 3 - It is proposed that charges be made, for those who can afford it, from the actual date on which the service commences and people will be asked to pay for the services they have received from the date their care began.**

168 customers, (83% of all surveys), responded to this question. Of those which responded 35% agreed with the proposal and 45% disagreed. It was unclear response for 17% and 2% stated they had no opinion/didn't know.

This proposal relates to customers changing or starting new service provision. However this was misunderstood by many responders as including an issuing 'backdated' charge for those already on service, (22 surveys, 11% of responders). This confusion may have affected the response rates however it is worth noting that three of these responders included in the 'agreeing with the proposal' figures, 12 did not agree and seven 'didn't know'.

There were also comments that they thought that this proposal was already the case and that clearer charging information needs to be supplied. With some citing that the start of charges should be linked to the assessment and that a swifter assessment process would be needed so clients quickly understand, and have choice, in their potential service charges at the very start.

**Proposal 4 - It is proposed to include the full value high rate Attendance Allowance or Disability Living Allowance or the enhanced daily living component of Personal Independence Payments, when carrying out non-residential financial assessments.**

172 customers, (85% of all surveys), responded to this question. Of those which responded 20% agreed with the proposal and 60% disagreed. It was unclear response for 17% and 3% stated they had no opinion/didn't know.

Within the positive responses there were additional suggestions that if all such income was considered that all related disability/support expenditure would also need to be within the financial assessment. This is aligned to the views of those who strongly disagreed with the proposal as many believe the DLA is to provide for the wider additional costs caused by their disability (i.e. Transport) and should be separate to this financial assessment.

**Proposal 5 - It is proposed to introduce a standard allowance of 30 per cent of disability benefits as an allowance for Disability Related Expenditure (DRE) allowances taken into account as part of the financial assessment.**

147 customers, (73% of all surveys), responded to this question. Of those which responded 16% agreed with the proposal and 52% disagreed. It was unclear response for 16% and 17% stated they had no opinion/didn't know.

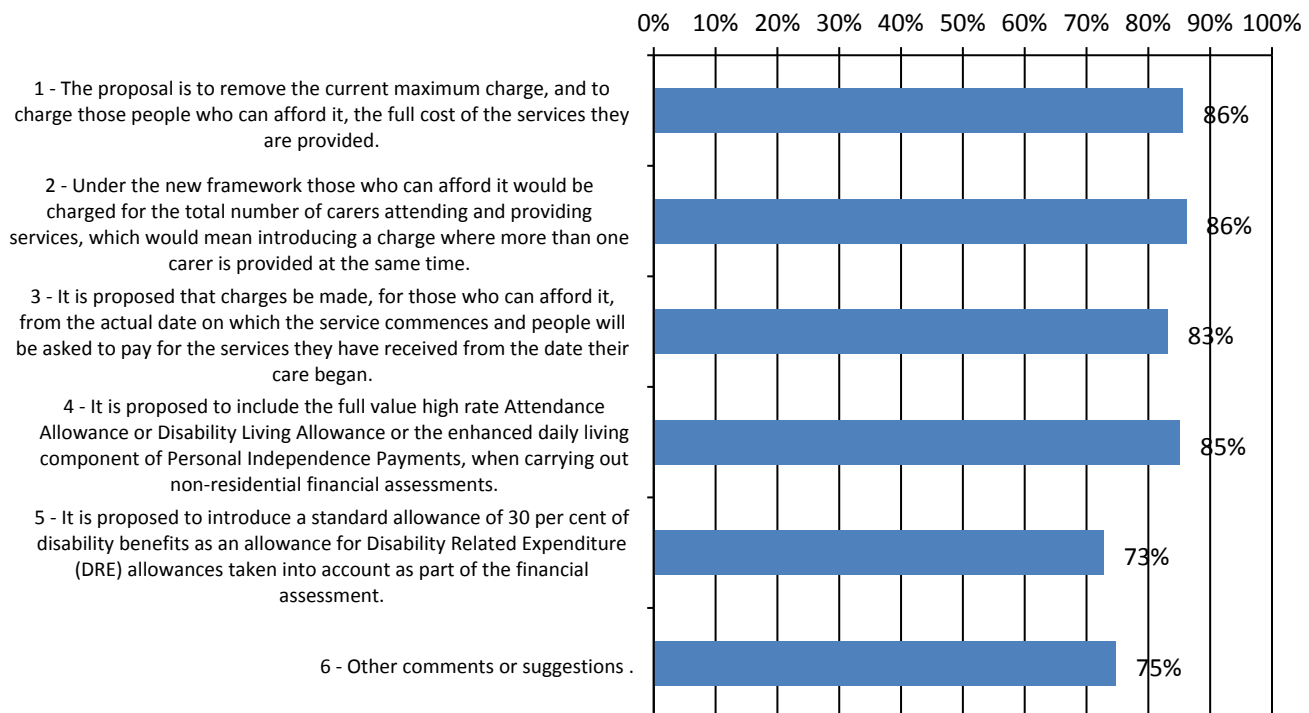
At 73% of all surveys this was the lowest question response rate of the consultation. This seems to be due to a lack of understanding of the proposal as it was also the highest 'no opinion/don't know' rate at 16% with many related comments stating that this is an unclear proposal or they don't understand.

Although some have stated this may be easier to calculate and simpler to understand there was a strong consensus that there is a need to retain a personalised assessment as individual needs and related costs vary.

The graphs below provide a visual representation of the above analysis.

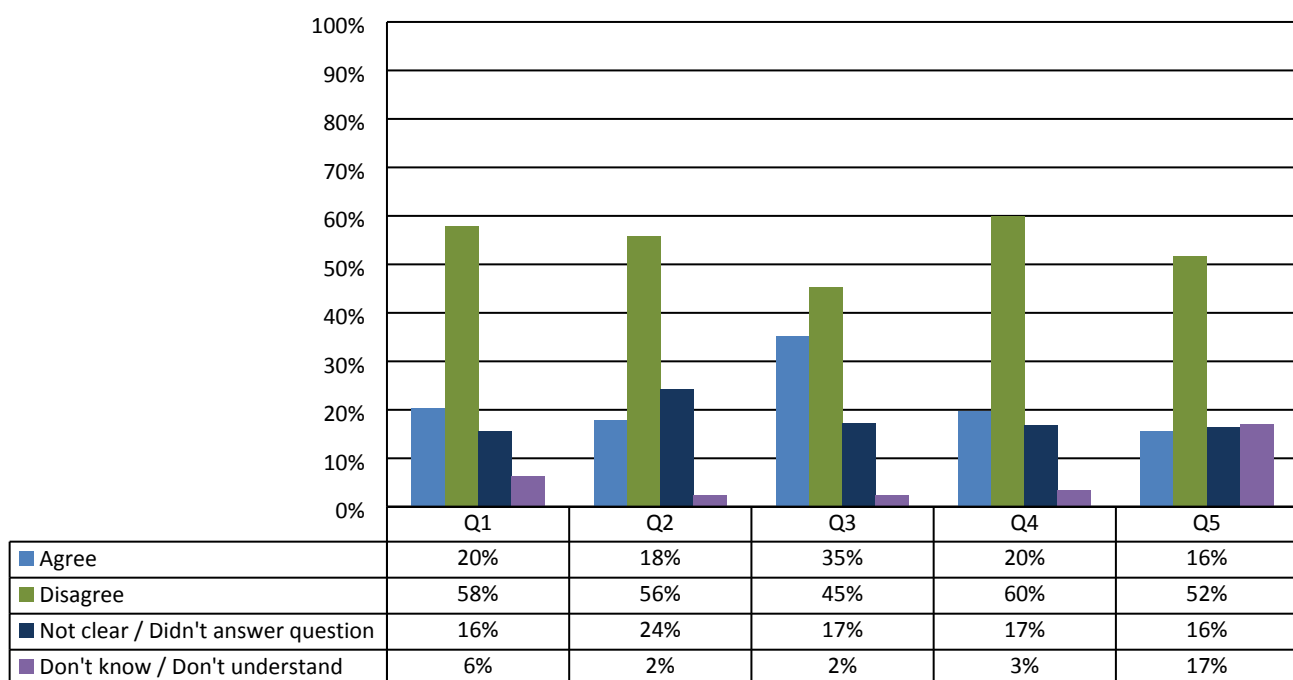
**Graph 1 - % of Submitted surveys where the question was not left blank or 'N/A'**

(Question response rate)



**Graph 2: % Summary of response for each question**

(Of those who completed the question)



**General recurrent themes, concerns and suggestions (across all questions)**

- Request for a full equalities impact assessment against each proposal. Strong concerns raised across all proposals regarding discrimination against older people and/or those with disabilities.
- If there are stronger and higher charging policies then council quality and audit processes need to be much more robust to protect the customer. There are worries some providers will overstate the requirement or time taken to increase income. For example although the care package states the number of carers required sometimes more/less attend and the second carer isn't required.
- There are requests for further details and transparency of the financial impact of these proposed changes given the small numbers it is likely involve (quoted 50 service users from total of 2,550)
- There is a general understanding on the need to help those who cannot support themselves but a worry for a significant proportion of those responding is that these proposals will penalise those who have worked and saved.
- Concerns raised that people will choose not to receive the support they require just to save money, putting the ability to pay bills above their own safety and health.
- Consideration needs to be given to whether quality of care and value for money for each individual and the council would be best met in residential care.
- Information regarding charging policy, regardless of the outcome of this review, needs to be much clearer for customers to understand what they receive, why and the cost.
- Changes in charging should be a transitional, 'stepped' approach for existing customers with some level of flexibility as a one-size fits all may not be appropriate for those worried about how they will manage financially.

Within their responses to the specific proposals, there is also general theme that residents were unhappy with this consultation process. Many felt the clarity of documents and information provided needed to be improved as they understand what they were being asked, that the examples given were not relatable to their personal circumstance and that the meetings were inaccessible for a lot of service users who would be home/bed bound.

Analysis completed by: Deborah Johnson, Performance & Improvement Manager  
(Assistant Chief Executive Services)

Date: 4<sup>th</sup> October 2019

Public Report  
Cabinet

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**Committee Name and Date of Committee Meeting**

Cabinet – 23 December 2019

**Report Title**

Housing Revenue Account Business Plan 2020-21

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

Yes

**Strategic Director Approving Submission of the Report**

Anne Marie Lubanski, Strategic Director of Adult Care, Housing and Public Health

**Report Author(s)**

Paul Elliott, Business and Commercial Programme Manager  
01709 822494 or paul.elliott@rotherham.gov.uk

**Ward(s) Affected**

Borough-Wide

**Report Summary**

The Housing Revenue Account (HRA) records all expenditure and income relating to the provision of council housing and related services, and the Council is required to produce a HRA Business Plan setting out its investment priorities over a 30 year period.

Following the introduction in 2012 of HRA self-financing, the Council was awarded control over its HRA in return for taking on a proportion of national housing debt.

Since the last update there have been no significant government policy changes that affect the business plan. That said there are still some policies that have impacted on the plan:

- Roll out of full service Universal Credit to all remaining working age tenants in Rotherham since July 2018 onwards.
- Ongoing Right to Buy eligibility.
- Updated Guidance on Social rents permitting increases of CPI + 1% from 2020-21 onwards.



The Business Plan recognises the importance of continuing investment in new affordable homes, focuses on the next five years and will continue to be amended and reported annually. Given the economic uncertainty the overall position remains challenging, but given the level of reserves and the previous decision to defer some investment in stock until later in the plan the ability to divert resources to fund housing growth and contribute to the Council Plan remains.

Over the short to medium term forecast, the Business Plan shows a sustainable level of cash flow and balances; however over the longer term there is a significant squeeze on resources due to inflationary pressures. The key risks in the Business Plan are increased Right to Buy sales above those planned for, interest rate rises above those planned and inflation. These risks are monitored continuously and mitigated by the Housing Service with support from financial services.

This report provides a detailed technical overview of the current position and the reason for changes to the Business Plan. This report is to be considered alongside the proposed 2020-21 rents, service charges and budgets.

### **Recommendations**

That Cabinet resolve to recommends to Council:

1. That the proposed 2020-21 Base Case Option 3 for the Housing Revenue Account Business Plan be approved.
2. That the plan be reviewed annually to provide an updated financial position.

### **List of Appendices Included**

Appendix 1 HRA Operating Statement  
Appendix 2 Summary of Modelled Business Plan Scenarios  
Appendix 3 Equalities Assessment

### **Background Papers**

HRA Business Plan 2019-20  
DCLG Guidance on Rents for Social Housing

**Consideration by any other Council Committee, Scrutiny or Advisory Panel**  
Overview and Scrutiny Management Board – 20 December 2019

### **Council Approval Required**

Yes

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

No

## **HRA Business Plan 2020-21**

### **1. Background**

- 1.1 This report sets out the proposals for the HRA Business Plan for 2020-21 onwards and as in previous years provides information on the positioning of the HRA Business Plan as a driver of housing growth to assist in meeting the Council's housing objectives. In essence the overall approach is to make savings where it is feasible to do, so these can be invested in future new affordable housing and to position the housing service so it is best placed to respond to future challenges that arise.
- 1.2 Since the last update there have been no significant government policy changes that affect the business plan. That said there are still some policies that have an impact on the plan:
- Roll out of full service Universal Credit to all remaining working age tenants in Rotherham since July 2018 onwards.
  - Ongoing Right to Buy eligibility.
  - Updated Guidance on Social rents permitting increases of CPI + 1% from 2020-21 onwards.
- 1.3 The overall position remains challenging, but given the level of reserves and the previous decision to defer some investment in stock until later in the plan there continues to be the ability to divert resources to fund housing growth and contribute to the Council Plan.
- 1.4 Performance remains strong in key areas of the business resulting in increased income collection and improved value for money for our tenants. Over the short to medium term forecast, the Business Plan shows a sustainable level of cash flow and balances; however over the longer term there is a significant squeeze on resources due to inflationary pressures.
- 1.5 The policy of Right to Buy and lifting the debt cap are somewhat contradictory as it means there is the potential for an ongoing reduction in cash flow to fund a potential increase in debt. This means the underlying business has to continue to become more efficient and new build housing schemes have to at least break even over the long term. This will ensure there are sufficient resources to service the debt to ensure long term viability of the business plan. The overarching strategy for the Business Plan is to promote growth rather than manage decline.

### **2. Key Issues**

- 2.1 The Council currently owns circa 20,200 homes, 544 leasehold homes and 3,375 garages with a turnover from rents and other sources approaching £82m per annum (excluding the sale of new properties).

## 2.2 The overall financial strategy for the HRA is focused on:

- Supporting more new affordable housing (circa £100m including grant income has / will be invested, subject to Cabinet approval of remaining projects).
- Increasing rents in line with Government guidance of CPI + 1% i.e. 2.7%
- Supporting delivery of the Council Plan.
- Maintaining a sufficient level of balances, both as a contingency against risks and to ensure that investment can be sustained over the period of the business plan.
- Achieving and maintaining the decent homes standard.
- Keeping tenants safe through robust management of landlord compliance.
- Tackling fuel poverty.
- Providing a customer focused and effective repairs service.
- Supporting housing and neighbourhood management.
- The long-term viability of the HRA Business Plan is maintained.
- No early repayment of debt is made.

## 2.3 Financial Position of the HRA

The HRA currently has a healthy financial position with a general reserve balance forecast to be £16.4m, a forecast major repair reserve of £18.9m and a One for One receipt balance of £1.0m as at 1 April 2020. A summary of the proposed income and expenditure for 2020-21 is below:

<b><i>Housing Revenue Account</i></b>	<b><i>Proposed Budget 2020/21 £'000</i></b>
Expenditure	80,183
Income (including service charges)	-83,947
Net Cost of Service	-3,764
Interest Received	-300
Net Operating Expenditure	-4,064
Revenue Contribution to Capital Outlay	13,388
Transfer from Reserves	-9,324
Surplus/Deficit for the Year	0

## 2.4 The £4.064m operating surplus is being used to fund part of the Housing Capital Programme via a Revenue Contribution to Capital Outlay (RCCO) together with a transfer from reserves of £9.324m.

## 2.5 Supporting Housing Growth

The Council in recent years has been very successful in using HRA land and finances to build and acquire new council homes. Rother Living is the Council's brand for these new homes, and this has become well known and trusted name for building high quality homes for affordable rent, shared ownership and outright sale.

Going forward the financial position of the HRA improves due to the return of rent increases following four years of reductions.

The housing growth programme is modelled in phases;

Phase 1 is made up of homes currently being delivered with circa 348 homes planned for completion by 2021;

Phase 2 schemes include 171 homes that have recently been approved for town centre sites at a cost of circa £34.3m and a remaining pipeline of circa 100 homes, subject to approval by Cabinet, at a cost of circa £13.5m. These have been included in Base Case Option 2 alongside committed investment.

There is the potential to fund Phase 3 schemes totalling a further 395 units at a cost of circa £52m. The impact of this is modelled as Base Case Option 3 (preferred) at Appendix 2.

- 2.6 Three scenarios have been modelled in arriving at the recommended base case. The difference between the options is that Option 1 only models approved schemes, Option 2 includes town centre sites and unapproved pipeline schemes of £13.5m, Option 3 (preferred) models all the Phases 1-3 approved and pipeline schemes, totalling c1,015 new homes in the plan.

### 2020-21 Base Option 1

This assumes:

- Rent will increase by 2.7% for 2020-21 and then increase by CPI + 1% for four years (in line with government rent formula) then CPI only for the remainder of the plan.
- Service charges will increase by 2% in 2020-21 and then CPI for the rest of the plan.
- CPI has been refreshed to the latest forecasts by the Office for Budgetary Responsibility.
- £65m will be invested in housing growth creating c.519 new homes.
- Right to Buy sales reduce over the life of the plan. These reductions are staged as below:

<b>Year</b>	<b>Number of Right to Buy's</b>
1 to 5	175
5 to 10	100
10 to 15	50
15 to 30	25

- Previously RTB sales assumptions remained at 200 for the life of the plan. Consequently there will be a net reduction in stock as RTB's are forecast to continue after the end of the current housing growth plan.
- To accommodate the reduction in income as a result of RTB forecasts 50% of supervision and management expenditure has been flexed along with 75% percent of repairs and maintenance expenditure (excluding disabled adaptations and garages) in proportion to RTB sales.
- Repairs and maintenance revenue expenditure will reduce by 10% for a period of five years from 2020-21 onwards.
- Investment in Capital works (excluding housing growth) will be relatively unchanged at £744m following an increase of £157m over the life of the plan previously.
- Ongoing investment of £1.6m per year will be made enhancing Housing support services contained in the General Fund.
- Reduced bad debt provision from 1.4% to 1.2% per annum.
- Reduced void loss and allowance from 1.4% to 1.3%.

### **2020-21 Base Option 2**

All assumptions are as in Base Option 1 but with further investment of £13.5m in pipeline housing growth schemes delivering c101 new homes which is affordable within the Business Plan. There will be an additional borrowing requirement of £2.7m over the life of the Business Plan commencing in year 25, 2043/44.

### **2020-21 Base Option 3 (preferred)**

All assumptions are as in Base Option 1 but with further investment of £65.2m in housing growth which will deliver circa 496 additional homes. Total housing growth expenditure in this plan is £130.7m. Borrowing of circa £35m would be required from Year 3, 2020-21.

- 2.7 The recommended Base Case Option 3 results in an Operating Surplus at Year 30 of £12.9m.
- 2.8 The proposed 2020-21 Base Case Option 3 results in a decrease in forecast surpluses over 30 years of circa £19.3m when compared to the previous approved plan. However, the 30 year balance increases by £7m from £5.9m to £12.9m. The assumptions ensure expenditure is affordable throughout the life of the business plan.

- 2.9 Base Case Option 3 has been chosen because it provides opportunities to contribute to the housing growth agenda through deferring stock investment and reducing repairs and maintenance expenditure where it is sensible to do so. Furthermore it sets out the Council's ambition to build over a thousand new homes and in doing so creates a long term new homes programme allowing for longer term planning and greater buying power. Whilst the 2020-21 Business Plan only provides for a housing growth programme for the next five years it is intended to explore further opportunities to extend the housing growth programme post 2025 in future iterations of plan.

**Key assumptions include:**

- There is a borrowing requirement of £35m.
- Debt will not be repaid over the life of the plan.
- Ongoing investment of £1.6m per year will be made enhancing Housing support services contained in the General Fund.
- Expenditure is reduced proportionately to stock size, so mitigating the effect of increasing Right to Buys. There will be a net reduction in stock as RTB's are forecast to continue after the end of the current housing growth plan.
- Rent increases are kept in line with CPI following expiry of the government's new social rent formula for five years from 2020-21 to increase rents by CPI + 1%.

**2.10 Impact on the Housing Growth agenda**

The 2020-21 review of the Business Plan continues to focus on the housing growth agenda. Resources are focused on construction and acquisition of new council homes for the next five years. The Business Plan supports delivery of multiple housing schemes throughout the borough across a variety of tenures as detailed below:

Council Led Phased Delivery	Delivery Period	New Homes	Social Rent	Afford-able Rent	Shared Owner-ship	Market Sale	Estimated Cost
Option 1 (Current Approved)	2016-21	519	31	257	117	114	£65,518,900
Option 2 (Active Projects)	2020-22	101	60	41	0	0	£13,523,484
Option 3 (Planning)	2023-25	395	258	137	0	0	£51,694,813
		1,015	349	435	117	114	£130,737,197

Continuing investment in new housing will contribute to the Council Local Plan target of 900 new homes per year. The benefits of the Council developing and enabling new housing include:

- Generation of income to the General Fund via Council tax.
- Ensuring new homes meet changing local needs, particularly the needs of older people, people with support needs and single person households.
- Regenerating neighbourhoods.
- Wider economic benefits including employment and training opportunities.

- Access to grant funding from Homes England and the Sheffield City Region.
- Replacement of Council homes sold through the Right to Buy.
- Improved quality and energy efficiency of housing stock, which improves health and wellbeing and reduces fuel poverty.

The priorities in the housing growth programme over the next five years are:

- Developing 171 new homes in the town centre.
- Piloting modern methods of construction in order to ascertain the potential to build homes at an increased pace and lower cost.
- Delivering more shared ownership homes to enable first time buyers and older people wishing to downsize, to own an affordable home.
- Continuing to build bungalows and other accessible accommodation to enable older people and people with support needs to live independently.
- Releasing HRA owned sites for development by the private sector and housing associations.

The government announced in the autumn of 2018 Budget that the HRA Borrowing Cap would be removed with immediate effect. This offers further potential to support housing growth into the future and both option 2 and 3 presumes further borrowing over the life of the business plan.

## 2.11 Impact on Revenue Repairs and Maintenance

Given the level of historic investment in existing stock, circa £110m over the past five years, that the stock is overwhelmingly traditional build and its condition is at or beyond the decent homes standard, a decision was taken in 2018-19 to reallocate investment from this area to further increase the Council new build programme. This meant that additional housing assets could be created, generating greater rental income and meeting housing need in the borough.

Given the re-procurement of repairs and maintenance contract in 2019, initial modelling of new pricing suggests the previous budget savings target of 10% will be achieved as a result the previous budget reductions to repairs and maintenance have been retained in the updated 2020-21 Business Plan.

Year	Repairs and Maintenance	Repairs and Maintenance Budget	Change vs Prior year plan
------	-------------------------	--------------------------------	---------------------------

	<b>Budget 2019/20 BP</b>	<b>2020/21 BP Option 2</b>	
	<b>SAVINGS INCLUDED</b>		
	£'000s	£'000s	£'000s
<b>2019-20</b>	20,543	20,854	311
<b>2020-21</b>	19,003	18,714	(289)
<b>2021-22</b>	19,436	19,288	(148)
<b>2022-23</b>	19,724	19,747	23
<b>2023-24</b>	20,015	20,185	170
<b>2024-25</b>	20,308	20,662	354
<b>Total</b>	<b>119,029</b>	<b>119,450</b>	<b>421</b>

## 2.12 Impact on Capital Investment

During 2018-19 there was a comprehensive review of the capital investment programme to determine the work needed in our stock over the next 30 years. This resulted in an increasing capital investment from £577m to £734m over the life of the plan, as a result no further review of the long term investment plan has been undertaken for the 2020-21 Business Plan. The short-term investment has been reviewed and matched to the approved 3-year capital programme, resulting in an increase to £744m. The same principles have been used where peaks in demand in some years as meant smoothing of the programme by delaying some stock investment and replacements to later years as necessary. This will not affect the ability to meet the Decent Homes standard.

## 2.13 Supporting tenants with Financial Pressures

A key priority is the ongoing work mitigating the impact of welfare reform and general financial pressures tenants face. The Council is committed to minimising any effects of welfare reform on tenants and to do this through continuing early intervention and arrears prevention. Our efforts will continue to be in supporting tenants to continue to pay their rent; by offering additional support to vulnerable tenants to help with money, benefits and debt advice; this is being done through our Financial Inclusion team. The past year has seen the Advocacy and Appeals service transfer into the Financial Inclusion team and as such funding for Money Advice Officers to support tenants in rent arrears manage priority debts continues.

Universal Credit roll out continues throughout Rotherham which has seen over 3,000 tenants now receiving Universal Credit with over 900 tenants in receipt of an Alternate Payment Arrangement where housing costs are paid direct to the Council.



The impact on rent arrears is now starting to become evident at individual account level, with the average arrears for a tenant on Universal Credit being £566 compared to £256 for other tenants. This presents a significant risk to income collection. To mitigate this risk all new tenants who are eligible for Universal Credit have to make a claim and set up either a Direct Debit or a recurring card payment for rent prior to being issued with the keys for their new home.

#### **2.14 Investment in other Council Housing Services**

An ongoing investment of £1.6m per year will be made enhancing Housing support services contained in the General Fund over the period. In addition it is proposed to work in partnership with Adult Care to help customers to maintain independence within their own home for as long as possible.

#### **2.15 Impact of the proposed scenario**

The impact of the changes to the Business Plan are summarised below:

- There will be a further £130m spent on housing growth over the next five years This will result in c1,015 new properties being built or acquired
- There will be an additional borrowing requirement of £35.5m over the next 30 years, commencing in year 3, 2021/22.
- The year 30 annual Cost of Capital will increase by £1m to £14.5m as a result of additional borrowing.
- The General Fund will receive continued funding for HRA support services of £1.6m per year for the life of the plan.
- The 10% reduction to day to day repairs over the next five years is retained as per the 2019/20 plan.
- There will be surpluses of £12.9m by year 30.

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

- 3.1 A series of options were considered as part of scenario modelling, these are detailed at Appendix 2 of the report. Details of the HRA Business Plan Base Case Option 3 (preferred) are set out in the main body of the report. This will result in the HRA having an Operating Surplus of £12.9m by year 30 and provide support to the housing growth agenda and the Council's General Fund position.

### **4. Consultation on proposal**

- 4.1 The Council has a strong track record for tenant engagement and has recently been recognised by the Tenant Participation and Accreditation Service for the excellent framework that is in place to consult and work with tenants on how services are developed and improved. The Housing Involvement Panel is made up of Area Tenant Panel Chairs and was consulted on 24<sup>th</sup> September 2019.

4.2 The Housing Service undertook a survey of tenant's views in 2018, referred to as the Star (Standard Tenant Assessment Response) Survey which supports how resources are targeted and allows the Council to benchmark satisfaction with other social housing providers. The most recent survey found:

- 80% of tenants are satisfied with the overall service provided.
- 80% of tenants are satisfied with the quality of their home.
- 78% of tenants believe their rent provides value for money.
- 48% of tenants were satisfied that their views were listened to and acted upon.
- Satisfaction with grounds maintenance and estate services were varied across the borough.

The HRA Business Plan has responded to some of the above concerns by increasing investment in Tenant Involvement Services and increasing capacity in the housing management teams.

4.3 Members have been consulted on various aspects of the Housing Revenue Account Business Plan. Seminars and Workshops have been held on Housing Growth, Repairs and Maintenance, Universal Credit and Housing Policy updates. This has helped inform the proposed Business Plan.

4.4 The HRA Business Plan also supports housing growth, the targets which were set following The Rotherham Strategic Housing Market Assessment (SHMA) which was completed in 2019; and consisted of a large scale resident survey, targeted focus groups and detailed analysis of housing market, population and demographic data. The study contains a calculation which takes into account delivery of new housing against newly forming households to highlight any shortfall. The Rotherham SHMA concluded that 900 new homes are required per year to meet housing needs in the borough, a quarter of which should be 'affordable'. The data from the study has been used to develop Housing Profiles for each ward which considers specific housing needs, and sets out opportunities for housing growth at a local level.

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

5.1 The table below shows the approval timeline:

<b>Date</b>	<b>Meeting</b>
20/12/19	Overview and Scrutiny Management Board Meeting
23/12/19	Cabinet decision making meeting
22/01/20	Council

## 6. **Financial and Procurement Advice and Implications**

6.1 In developing the HRA Business Plan the CIPFA / CIH code of practice for a self- financed housing revenue account; the Financial Viability principle has been taken into account which states that:

- The housing authority has arrangements in place to monitor the viability of the housing business and take appropriate actions to maintain viability.

- 6.2 The HRA Business Plan is reviewed and updated annually to take account of changes to all income streams and the revenue and capital costs of managing and maintaining HRA properties and tenancies. It also considers Capital investment in new build and housing acquisitions for affordability.
- 6.3 The HRA Business Plan includes assumptions on rent levels as dictated by legislation, with 2019/20 being the fifth and final year of 1% rent cuts. In line with current legislation the HRA BP assumes that rents will be increased by CPI plus 1% for five years from April 2020 and increases by CPI thereafter. In 2020/21 the rent increase is anticipated to be 2.7%. As the HRA is self-financing, the rental income stream makes up the majority of the funding available to the HRA.
- 6.4 The capital repairs and investment assumptions were completely refreshed in the prior year plan and as a result no further review of the long term investment has been undertaken for the 2020-21 Business Plan. The short-term investment has been reviewed and matched to the approved 3-year capital programme, resulting in an increase of £10m to £744m. Peaks in demand in some years has meant delaying some stock investment and replacements to later years as necessary. This smoothing will not affect the ability to meet the Decent Homes standard.
- 6.5 Reductions to revenue repairs/maintenance costs of £10.4m have been incorporated into the HRA Business Plan from 2020/21 to 2024/25 as noted at 2.11. It is anticipated that these savings can be achieved from 2020, when the existing repairs/maintenance contracts end and contracts based on revised service standards are initiated.
- 6.6 Significant investment in property developments and acquisitions of £130m has been built into the base plan over the next five years. On current assumptions the Business Plan indicates that this is fundable with additional borrowing. Affordability is reliant upon borrowing of £35m and £50.5m of funding which has been built into the plan: £17.2m of HCA and Sheffield City Region grant funding, £3.9m of unallocated capital receipts, £3.5m GF contribution and sales income of £25.9m from properties built for sale and shared ownership.
- 6.7 CPI and RPI assumptions in the HRA Business Plan are based on Office of Budgetary Responsibility forecasts for the first four years. From year 5 onwards RPI has been set at a rate lower than the forecast in order to balance the plan. This is reviewed annually.

## **7. Legal Advice and Implications**

- 7.1 The Legal Implications, where known, are covered in the main body of this report.
- 7.2 There are no direct procurement implications arising from this report.

**8. Human Resources Advice and Implications**

8.1 There are no immediate human resource implications.

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

9.1 There are no implications for CYPS or Vulnerable Adults.

**10. Equalities and Human Rights Advice and Implications**

10.1 The local authority is aware of its duties under the Equality Act 2010 to promote equality, diversity, cohesion and integration and has ensured that the HRA Business Plan is compliant with that duty. An initial equalities screening has been carried out to assess the impact of these proposals and due to the scale of investment and nature of households affected the Council will need put in place an Equality Impact Assessment for this plan. This will ensure the Council continues to promote positive impact and reduce or remove negative impact as a result of the proposed investments. An Equalities Analysis is attached at Appendix 3.

**11. Implications for Partners**

11.1 This proposal is about making effective use of Council assets and managing them to best effect. It contributes to the sustainable neighbourhoods agenda by addressing future investment needs and will help deliver a better quality of affordable housing to the community.

**12. Risks and Mitigation**

12.1 Self-financing involved a significant transfer of risk from Central Government to the Council. Variables such as interest rates, cost inflation, number of homes owned etc. are all risks managed by the Council.

12.2 Any adverse changes in rental income (for example as a result of welfare reform or changes in the number of Right to Buy sales) must be managed locally.

12.3 The risks associated with the HRA Business Plan demand a smarter approach to risk management. The Council will closely monitor the viability of the HRA Business Plan; by building a HRA Business Plan monitoring report to monitor key variables such as:

- Number of homes
- Rental income
- Rent arrears and bad debts
- Voids and void rent loss
- Debt levels and repayment
- Reserve levels, and
- Maintenance backlog

- 12.4 The risk management plan follows the Council's risk management methodology and approach. It includes a clear description of the risk, an assessment of probability and impact of the risk, a summary of controls and information on when the risk will be reviewed. Risks are monitored monthly at Housing Senior Management Team (SMT) meetings.
- 12.5 Significant risks will be placed on the Corporate Risk Register and risk issues will be escalated through the Council to Directorate Leadership Team and Senior Leadership Team as necessary.
- 12.6 The Council has risk based reserves to ensure that HRA reserves are maintained at the appropriate level. The reserves will be maintained at the appropriate level to fund potential future financial pressures from risks such as welfare reform and investment requirements.

### 13. Accountable Officers

Anne Marie Lubanski, Strategic Director for Adult Care and Housing  
Tom Bell, Assistant Director of Housing

Approvals obtained on behalf of Statutory Officers:-

	<b>Named Officer</b>	<b>Date</b>
Chief Executive	Sharon Kemp	09/12/19
Strategic Director of Finance & Customer Services (S.151 Officer)	Judith Badger	04/12/19
Head of Legal Services (Monitoring Officer)	Bal Nahal	04/12/19

*Report Author:* Paul Elliott, Business and Commercial Programme Manager  
01709 822494

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

Appendix 1 - Operating Statement Base Case Option 3 (Preferred)

		Income				Expenditure																			
Year	Year	Net rent Income £,000	Other income £,000	Misc Income £,000	Total Income £,000	Managt. £,000	Depreciati on £,000	Responsive & Cyclical £,000	Other Revenue spend £,000	HRA Cost of Rent Rebates £,000	Misc expens es £,000	Total expenses £,000	Capital Charges £,000	Net Operating (Expenditure) £,000	Repayment of loans £,000	Transfer to MRR £,000	Transfer from / (to) Revenue Reserve £,000	RCCO £,000	Surplus (Deficit) for the Year £,000	Surplus (Deficit) b/fwd £,000	Interest £,000	Surplus (Deficit) c/fwd £,000			
1	2019.20	75,361	2,000	6,524	83,886	(23,910)	(20,926)	(20,854)		(230)	0	0	(65,919)	(13,436)	4,530	0	0	0	(14,692)	(10,162)	26,539	119	16,496		
2	2020.21	76,296	0	6,679	82,976	(25,202)	(21,455)	(18,714)		(236)	0	0	(65,607)	(13,681)	3,689	0	0	0	(13,387)	(9,699)	16,496	288	7,085		
3	2021.22	78,698	0	7,122	85,820	(25,883)	(22,079)	(19,288)		(242)	0	0	(67,492)	(13,577)	4,751	0	0	0	(8,045)	(3,295)	7,085	23	3,813		
4	2022.23	81,205	0	7,457	88,662	(26,600)	(22,860)	(19,859)		(250)	0	0	(69,569)	(14,161)	4,932	0	0	0	(4,839)	93	3,813	9	3,915		
5	2023.24	83,988	0	7,778	91,765	(26,912)	(23,443)	(20,481)		(256)	0	0	(71,093)	(14,497)	6,175	0	0	0	(6,077)	99	3,915	9	4,022		
6	2024.25	88,420	0	8,102	96,522	(27,600)	(24,219)	(21,009)		(263)	0	0	(73,092)	(14,575)	8,855	0	0	0	(7,697)	1,158	4,022	11	5,191		
7	2025.26	88,194	0	8,423	96,617	(28,288)	(24,823)	(23,881)		(271)	0	0	(77,263)	(14,563)	4,792	0	0	0	(3,866)	926	5,191	13	6,130		
8	2026.27	89,523	0	8,746	98,268	(28,994)	(25,381)	(24,445)		(278)	0	0	(79,099)	(14,563)	4,607	0	0	0	(4,063)	544	6,130	15	6,689		
9	2027.28	90,869	0	9,065	99,934	(29,716)	(25,951)	(25,023)		(286)	0	0	(80,977)	(14,563)	4,395	0	0	0	(4,265)	130	6,689	16	6,834		
10	2028.29	92,348	0	9,380	101,728	(30,476)	(26,534)	(25,639)		(294)	0	0	(82,942)	(14,563)	4,223	0	0	0	(4,496)	(273)	6,834	15	6,577		
11	2029.30	93,965	0	9,667	103,632	(31,199)	(27,130)	(26,230)		(301)	0	0	(84,859)	(14,563)	4,210	0	0	0	(4,683)	(472)	6,577	15	6,119		
12	2030.31	97,449	0	9,953	107,402	(31,938)	(27,739)	(26,835)		(309)	0	0	(86,821)	(14,563)	6,019	0	0	0	(4,872)	1,146	6,119	15	7,281		
13	2031.32	97,284	0	10,217	107,501	(32,617)	(28,292)	(27,389)		(315)	0	0	(88,613)	(14,592)	4,296	0	0	0	(5,053)	(758)	7,281	16	6,539		
14	2032.33	98,985	0	10,488	109,473	(33,308)	(28,857)	(27,952)		(323)	0	0	(90,439)	(14,592)	4,441	0	0	0	(5,238)	(797)	6,539	14	5,756		
15	2033.34	100,779	0	10,765	111,543	(34,026)	(29,432)	(28,540)		(330)	0	0	(92,327)	(14,597)	4,619	0	0	0	(5,212)	(593)	5,756	13	5,176		
16	2034.35	102,668	0	11,049	113,717	(34,769)	(30,057)	(29,154)		(337)	0	0	(94,317)	(14,644)	4,756	0	0	0	(4,652)	103	5,176	12	5,291		
17	2035.36	106,605	0	11,339	117,945	(35,529)	(30,694)	(29,782)		(345)	0	0	(96,350)	(14,663)	6,931	0	0	0	(5,811)	1,121	5,291	13	6,425		
18	2036.37	106,555	0	11,637	118,192	(36,305)	(31,346)	(30,423)		(353)	0	0	(98,426)	(14,664)	5,102	0	0	0	(6,000)	(898)	6,425	14	5,541		
19	2037.38	108,553	0	11,942	120,495	(37,099)	(32,010)	(31,077)		(361)	0	0	(100,547)	(14,537)	5,410	0	0	0	(5,309)	102	5,541	13	5,656		
20	2038.39	110,588	0	12,249	122,837	(37,909)	(32,689)	(31,746)		(369)	0	0	(102,714)	(14,381)	5,742	(0)	0	0	(5,627)	116	5,656	13	5,785		
21	2039.40	112,661	0	12,564	125,225	(38,738)	(33,383)	(32,429)		(377)	0	0	(104,927)	(14,412)	5,886	0	0	0	(5,770)	115	5,785	13	5,913		
22	2040.41	114,773	0	12,891	127,664	(39,584)	(34,091)	(33,127)		(385)	0	0	(107,188)	(14,445)	6,031	0	0	0	(5,912)	119	5,913	14	6,046		
23	2041.42	119,172	0	13,226	132,399	(40,449)	(34,814)	(33,840)		(394)	0	0	(109,497)	(14,462)	8,439	0	0	0	(6,991)	1,448	6,046	16	7,510		
24	2042.43	119,115	0	13,570	132,685	(41,333)	(35,552)	(34,568)		(403)	0	0	(111,856)	(14,462)	6,366	0	0	0	(7,199)	(833)	7,510	16	6,694		
25	2043.44	121,348	0	13,921	135,269	(42,236)	(36,306)	(35,312)		(412)	0	0	(114,266)	(14,467)	6,535	0	0	0	(6,779)	(244)	6,694	15	6,465		
26	2044.45	123,621	0	14,275	137,897	(43,159)	(37,076)	(36,072)		(421)	0	0	(116,728)	(14,491)	6,678	0	0	0	(6,549)	129	6,465	15	6,609		
27	2045.46	125,938	0	14,632	140,570	(44,102)	(37,862)	(36,848)		(431)	0	0	(119,242)	(14,512)	6,815	0	0	0	(5,763)	1,052	6,609	16	7,677		
28	2046.47	128,298	0	14,997	143,294	(45,065)	(38,664)	(37,641)		(440)	0	0	(121,811)	(14,512)	6,971	0	0	0	(5,940)	1,031	7,677	19	8,727		
29	2047.48	133,215	0	15,370	148,585	(46,050)	(39,484)	(38,451)		(450)	0	0	(124,434)	(14,512)	9,638	0	0	0	(6,120)	3,518	8,727	24	12,269		
30	2048.49	133,150	0	15,752	148,902	(47,056)	(40,321)	(39,278)		(461)	0	0	(127,115)	(14,512)	7,275	0	0	0	(6,659)	616	12,269	29	12,914		

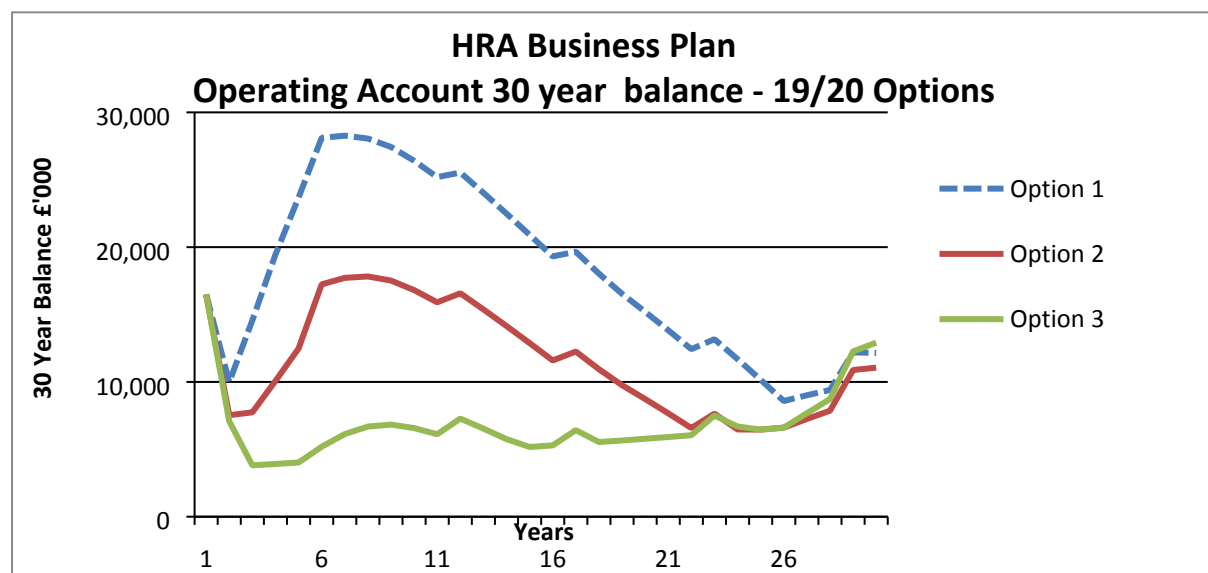
## Appendix 2 – Summary of modelled Business Plan Scenarios

The graph below shows the cash flow projections of modelled Business Plan Scenarios in arriving at the 2020-21 recommended Base Case.

Option 1 is not recommended. Whilst it incorporates all approved housing growth projects and maintains sufficient operating balances throughout the life of the plan, it does not allow for further borrowing to deliver the Council's ambitious housing growth programme.

Option 2 includes all approved housing growth projects and all Phase 2 pipeline schemes. It maintains sufficient operating balances throughout the life of the plan. Capital investment in housing growth has increased by £13.5m. Further borrowing of £2.7m is required from Year 25 of the plan.

Option 3 (preferred) includes all approved housing growth projects and remaining Phase 2 and Phase 3 housing growth schemes. It maintains lower operating balances throughout the life of the plan. It includes a further £65m of investment in housing growth when compared to Option 1. It demonstrates remaining pipeline schemes to be put forward for approval are affordable but with a higher degree of risk. It requires borrowing of £35m from Year 3 to fund the build programme. This results in cost of borrowing being higher by £1m per annum throughout the plan.



## PART A - 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 (Part B).

Further information is available in the Equality Screening and Analysis Guidance – see page 9.

### 1. Title

**Title: HRA Business Plan 2020-21**

**Directorate: ACH & PH**

**Service area: Housing**

**Lead person: Paul Elliott**

**Contact number: 822494**

Is this a:

☒ **Strategy / Policy**
☐ **Service / Function**
☐ **Other**

**If other, please specify**

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

The annual HRA Business Plan which sets out all proposed income and expenditure for the HRA for the next 30 years as required by HRA self financing.

Strategic allocation of resources within the HRA for period of 30 years.

Specifically responding to changes in government policy, macro-economic environment and gearing towards housing growth.

HRA Business Plan for 2020-21 provides information on the positioning of the HRA Business Plan as a driver of Housing Growth to assist in meeting the Council's housing objectives. In essence the overall approach is to make savings where it is feasible to do so these can be invested in future housing growth and to position the housing service so it is best placed to respond to future challenges that arise.



Proposals are designed to ensure:

- There is a significant contribution to housing growth and support to the Council Plan.
- Whilst savings are made no action is taken that will undermine the Council's longer-term ability to react to changes.
- Provision is made to ensure there are sufficient resources available to invest in services where there is an identified need.
- The longer-term viability of the HRA business plan is maintained.
- Budgets remain flexible to react to any significant changes in property numbers currently expected or further government policy changes.
- No early repayment of debt is made.

### 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, disability, sex, gender reassignment, race, religion or belief, sexual orientation, civil partnerships and marriage, pregnancy and maternity and other socio-economic groups e.g. parents, single parents and guardians, carers, looked after children, unemployed and people on low incomes, ex-offenders, victims of domestic violence, homeless people etc.

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	

<p>Could the proposal affect the Council's workforce or employment practices?</p> <p><i>(If the answer is yes you may wish to seek advice from your HR business partner)</i></p>	x	
<p>If you have answered no to all the questions above, please explain the reason</p>		

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 before decisions are made.

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 using the prompts for guidance and complete an Equality Analysis (Part B).

- How have you considered equality and diversity?**

The HRA Business plan reviews the proposed income and expenditure for the HRA over the next 30 years it therefore indirectly influences what services can be delivered for Council tenants.

The HRA Business Plan responds to some of the above concerns by increasing investment in Tenant Involvement Services and increasing capacity in the housing management teams to deal with issues of ASB, financial inclusion and engaging with under-represented groups through increasing staffing numbers.

The Business plan maintains investment in housing stock which allows investment in properties to install insulation, new heating systems etc. which tackle fuel poverty agenda.

The Business plan responds to the needs of communities for affordable housing through gearing funds towards building up to 1000 new properties over the next 6 years. The tenure, size and type of accommodation (including Disabled person units) has been informed by the Strategic Housing Market assessment.

The plan continues to invest over £1m in additional resources per year into front line housing services to support the most vulnerable tenants. These tenants will have equality characteristics. The Business plan itself does not commission services but details how the housing service will be funded and each service area has policies and strategies detailing how service will be delivered which will each have an Equality analysis.

- **Key findings**

The Council currently owns circa 20,400 homes, 544 leasehold homes and 3,375 garages with a turnover from rents and other sources approaching £82m per annum.

263,400 people live in Rotherham Borough, about half living in and around the main urban area of Rotherham. The remainder live in smaller towns such as Wath, Dinnington and Maltby, and in numerous large villages and rural communities, all of which have their own distinct identities.

120,600 Rotherham residents are in employment whilst 106,000 people have workplaces in the Borough, giving a net outflow of 14,700 workers. One in five workers who live in Rotherham are employed in Sheffield and another one in five work elsewhere outside Rotherham.

45,259 children attend 117 Rotherham schools.

Rotherham has a similar age profile to the national average and in common with the national trends, the population is ageing. Central Rotherham has a younger population than average whilst the more suburban and rural areas, mainly in the south of the borough, have older age profiles.

One in four residents (25.2%) are aged 60 years or over and 22,500 people (8.5%) are aged 75 years or over. Rotherham has 56,900 children aged 0-17 (21.6% of the population).

Rotherham's Black and minority ethnic (BME) population was 8.1% in 2011 and is now estimated at around 11%. The central area of Rotherham is far more ethnically diverse than the rest of the Borough. The largest minority ethnic group is Pakistani & Kashmiri (4% of the population), followed by the Slovak & Czech Roma (1.5% of the population). Rotherham also has smaller Black African, Indian, Chinese, Irish and Arab communities, all with between 500 and 2,000 people.

The 2011 Census showed that 56,588 (22%) of Rotherham's population had a long term health problem or disability and 11.3% said their day-to-day activities were limited a lot by long term conditions (8.3% nationally). In November 2016, 30,306 Rotherham residents (11.6%) claimed Disability Living Allowance (16,680), Personal Independence Payment (6,100) or Attendance Allowance (7,516).

One in six homes is rented from the council and although house prices have risen over the years, they are about half the national average.

Rotherham Borough has 63 councillors representing 21 wards. 43% of councillors are women and 5% are BME.

There are 30 parish councils in Rotherham covering half the population.

Most neighbourhoods in Rotherham offer a good living environment and 78% of adults are satisfied with their local area as a place to live.

Despite improvements overall, some areas of Rotherham are affected by high economic and social deprivation. Rotherham is the 52nd most deprived district in England according to the Index of Multiple Deprivation 2015, which showed 19.5% of residents living in the 10% most deprived areas nationally.

Central Rotherham forms the main area of high deprivation although there are also pockets in Maltby, Rawmarsh, Dinnington, Thurgroft, Wath, Swinton and Aston. The main forms of deprivation affecting Rotherham are low levels of qualification, poor health, high rates of disability and high worklessness, notably long term sickness.

Adult qualification levels in Rotherham are below average, including the proportion of the population with higher qualifications which reflects Rotherham's industrial legacy. However, most pupils attending Rotherham's schools have attainment slightly above the national average. Rotherham colleges provide good quality further education and the new University Centre offer higher education courses.

The Housing Service undertake an annual survey of tenants' views, referred to as the Star (Standard Tenant Assessment Response) Survey which supports how resources are targeted and allows the Council to benchmark satisfaction with other social housing providers. The most recent survey found:

- 80% of tenants are satisfied with the overall service provided.
- 80% of tenants are satisfied with the quality of their home.
- 78% of tenants believe their rent provides value for money.
- 48% of tenants were satisfied that their views were listened to and acted upon.
- Satisfaction with grounds maintenance and estate services were varied across the borough.

The HRA Business Plan responds to the above concerns by continuing to invest in Tenant Involvement Services and capacity in the housing management teams.

Members have been consulted on various aspects of the Housing Revenue Account Business Plan. Seminars and Workshops have been held on Housing Growth, Repairs and Maintenance, Universal Credit and Housing Policy updates. This has helped inform the proposed Business Plan.

#### • **Actions**

Monitor the demographics of tenants in rent arrears on a bi-annual basis  
 Monitor the impact of the new build houses by analysing the number of lettings according to the tenants protected characteristic.  
 Monitor attendance of tenant engagement events.  
 Respond to consultation feedback through Planning Applications.

Date to scope and plan your Equality Analysis:	19/11/19	
Date to complete your Equality Analysis:	29/11/19	
Lead person for your Equality Analysis (Include name and job title):	Paul Elliott Head of Service - Business and Commercial Programme Manager	
<b>5. Governance, ownership and approval</b>		
Please state here who has approved the actions and outcomes of the screening:		
<b>Name</b>	<b>Job title</b>	<b>Date</b>
Tom Bell	Assistant Director of Housing	14 November 2019
<b>6. Publishing</b>		
<p>This screening document will act as evidence that due regard to equality and diversity has been given.</p> <p>If this screening relates to a <b>Cabinet, key delegated officer decision, Council, other committee or a significant operational decision</b> a copy of the completed document should be attached as an appendix and published alongside the relevant report.</p> <p>A copy of <b>all</b> screenings should also be sent to <a href="mailto:equality@rotherham.gov.uk">equality@rotherham.gov.uk</a> For record keeping purposes it will be kept on file and also published on the Council's Equality and Diversity Internet page.</p>		
<b>Date screening completed</b>	14 November 2019	
<b>Report title and date</b>	HRA Business Plan 2020-21	
<b>If relates to a Cabinet, key delegated officer decision, Council, other committee or a significant operational decision – report date and date sent for publication</b>	23 December 2019	
<b>Date screening sent to Performance, Intelligence and Improvement</b> <a href="mailto:equality@rotherham.gov.uk">equality@rotherham.gov.uk</a>	14 November 2019	

**Committee Name and Date of Committee Meeting**

Cabinet – 23 December 2019

**Report Title**

Housing Revenue Account Rents and Service Charges 2020/21

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

Yes

**Strategic Director Approving Submission of the Report**

Anne Marie Lubanski, Strategic Director of Adult Care, Housing and Public Health

**Report Author(s)**

Mark Scarrott, Finance Manager (Adult Care, Housing and Public Health)  
mark.scarrott@rotherham.gov.uk

**Ward(s) Affected**

Borough-Wide

**Report Summary**

The purpose of the report is to seek approval for the proposed values of the housing rents, non-dwelling rents, District Heating and service charges and the draft Housing Revenue Account Budget for 2020/21.

**Recommendations**

That Cabinet resolve to recommend to Council:-

1. That dwelling rents be increased by 2.7% in 2020/21 in line with the government guidelines on rents for social housing from April 2020 which allows rents to increase by Consumer Price Index (as at September) plus 1%.
2. That there be a 2% increase in charges for garages and parking spaces, communal facilities, cooking gas and use of laundry facilities, in line with increases being proposed for other fees and charges across the Council.
3. That the unit charge per Kwh for District Heating Schemes remain the same level, as agreed by the Council in December 2017.
4. That all Affordable Rent properties be revalued in October and March each year to provide a valid rent value for when Affordable Rent properties are re-let.

5. That the draft Housing Revenue Account budget for 2020/21 be agreed.

**List of Appendices Included**

Appendix 1 Part A - Initial Equality Screening Assessment form  
Appendix 2 Part B – Equality Analysis form  
Appendix 3 Draft Housing Revenue Account Budget 2020/21

**Background Papers**

Ministry of Housing, Communities & Local Government – Policy Statement on rents for social housing (February 2019).

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

Overview and Scrutiny Management Board – 20 December 2019  
Council – 22 January 2020

**Council Approval Required**

Yes

**Exempt from the Press and Public**

No

## Housing Revenue Account Rents and Service Charges 2020/21

### 1. Background

- 1.1 The former Housing Revenue Account (HRA) subsidy system was replaced with a devolved system of council housing finance, called self-financing in April 2012. This gave local authorities the resources, incentives and flexibility needed to manage their own housing stock. It enabled long term financial plans to be developed and gave tenants greater transparency and accountability as to how rent is collected and spent on the services provided.

The Council currently manages approximately 20,200 properties of which 6,000 are currently at formula rent. Government guidance states that where properties have not reached formula rent by April 2015 it is expected that the rent is moved up to formula rent when the property is re-let following vacancy. The average increase in rent being £2.84 per week. Approximately 850 properties are re-let each year; it is anticipated that this will generate additional income of approximately £0.06m in 2019/20. The impact of not achieving rent convergence is lower levels of income which impact on the investment plans within the HRA Business Plan.

- 1.2 From April 2016, the Welfare Reform and Work Act 2016 has required social landlords to reduce their rents by 1% each year for four years, 2019/20 being the final year.

In October 2017, the government announced its intention to set a long term rent deal for both local authority landlords and housing associations. This permits annual rent increases on both social rent and affordable rent properties of up to CPI plus 1 % from April 2020, for a period of at least five years.

- 1.3 This report also considers the charges for garages, garage plot sites, cooking gas and communal facilities including laundry services where provided, District Heating charges for 2020/21 and summarises the draft HRA budget.

### 2. Key Issues

- 2.1 The average rent in 2019/20 is currently £72.31 when aggregated over 52 weeks. The 2020/21 average weekly rent based on the new government policy of CPI (as at September 2019 = 1.7%) plus 1% would be £74.27, an average increase of £1.96 per week.
- 2.2 Total housing rent income generated through the proposed revised weekly rents is estimated to be £77.3m in 2020/21 assuming 175 Right to Buy sales, voids, new acquisitions and rent adjustments. This change in policy on the weekly rent charge will result in an increase in rent income of £2.3m compared with 2019/20 rent levels based on 52 weeks.
- 2.3 A 2% increase has been proposed for all fees and charges across the Council for 2020/21. This will apply to the HRA non-dwelling rents.
- 2.4 Where the Council has been successful in securing grant income from Homes



England (HE) to deliver Affordable Rent Properties the new properties will be managed in line with our existing policies e.g. mutual exchange, succession, subletting etc. The main difference for grant funded properties, compared to Social/Formula rent properties, is the method of managing the rent values which is prescribed by Government. These are contained within the Capital Funding Guide for HE grant and the Rent Standard Guidance.

The Council is required to rebase (revalue) the Affordable Rent value on each occasion that a new Affordable Rent tenancy is issued (or renewed) for a particular property; and ensure that the rent remains at no more than 80% of gross market rent (inclusive of service charges) as of the date the property is re-let.

Currently a valuation is carried out for each individual property when it falls due. Rebasing all the Affordable Rent valuations every six months will give a valid updated rent value for re-let in accordance with RICS guidance. The rebased Affordable Rent will only apply to new tenants or tenancies. This will significantly reduce the level of work involved when a property is re-let as the rent value will have already been calculated.

The actual rents for existing tenants in Affordable Rent properties will only be adjusted in April each year as per the existing annual rent and charges review process.

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

#### **Housing Rents**

- 3.1 In line with changes to policy on rents for social housing it is recommended that rents are increased in line with CPI (as at September 2019) plus 1% in 2020/21, therefore an increase of 2.7%.

#### **Non-Dwelling Rents**

- 3.2 It is proposed to increase non-dwelling charges in line with the recommended increase being applied across the council of 2% for 2020/21 outlined in the table below:-

Non Dwelling Rents	Weekly Charge 2019/20	Proposed	Increase
		Weekly Charge 2020/21	
Garage rent - council Tenant	£5.00	£5.10	£0.10
Garage rent - non council Tenant	£6.01	£6.13	£0.12
Garage Plots	£60.26	£61.47	£1.21
Unsurfaced Garage Plots	£54.24	£55.32	£1.08
Wharnccliffe Flats Parking Space	£6.57	£6.70	£0.13
Cooking Gas	£0.85	£0.87	£0.02
Communal Facility	£4.75	£4.85	£0.10
Laundry	£1.60	£1.63	£0.03

The above charges exclude VAT where applicable

- 3.3 The proposed increase of 2% would generate additional income of approximately £24k in 2020/21 based on a comparison of 52 weeks.

#### District Heating charges

- 3.4 During 2017/18 there was an extensive review of district heating pricing to ensure that charges are fair and reasonable to all tenants. As a consequence a revised schedule of charges was approved by Council on 13 December 2017.

This report proposed no increase in charges for 2020/21. The total cost of the running the district heating scheme in 2018/19 resulted in a small deficit of £5k, however, the latest forecast for 2019/20 is that the scheme will breakeven, therefore it is proposed to leave district heating charges unchanged as per table below.

	Weekly Charge 2019/20		Weekly Charge 2020/21
<b>All District Heating Schemes</b> - Unit Cost KWh (inc VAT)			
	6.28p		6.28p
<b>Pooled Schemes</b>			
- Pre-payment Charges per week (incl. VAT)			
Bedsit	9.66		9.66
1 Bed	11.25		11.25
2 Bed	12.90		12.90
3/4 Bed	14.93		14.93

#### 4. Consultation on proposal

- 4.1 This report will be subject to review by the Overview and Scrutiny Management Board before final decision by the Council.

#### 5. Timetable and Accountability for Implementing this Decision

- 5.1 This report will be considered by the Council on 22nd January 2020 and subject to approval, would be implemented from Monday 6th April 2020.

#### 6. Financial and Procurement Advice and Implications

- 6.1 Appendix A of this report presents the 2020/21 detailed Draft Operating Statement which is effectively “The HRA Budget”. The table below presents an overall summary position of the Income and expenditure budgets:-

<b>Housing Revenue Account</b>	<b>Proposed Budget 2020/21 £'000</b>
Expenditure	80,182
Income (including service charges)	-83,946
Net Cost of Service	-3,764
Interest Received	-300
Net Operating Expenditure	-4,064
Revenue Contribution to Capital Outlay	13,388
Transfer from Reserves	-9,324
Surplus/Deficit for the Year	0

- 6.2 It can be seen that based on the 2.7% increase in dwelling rent income and increase in service charges by 2% outlined in this report, the budgeted income of £83.946m is anticipated to be collected in 2020/21 and that this is reduced by £80.182m of budgeted expenditure, which represents the net cost of delivering the service.

As budgeted income is greater than the net cost of delivering the service, there is an overall net income of £4.064m to the service after interest received. The Council are using this to build Council homes and improve services such as financial inclusion.

Based on a review of the HRA business plan a Revenue Contribution to Capital of £13.387m has been made towards the approved HRA Capital investment Programme. Therefore there will be a transfer required from HRA Reserves of £9.324m in order to provide an overall balanced budget for 2020/21, this is provided for within the revised HRA Business Plan.

- 6.3 There are no direct procurement implications within this report.

**7. Legal Advice and Implications**

- 7.1 In addition to the legal implications set out in the main body of this report, section 24 of the Housing Act 1985 allows local authorities to make such reasonable charges as they may determine for a tenancy or occupation of their houses. Further, it requires the local authority from time to time to review rents and other charges and make such changes, as circumstances may require. The changes proposed in the recommendations to this report would fall within the ambit of the Council's discretion as set out in section 24 of the Housing Act 1985.

**8. Human Resources Advice and Implications**

- 8.1 There are no Human Resources implications arising from this report

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

- 9.1 No direct implications

**10. Equalities and Human Rights Advice and Implications**

- 10.1 No direct implications

**11. Implications for Partners**

- 11.1 No direct implications for partners and other directorates.

**12. Risks and Mitigation**

- 12.1 The greatest risk and uncertainty surrounds the level of rent income received into the Housing Revenue Account. This is dependent upon the number of properties available to generate income.
- 12.2 The level of properties is directly affected by the level of sales and demolitions which may vary to those used in the budget assumptions. Rules regarding Right to Buy (RTB) receipts were implemented in April 2012 included increasing the discount cap, which is currently £82,200. This has seen the number of RTB sales increase significantly as a result of the higher discount cap. Total sales in 2018/19 were 151, it is estimated that there will be 173 RTB by the end of 2019/20 and the HRA Business Plan assumes a further increase to 175 sales in 2020/21.
- 12.3 Strategic Housing Investment plans involve the acquisition or build of 114 new properties for council rent in 2020/21 and 35 shared ownership properties which will also bring in additional rent income. This will assist in mitigating against lost rental income for RTB sales.
- 12.4 The changes to the rent formula from 2016/17 as resulted in the Council receiving less income the last four years, therefore impacting on the 30 year business plan.
- 12.5 The Government's changes to welfare benefits and the introduction of

Universal Credit will also impact on the level of rent income collected including the level of arrears and therefore be reflected in the Housing Revenue Account balances.

- 12.6 All budgets carry a certain level of risk in that unforeseen circumstances may arise, causing additional pressures on the level of resources applied

**13. Accountable Officers**

Tom Bell, Assistant Director of Housing Services

Approvals obtained on behalf of Statutory Officers:-

	<b>Named Officer</b>	<b>Date</b>
Chief Executive	Sharon Kemp	12/12/19
Strategic Director of Finance & Customer Services (S.151 Officer)	Judith Badger	04/12/19
Head of Legal Services (Monitoring Officer)	Bal Nahal	04/12/19

*Report Author: Mark Scarrott* Mark Scarrott, Finance Manager (Adult Care, Housing and Public Health)

*mark.scarrott@rotherham.gov.uk*

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

## PART A - 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 (Part B).

Further information is available in the Equality Screening and Analysis Guidance – see page 9.

### 1. Title

**Title: Housing Revenue Account Rents and Services Charges Report 2020-21**

**Directorate: Finance & Customer Services**

**Service area: Finance Business Partnering – Adult Care, Housing and Public Health**

**Lead person: Mark Scarrott**

**Contact number: Extn 22007**

Is this a:

☒

**Strategy / Policy**

☐

**Service / Function**

☐

**Other**

**If other, please specify**

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

The impact on existing and future council tenants of increasing housing rents and service charges from April 2020. In line with government guidance the proposed increase in housing rents is 2.7% from April 2020 and an increase in services charges of 2% with the exception of District heating charges which will remain the

same.

### 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, disability, sex, gender reassignment, race, religion or belief, sexual orientation, civil partnerships and marriage, pregnancy and maternity and other socio-economic groups e.g. parents, single parents and guardians, carers, looked after children, unemployed and people on low incomes, ex-offenders, victims of domestic violence, homeless people etc.

Questions	Yes	No
Could the proposal have implications regarding the accessibility of services to the whole or wider community?		√
Could the proposal affect service users?	√	
Has there been or is there likely to be an impact on an individual or group with protected characteristics?		√
Have there been or likely to be any public concerns regarding the proposal?	√	
Could the proposal affect how the Council's services, commissioning or procurement activities are organised, provided, located and by whom?		√
Could the proposal affect the Council's workforce or employment practices?		√

If you have answered no to all the questions above, please explain the reason

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 before decisions are made.

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 using the prompts for guidance and complete an Equality Analysis (Part B).

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

The Council currently owns circa 20,200 homes, 544 leasehold homes and 3,375 garages with a turnover from rents and other sources approaching £82m per annum (excluding the sale of new properties). This includes 1315 properties in the council's district heating scheme.

Some of the key elements of the Housing Strategy are to support housing growth, achieve and maintain properties to the decent homes standard, keeping all tenants safe, tackling fuel poverty, providing a customer focus and efficient housing repairs service and provide an effective support service for all neighbourhoods within the borough.

Under government rent setting rules all social housing providers have had an enforced rent reduction of -1% over the previous 4 years. The Rent Standard is published by government to ensure all social housing is affordable and follows the same rules and regulations in terms of setting rent. The latest advice published enables Social Housing providers to increase rent by the Consumer Price Index (CPI) for inflation + 1% and that this formula is confirmed for the next 5 years. This enables the Council to increase rents by up to 2.7% for 2020-21

When re-letting a void property the Council policy to date has been to increase the rent to formula rent (as a result we now have 6,000 homes that are paying rent at the government's standard).

- **Key findings**

There are currently 19,980 council tenants of which 10,264 (51%) would be directly affected by a rent increase as they will pay from their household income also there are 4,135 tenants (21%) who receive part Housing Benefit and therefore will be impacted to a less extent.

The remaining tenants 5,581 tenants (28%) are not affected by a rent increase as they receive full Housing Benefit.

- **Actions**

A key priority is the ongoing work mitigating the impact of welfare reform and general financial pressures tenants face. The Council is committed to minimising any effects of welfare reform on tenants and to do this through continuing early intervention and arrears prevention. Our efforts will continue to be in supporting tenants to continue to pay their



rent; by offering additional support to vulnerable tenants to help with money, benefits and debt advice; this is being done through our Financial Inclusion team. The past year has seen the Advocacy and Appeals service transfer into the Financial Inclusion team and as such funding for Money Advice Officers to support tenants in rent arrears manage priority debts.

Last year the Housing Service invested more into front line and general fund services, an additional £1m per year into the front line to provide more support for our most vulnerable tenants and £1.6m per year into housing support services. It has also invested and committed to invest over £80m into building more council and affordable homes over the next 3 years. In addition there are further pipeline schemes over the next 5 years still to be approved.

Date to scope and plan your Equality Analysis:	07/11/2019
Date to complete your Equality Analysis:	18/11/2019
Lead person for your Equality Analysis (Include name and job title):	Mark Scarrott – Finance Manager – Adult Care, Housing and Public Health

## 5. Governance, ownership and approval

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

Name	Job title	Date
Owen Campbell	Head of Finance – Adult Care, housing and Public Health	19/11/2019
Gerry Gillen	Solicitor	

## 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](mailto: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.	
<b>Date screening completed</b>	18/11/2019
<b>Report title and date</b>	Housing Revenue Account Rent and Service Charges 2020/21
<b>If relates to a Cabinet, key delegated officer decision, Council, other committee or a significant operational decision – report date and date sent for publication</b>	
<b>Date screening sent to Performance, Intelligence and Improvement</b> <a href="mailto:equality@rotherham.gov.uk">equality@rotherham.gov.uk</a>	

## PART B – Equality Analysis Form

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.

This form:

- Can be used to prompt discussions, ensure that due regard has been given and remove or minimise disadvantage for an individual or group with a protected characteristic
- Involves looking at what steps can be taken to advance and maximise equality as well as eliminate discrimination and negative consequences
- Should be completed before decisions are made, this will remove the need for remedial actions.

Note – An Initial Equality Screening Assessment (Part A) should be completed prior to this form.

When completing this form consider the Equality Act 2010 protected characteristics Age, Disability, Sex, Gender Reassignment, Race, Religion or Belief, Sexual Orientation, Civil Partnerships and Marriage, Pregnancy and Maternity and other socio-economic groups e.g. parents, single parents and guardians, carers, looked after children, unemployed and people on low incomes, ex-offenders, victims of domestic violence, homeless people etc. – see page 11 of Equality Screening and Analysis Guidance.

1. Title	
<b>Equality Analysis title: Housing Revenue Account Rents and Services Charges Report 2020-21</b>	
<b>Date of Equality Analysis (EA): 18 November 2019</b>	
<b>Directorate: Finance &amp; Customer Services</b>	<b>Service area: Finance Business Partnering – Adult Care, Housing and Public Health</b>
<b>Lead Manager: Mark Scarrott</b>	<b>Contact number: Extn 22007</b>
<b>Is this a:</b> <input checked="checked" type="checkbox"/> <b>Strategy / Policy</b> <input type="checkbox"/> <b>Service / Function</b> <input type="checkbox"/> <b>Other</b>  <b>If other, please specify</b>	

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## 2. Names of those involved in the Equality Analysis (Should include minimum of three people) - see page 7 of Equality Screening and Analysis Guidance

Name	Organisation	Role (e.g. service user, managers, service specialist)
Mark Scarrott	RMBC	Manager
Paul Elliott	RMBC	Manager
Owen Campbell	RMBC	Manager

## 3. What is already known? - see page 10 of Equality Screening and Analysis Guidance

### Aim/Scope (who the Policy/Service affects and intended outcomes if known)

This may include a group/s identified by a protected characteristic, others groups or stakeholder/s e.g. service users, employees, partners, members, suppliers etc.)

Section 23 of The Welfare Reform and Work Act 2016 implemented the government's policy on social housing rents which requires providers of social housing to reduce rents by 1% per year for four years with effect from April 2016 to March 2020.

The policy applied to all registered providers of social housing including local authority landlords, who have a statutory obligation to implement the policy.

This has now been replaced by the Ministry of Housing, Communities & Local Government (MHCLG) – Policy Statement on rents for social housing (February 2019) allowing Councils to increase rents by Consumer Price Index (CPI) (as at September) plus 1% from April 2020.

The report also considers the non-dwelling rent charges for garages, garage plot sites, cooking gas and communal facilities including laundry services where provided proposing an increase of 2% and no increase for District Heating charges in 2020/21 and also sets out the Housing Revenue Account (HRA) budget for 2020/21.

### The report recommends the following proposals:-

1. That dwelling rents are increased by 2.7% in 2020/21 in line with the governments rent policy from April 2020 which allows rents to increase by Consumer Price Index (as at September) plus 1%.
2. That there is a 2% increase in charges for garages and parking spaces, communal facilities, cooking gas and use of laundry facilities, in line with increases being proposed for other fees and charges across the Council.
3. That the unit charge per Kwh for District Heating Schemes remains the same level as agreed by the council in December 2017.

4. All Affordable Rent properties are revalued in October to provide a valid rent value for when Affordable Rent properties are re-let.
5. Agree the draft Housing Revenue Account budget for 2020/21.

**What equality information is available? (Include any engagement undertaken)**

The Council currently owns circa 20,200 homes, 544 leasehold homes and 3,375 garages with a turnover from rents and other sources approaching £82m per annum.

The Housing Service undertook a survey of tenants' views in 2018, referred to as the Star (Standard Tenant Assessment Response) Survey which supports how resources are targeted and allows the Council to benchmark satisfaction with other social housing providers. The most recent survey found:

- 80% of tenants are satisfied with the overall service provided
- 80% of tenants are satisfied with the quality of their home
- 78% of tenants believe their rent provides value for money
- 48% of tenants were satisfied that their views were listened to and acted upon
- Satisfaction with grounds maintenance and estate services were varied across the borough

The HRA Budget has responded to some of the above concerns by increasing investment in Tenant Involvement Services and increasing capacity in the housing management teams.

The Housing Rents report complies with government policy on social housing to increase rents by CPI plus 1% from April 2020. The implementation will be monitored as part of monthly budget monitoring and the collection of rent income from Council tenants; this will include any rent arrears.

Members have been consulted on the proposals for housing rents as part of the review of the HRA Business Plan.

**Are there any gaps in the information that you are aware of?**

No

**What monitoring arrangements have you made to monitor the impact of the policy or service on communities/groups according to their protected characteristics?**

The implementation will be monitored as part of monthly budget monitoring and the collection of rent income and service charges from Council tenants; this will include any rent arrears.

<b>Engagement undertaken with customers. (date and group(s) consulted and key findings)</b>	
<b>Engagement undertaken with staff (date and group(s) consulted and key findings)</b>	Engagement has been undertaken with Members and managers within Housing Services in respect of formulating the recommendations within this report.

#### 4. The Analysis - of the actual or likely effect of the Policy or Service (Identify by protected characteristics)

**How does the Policy/Service meet the needs of different communities and groups?** (Protected characteristics of Age, Disability, Sex, Gender Reassignment, Race, Religion or Belief, Sexual Orientation, Civil Partnerships and Marriage, Pregnancy and Maternity) - see glossary on page 14 of the Equality Screening and Analysis Guidance)

As part of the HRA budget there is increasing investment in Tenant Involvement Services and increasing capacity in the housing management teams to deal with issues of Anti-Social Behaviour, financial inclusion and engaging with under-represented groups through increasing staffing numbers.

Within the HRA budget there is a contribution to the Housing Capital Programme of £13.4m in 2020/21 towards investment in increasing and maintaining existing housing stock.

**Does your Policy/Service present any problems or barriers to communities or Groups?**

It is not envisaged that the HRA Rents and Services Charges report will cause any problems on communities or groups.

**Does the Service/Policy provide any positive impact/s including improvements or remove barriers?**

Vulnerable people are offered and provided with tenancy support which is tailored to individual needs to help them sustain their tenancy and live in the community. A key priority is the ongoing work mitigating the impact of welfare reform and general financial pressures tenants face. The Council is committed to minimising any effects of welfare reform on tenants and to do this through continuing early intervention and arrears prevention. Our efforts will continue to be in supporting tenants to continue to pay their rent; by offering

additional support to vulnerable tenants to help with money, benefits and debt advice; this is being done through our Financial Inclusion team. The Advocacy and Appeals service is now part of the Financial Inclusion team and as such provides Money Advice Officers to support tenants in rent arrears manage debts.

**What affect will the Policy/Service have on community relations?** (may also need to consider activity which may be perceived as benefiting one group at the expense of another)

It is not envisaged that the HRA Rents and Services Charges report will have any negative impact on community relations.

Please list any **actions and targets** that need to be taken as a consequence of this assessment on the action plan below and ensure that they are added into your service plan for monitoring purposes – see page 12 of the Equality Screening and Analysis Guidance.

## **5. Summary of findings and Equality Analysis Action Plan**

If the analysis is done at the right time, i.e. early before decisions are made, changes should be built in before the policy or change is signed off. This will remove the need for remedial actions. Where this is achieved, the only action required will be to monitor the impact of the policy/service/change on communities or groups according to their protected characteristic - See page 11 of the Equality Screening and Analysis guidance

<b>Title of analysis: Housing Revenue Account Rents and Services Charges Report 2020-21</b>
<b>Directorate and service area: Finance and Customer Services – Finance Business Partnering (Adult Care, Housing and Public Health)</b>
<b>Lead Manager: Mark Scarrott</b>
<b>Summary of findings:</b>
The policy itself will not have a negative or adversely affect any communities or individuals.

Action/Target	State Protected Characteristics as listed below	Target date (MM/YY)
Monitor the impact of the 2.7% rent increase and 2% increase in service charges on the HRA budget	All	Monthly



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

## 6. Governance, ownership and approval

Please state those that have approved the Equality Analysis. Approval should be obtained by the Director and approval sought from DLT and the relevant Cabinet Member.

Name	Job title	Date
Tom Bell	Assistant Director of Housing	

## 7. Publishing

The Equality Analysis will act as evidence that due regard to equality and diversity has been given.

If this Equality Analysis 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 should also be sent to [equality@rotherham.gov.uk](mailto: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.

<b>Date Equality Analysis completed</b>	18 November 2019
<b>Report title and date</b>	Housing Revenue Account Rents and Services Charges Report 2020-21
<b>Date report sent for publication</b>	
<b>Date Equality Analysis sent to Performance, Intelligence and Improvement</b> <a href="mailto:equality@rotherham.gov.uk">equality@rotherham.gov.uk</a>	

## APPENDIX 3

## HRA - Draft Budget Operating Statement 2020/21

Narrative	Full-year Budget 2019/20	Full-year Budget 2020/21	Year on Year Change
	£	£	£
Contributions to Housing Repairs Account	20,803,320	18,713,700	-2,089,620
Supervision and Management	23,906,780	25,202,200	1,295,420
Rents, Rates, Taxes etc.	230,000	242,000	12,000
Provision for Bad Debts	1,147,200	928,000	-219,200
Cost of capital Charge	13,346,050	13,562,870	216,820
Depreciation of Fixed Assets	20,925,680	21,313,650	387,970
Debt Management Costs	130,000	220,000	90,000
<b>Expenditure</b>	<b>80,489,030</b>	<b>80,182,420</b>	<b>-306,610</b>
Dwelling Rents	-76,477,360	-77,326,900	-849,540
Non-dwelling Rents	-802,170	-767,600	34,570
Charges for Services and facilities	-4,966,260	-5,090,890	-124,630
Other fees and charges	-514,260	-577,780	-63,520
Leaseholder Income	-178,650	-183,200	-4,550
<b>Income</b>	<b>-82,938,700</b>	<b>-83,946,370</b>	<b>-1,007,670</b>
<b>Net Cost of Services</b>	<b>-2,449,670</b>	<b>-3,763,950</b>	<b>-1,314,280</b>
Interest received	-100,000	-300,000	-200,000
<b>Net Operating Expenditure</b>	<b>-2,549,670</b>	<b>-4,063,950</b>	<b>-1,514,280</b>
<b>Appropriations:</b>			
Revenue Contributions to Capital Outlay	14,691,700	13,387,470	-1,304,230
Transfer from Reserves	-12,142,030	-9,323,520	2,818,510
<b>Surplus/Deficit for the year</b>	<b>0</b>	<b>0</b>	<b>0</b>

NB. 2019/20 was a 53 week financial year

**Committee Name and Date of Committee Meeting**

Cabinet – 23 December 2019

**Report Title**

Rotherham Town Centre Parking Strategy

**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**

Paul Woodcock, Strategic Director of Regeneration and Environment

**Report Author(s)**

Martin Beard, Parking Services Manager  
01709 823895 or martin.beard@rotherham.gov.uk

**Ward(s) Affected**

Boston Castle

**Report Summary**

A Town Centre Parking Strategy has been developed and is proposed for adoption by Cabinet.

The Broad Policy Statement is as follows:

- That the Council will maintain an appropriate level of parking provision which is commensurate with the environmental, development and economic needs of the Town Centre and its businesses, visitors and residents.
- That the Council will undertake the enforcement of parking activities in a fair, consistent and proportionate manner.

**Recommendations**

1. That Cabinet formally adopt the Town Centre Parking Strategy.

**List of Appendices Included**

Appendix 1 Equalities Impact Assessment – Initial Screening  
Appendix 2 Rotherham Town Centre Parking Strategy

**Background Papers**

White Young Green document "Rotherham Car Park Impact Assessment"

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

Overview and Scrutiny Management Board – 20 December 2019

**Council Approval Required**

No

**Exempt from the Press and Public**

No

## Rotherham Town Centre Parking Strategy

### 1. Background

- 1.1 Parking has a significant role to play in the town centre and the Rotherham Town Centre Parking Strategy, included as Appendix 2, sets out the ways the Council will manage parking in order to achieve the wider aims in terms of transport and regeneration. The aim of this strategy is to demonstrate the Council's commitment to providing an appropriate level of parking provision, to meet the economic and development needs of the town as it moves forward in line with the Town Centre Masterplan, and to support the needs of businesses, residents and visitors to the town.
- 1.2 Parking provision, tariffs, enforcement, maintenance and availability will all be considered in decision making around future developments and transportation issues such as congestion and sustainable modes of transport
- 1.3 **Capacity and Occupancy**  
The Council's Parking Services currently manage 1,250 off-street and 360 on-street town centre parking bays. Occupancy levels vary depending on the proximity of the spaces to the core town centre. Occupancy of the off-street car parks is relatively healthy, with approximately 80% of the capacity utilised. There is currently a waiting list for pre-paid, reduced rate parking permits.
- 1.4 **Tariffs**  
Parking tariffs are set taking into consideration adjacent competitor's parking rates and also neighbouring Local Authority schemes. In 2016 the Council introduced a competitive off-street tariff with all day parking costs in the core town centre being reduced from £6.50 to £3.50. This resulted in a significant, sustained increase in all day parking sales.
- 1.5 **Enforcement**  
The Service manages parking activities by undertaking enforcement under the Traffic Management Act 2004 and endeavours to carry out this duty in a fair and transparent manner. During 2018/19 the Council issued 11,758 penalty charge notices (PCNs). Of these, a total of 1,371 were cancelled as a result of a successful challenge / appeal (12%). The total amount of PCNs paid in full is 8,131 (as at 16/08/2019) with collection procedures ongoing up to and including the allocation of cases to Enforcement Agents.
- 1.6 **Blue badge Fraud**  
The Council supports people with disabilities to access appropriate parking through the promotion of the legitimate use of Blue Badges and provision of 176 designated disabled spaces in the town centre. Rotherham Council has been nationally recognised for its work in combatting the fraudulent use of blue badges. Since 2010 the Council has prosecuted in excess of 130 cases involving drivers using badges registered to people who were not present or deceased people.

## 1.7 **Car Parks and Developments**

Several car parks owned by the Council have been identified as development sites. These include: Forge Island, Sheffield Road (public and staff) and Riverside, off Corporation Street. The development of Forge Island is due to commence during the Autumn of 2020 and it is planned to retain public parking in at least half the site footprint for as long as possible. Upon completion the site will offer a 350 space undercroft car park and it is intended for the Council to manage this facility.

## 2. **Key Issues**

### 2.1 **Strategic Principles**

The strategy has been developed with consideration being given to the following principles:

- Access
- Mobility
- Regeneration
- Sustainability
- Competition
- Revenue.

### 2.2 **Access**

The Strategy recognises that parking performs a valuable economic and social function for the Town Centre. It supports businesses by enabling consumers to access shops. It allows employees to access their workplaces and enables citizens to reach education establishments and other services.

The strategy aims to ensure spaces are available in the right locations, at the right price, for those who cannot reasonably use other modes of transport. This will reduce the time users spend searching for car parking, which, if unmanaged, can contribute towards congestion and have a significant impact on visitors' return trips.

Adequate parking facilities for people with disabilities will be maintained, as will the Council's position on fraudulent use of blue badges.

### 2.3 **Mobility**

The specific requirements of Electric Vehicle (EV) users and cyclists are considered within the Strategy. EV users require access to public charging points to ensure that they have the confidence to use their vehicles. Currently there are 14 EV equipped parking bays, with the intention to add to these over time.

High quality cycle provision in the town centre is a continuing commitment as the Council promotes active lifestyle through modal choice. There are currently a number of cycle routes into the town centre, with accompanying cycle storage and parking. However, the location and quantity will be reviewed to ensure that this is in the right locations to maximise usage and attractiveness.

The needs of motorcycle users have been considered and motorcycle parking is available in existing off-street car parks and in on-street spaces. Motorcycle users are not subject to charges for parking in the town centre.

## 2.4 **Regeneration**

In order to encourage growth in Rotherham town centre, it is necessary to retain the appropriate allocation of land for car parking, balanced against the benefits of other land uses. As the regeneration of Rotherham Town Centre progresses, the pressure to take full advantage of the value of town centre sites will increase. Any decisions for land use for parking will consider:

- The justification, in both access and economic terms for land to be used for parking rather than other economic uses.
- The efficient use of land for parking facilities, for example integration with new developments or decked structures to minimise land take.

The management and provision of sufficient parking will help to create the right conditions for investment and will ensure, when possible, that land is available to support development.

## 2.5 **Sustainability**

There is a fundamental link between the availability and price of parking and the use of more sustainable modes of travel. If parking is too plentiful or too cheap, car owners have little incentive to use sustainable transport (even if public transport is accessible and of high quality).

Declining public transport use, as witnessed in Rotherham, has the potential to result in cuts to bus service levels due to commercial viability which in turn would adversely affect the mobility of public transport users.

Increased use of cars exacerbates congestion on the roads, which makes journey times longer and less reliable for all road users, and increased use of high emission vehicles reduces local air quality. This means that:

- The availability and price of car parking should be balanced and set at a rate which encourages the use of sustainable transport.
- In managing the supply and cost of car parking, there must be an incentive for car owners to use public transport.
- The availability of electric vehicle charging points at Council car parks can help support the growth of sustainable modes and help to improve air quality.

## 2.6 **Competition**

On a local level, Rotherham Town Centre competes with Parkgate and Meadowhall for consumer spending and other regional urban centres (Sheffield, Barnsley and Doncaster) for employees and investment. The Strategy takes account of the parking policies of neighbouring centres to ensure that the Town Centre is not disadvantaged.

To support growth in the town centre the Council has implemented a number of parking initiatives, detailed in the Parking Strategy.

**2.7 Revenue**

The provision of parking generates revenue for the Council, which contributes to the wider highways service provision. There is a need for the Council to continue to run a financially sustainable Parking Service whilst at the same time seeking ways through innovation and technology to reduce the operational and management costs of the parking service.

**3. Options considered and recommended proposal**

**3.1 Option 1:** Continue to function without a formal Strategy.

Whilst the Parking Service could continue to function without a formal Strategy, this methodology would be less effective in helping inform decisions on the future of the town centre.

**3.2 Option 2 and Recommended Proposal:**

That Cabinet formally adopt the Strategy.

The strategy will set out the Council's approach to parking in the Town Centre and help ensure that the following key actions are met:

- Occupancy levels will be reviewed annually to help ensure that the appropriate level and location of parking provision is maintained.
- The impact on parking capacity of any new development within the town centre will be monitored to manage demand and promote sustainable modes of travel through working with developers.
- Continue to work with the Rotherham Bus Partnership, including local bus operators and SYPTE, to improve Rotherham's bus offer, to encourage the use of public transport.
- Consideration will be given to the creation of additional short stay spaces. The service will identify the best locations for "priority customers", such as those with disabilities, and investigate revisions to existing on-street parking restrictions.
- The results of parking 'beat' surveys will be used to indicate where spaces are under-utilised and if they could be re-allocated.
- Annually review parking tariffs to ensure that they remain competitive.
- Explore the possibility of the introducing / enhancing the existing Park & Ride provision in relation to the Tram Train pilot.
- Continue the provision of EV charging points.
- Consider the needs of disabled users in all public owned car



parks and ensure that key destinations have appropriate levels of disabled parking availability either on or off street.

- Ensure that off-street parking facilities are clean, tidy and user friendly. A programme of works will be delivered to achieve a high standard of cosmetic finishes to the off-street parking stock. This will be the subject of a regular maintenance schedule thereafter to sustain the high standards.
- A program of “pay and display” machine replacement will be developed and funding sought to achieve a full stock of machines with debit/credit card payment facilities including contactless card payment options.

#### **4. Consultation on proposal**

- 4.1 Local Authority Parking Services teams across South Yorkshire have been consulted on the proposed strategy.

South Yorkshire Passenger Transport Executive and Bus Operators have been consulted on the proposed strategy through the Rotherham Bus Partnership.

Voluntary Action Rotherham (VAR) has been consulted.

The Strategy has been presented to the Strategic Parking, Transport and Development Sub Group.

As part of the White Young Green parking impact assessment a consultation exercise was undertaken with Rotherham Vision and other key stakeholders.

Boston Castle Ward Members have been consulted.

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

- 5.1 Should Cabinet agree to adopt the Strategy the Council will implement it with immediate effect. Accountability for implementation lies with various services including, but not limited to:
- Parking Services
  - Transportation
  - Rotherham Investment and Development Office (RiDO)
  - Asset Management

#### **6. Financial and Procurement Advice and Implications**

- 6.1 There are no direct procurement implications arising from the recommendations contained within this report.
- 6.2 Implementation of the Parking Strategy does not of itself commit the Council to any additional resources. The development of the strategy is funded from within existing budgets. It is the reference point for future developments on

parking matters including pricing

## **7. Legal Advice and Implications**

- 7.1 Whilst there are no specific legal implications that arise in respect of the recommendation of the adoption of the Strategy (Option 2), the benefits are clearly outlined at paragraph 3.2. If the Strategy in Option 2 is adopted, Legal Services will continue to be consulted and advice will be sought as necessary.

## **8. Human Resources Advice and Implications**

- 8.1 There are no direct implications arising from this report.

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

- 9.1 There are no direct implications arising from this report.

## **10. Equalities and Human Rights Advice and Implications**

- 10.1 An Initial Screening document (Appendix 1) has been completed and the Council will ensure it meets its equalities and human rights duties and obligations.
- 10.2 With regard to equalities, the needs of people with disabilities have been given consideration. The Strategy sets out that adequate parking facilities for people with disabilities will be maintained as will the Council's position on fraudulent use of disabled persons' blue badges. The strategy includes an events protocol, which details how events such as funerals, Armed Forces Day etc. are supported. The aim of the protocol is to minimise the impact on the town centre whilst giving consideration to the needs of attendees.
- 10.3 A series of recommended actions are embedded within the Strategy and these include:
- The Council will consider the creation of additional short stay spaces. Identify the best locations for "priority customers", such as those with disabilities and investigate revisions to existing on-street parking restrictions.
  - The Council will continue to consider the needs of disabled users in all public owned car parks and ensure that key destinations have appropriate levels of disabled parking availability either on or off street.
  - The Council will ensure disabled parking bays in off-street car parks are clearly marked, of sufficient width and conveniently located close to pedestrian exit points.
- 10.4 These actions will help to ensure that people with disabilities have adequate opportunities to access the town centre amenities.

## 11. Implications for Partners

- 11.1 The adoption of a strategy is positive as it ensures the Council's approach to parking is linked to its higher level strategic ambitions. The development and implementation of a Parking Strategy will ensure that on and off street parking provided by the Council helps to ensure that the Town Centre remains attractive to businesses and visitors alike supporting the drive for inward investment.

## 12. Risks and Mitigation

- 12.1 There are limited risks associated with the adoption of this strategy as it provides a strategic framework within which to manage and review parking provision.

## 13. Accountable Officers

Colin Knight, Head of Highway Services  
 Martin Beard, Parking Services Manager  
 Simeon Leach, Economic Strategy and Partnerships Manager

Approvals obtained on behalf of Statutory Officers:-

	Named Officer	Date
Chief Executive	Sharon Kemp	Click here to enter a date.
Strategic Director of Finance & Customer Services (S.151 Officer)	Judith Badger	04/12/19
Head of Legal Services (Monitoring Officer)	Bal Nahal	27/11/19

Report Author: *Martin Beard, Parking Services Manager*  
 01709 823895 or [martin.beard@rotherham.gov.uk](mailto:martin.beard@rotherham.gov.uk)

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

## PART A - 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 (Part B).

Further information is available in the Equality Screening and Analysis Guidance – see page 9.

### 1. Title

**Title: Rotherham Town Centre Parking Strategy**

**Directorate:**  
**Regeneration and Environment**

**Service area:**  
**Community Safety and Streetscene**

**Lead person:**  
**Martin Beard**

**Contact number:**  
**01709 822929**

Is this a:

☒

**Strategy / Policy**

☐

**Service / Function**

☐

**Other**

**If other, please specify**

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

The proposal for Cabinet to adopt the Town Centre Parking Strategy.

The Strategy Statement is as follows:

- That the Council will maintain an appropriate level of parking provision which is commensurate with the environmental, development and economic needs of the Town Centre and its businesses, visitors and residents.

- That the Council will undertake the enforcement of parking activities in a fair, consistent and proportionate manner.

### 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, disability, sex, gender reassignment, race, religion or belief, sexual orientation, civil partnerships and marriage, pregnancy and maternity and other socio-economic groups e.g. parents, single parents and guardians, carers, looked after children, unemployed and people on low incomes, ex-offenders, victims of domestic violence, homeless people etc.

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>	✓	
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>	✓	
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>	✓	
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>		✓
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>		✓
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>		✓
If you have answered no to all the questions above, please explain the reason		

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 before decisions are made.

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 using the prompts for guidance and complete an Equality Analysis (Part B).

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

The Parking Strategy will impact on all users of the town centre parking facilities. With regard to equalities, the needs of people with disabilities have been given consideration.

The Strategy sets out that adequate parking facilities for people with disabilities will be maintained as will the Council's position on fraudulent use of disabled persons' blue badges.

The strategy includes an events protocol, which details how events such as funerals, Armed Forces Day etc. are supported. The aim of the protocol is to minimise the impact on the town centre whilst giving consideration to the needs of attendees.

- **Key findings**

The strategy will set out the Council's approach to parking in the Town Centre and help ensure that the following key objectives are met:

- An annual review of usage and occupancy levels to ensure adequate parking provision, including facilities for people with disabilities is maintained.
- Engagement between relevant Council Services takes place during the early stages of planning for developments.
- An annual review of charging tariffs ensuring that Council parking facilities remain competitively priced.
- Use of sustainable transport is encouraged.

Support the Council to achieve its Clean Air targets

*(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**

A series of recommended actions are embedded within the Strategy and these include:

- The Council will consider the creation of additional short stay spaces. Identify the best locations for “priority customers”, such as those with disabilities and investigate revisions to existing on-street parking restrictions.
- The Council will continue to consider the needs of disabled users in all public owned car parks and ensure that key destinations have appropriate levels of disabled parking availability either on or off street.
- The Council will ensure disabled parking bays in off-street car parks are clearly marked, of sufficient width and conveniently located close to pedestrian exit points.

These actions will help to ensure that people with disabilities have adequate opportunities to access the town centre amenities.

Date to scope and plan your Equality Analysis:	31/08/2019
Date to complete your Equality Analysis:	30/09/2019
Lead person for your Equality Analysis (Include name and job title):	Martin Beard Parking Services Manager

## 5. Governance, ownership and approval

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

Name	Job title	Date
Colin Knight	Head of Service - Highways	21 <sup>st</sup> August 2019
Zaidah Ahmed	Manager – Performance Intelligence & Improvement	10 <sup>th</sup> September 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](mailto: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.

<b>Date screening completed</b>	<b>10/09/2019</b>
<b>Report title and date</b>	Rotherham Town Centre Parking Strategy 18/11/2019
<b>If relates to a Cabinet, key delegated officer decision, Council, other committee or a significant operational decision – report date and date sent for publication</b>	Cabinet Decision date: 23 <sup>rd</sup> December 2019
<b>Date screening sent to Performance, Intelligence and Improvement</b> <a href="mailto:equality@rotherham.gov.uk">equality@rotherham.gov.uk</a>	<b>21/08/2019</b>



# Rotherham Town Centre Parking Strategy

October 2019



# Rotherham Town Centre Parking Strategy

October 2019

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## Foreword



As Cabinet Member for Jobs and the Local Economy, parking forms an important part of my portfolio.

Parking has a significant role to play in the town centre and this strategy sets out the ways the Council seeks to manage parking in order to achieve the wider aims in transport and regeneration.

The aim of the Strategy is to demonstrate the Council's commitment to providing an appropriate level of parking provision, to meet the economic and development needs of the town as it moves forward in line with the Town Centre

Masterplan and to support the needs of businesses, residents and visitors to the town.

Parking provision, price, enforcement, maintenance and availability will all be considered in the decision making around future developments and transportation issues such as congestion and sustainable modes of transport.

The Council will undertake the enforcement of parking activities in a fair, consistent and proportionate manner.

I fully endorse this Strategy and I am convinced that it provides a firm foundation for sound decisions to be made on the future success of the town centre.

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## Introduction

This document presents Rotherham Metropolitan Borough Council's Car Parking Strategy for the Town Centre. It aligns with wider strategic objectives and supporting policy areas, recognising the role that careful planning of parking and its associated use plays in improving air quality, increasing physical activity, supporting economic activity and reducing environment impact.

The supply, management and location of car parking is essential to assist Local Authorities achieve their economic, social and environmental objectives in central areas. The provision of a clear and unambiguous parking strategy can deliver a number of localised benefits, these include;

- Support the local economy by providing access to local traders and facilitating development opportunities.
- Meet residents' needs for parking near their homes.
- Improve access to key services for special needs groups and the mobility impaired.
- Improve journey time reliability for road users by designing and managing parking facilities to reduce traffic conflicts.
- Encourage sustainable travel modes by setting parking charges at appropriate levels.
- Improve safety by ensuring that car parks are designed to industry recognised standards.
- Raise revenue for the council to reinvest in transport services

The strategy attempts to balance these competing objectives as one of the measures that can be used to promote Rotherham Town Centre as a place to live, shop, spend leisure time and as a place to invest and do business. The document provides a position statement on a number of factors, including the overall management and operation of parking in Rotherham Town Centre as well as the currently available and projected future parking capacity.

This strategy is being developed at a pertinent time, as the transport sector embarks upon extraordinary levels of transformation, derived from technological advancement resulting in significant behavioural change. As a result, the Council has a statutory and moral responsibility to respond proactively to that change, to ensure that the Council not only meets customers' expectations but that it operates its highways and systems as efficiently as possible.

## Policy Context

### *Town Centre Masterplan*

The Town Centre Masterplan outlines a long term framework for the commercial success of the Town Centre, building on a number of exciting new developments that will change the visitor and residential offer. At the heart of this revitalisation are new developments at Forge Island, high quality living and a vibrant market complex. Enhanced public spaces are key to its success as well as improved accessibility, including public transport, active travel and parking provision. Traders within the Town Centre and potential investors require parking provision to match demand. This needs to be provided at a price which does not impede economic performance whilst still promoting and not undermining public transport.

As part of the preparation of the Town Centre Masterplan; a document was produced by White Young Green Consultants titled "Rotherham Parking Strategy: Car Parking Impact Assessment". This document includes:

- A summary of relevant parking policy documents
- A review of existing parking provision
- A summary of parking usage
- A review of financial performance
- A review of charging structures
- A summary of likely future parking demand
- An assessment of alternative modes of transport
- Conclusions and recommendations

This Strategy reflects the above document although up to date information / data has been incorporated since the above document was produced in July 2017.

### *Local Plan*

The Movement and Accessibility chapter of the Local Plan's Core Strategy recognises the need to manage demand for travel through parking policies. It outlines that the Council will work with partners and stakeholders to focus transport investment on making places more accessible and on changing travel behaviour. The Core Strategy notes that accessibility will be promoted through the proximity of people to employment, leisure, retail, health and public services by a number of measures including parking. Specifically, it notes that parking provision in town centre and other accessible sites should only be reduced if and when public transport and other sustainable modes can accommodate travel. However, any reduction will not be to such an extent that the town centre becomes unattractive when

compared to out of town shopping centres. This strategy is cognisant with this philosophy and aims to provide a multi-modal framework for future parking provision.

### *Rotherham Transport Strategy*

The purpose of Rotherham Transport Strategy is to establish a transport policy which provides a blueprint for the Borough's transport network over the next 11 years. There is a particular focus on immediate priorities to stimulate the local economy to create jobs and to tackle transport affordability. Parking forms a major part of this strategy, with the aims and objectives consistent with the Local Plan Core Strategy.

### *Sheffield City Region Transport Strategy*

In January 2019, the Sheffield City Region Mayoral Combined Authority adopted its 4<sup>th</sup> Local Transport Plan, setting out a long term vision for the City Region's transport network. This is broadly focused around four policy objectives with economic growth and sustainability being key features within the future operation of the transport network. The strategy recognises the need for effective parking strategies to enable economic performance whilst also balancing the demand for car use against the need for more public transport and active travel behaviour. As such, although the strategy welcomes a coherent management of parking, there is also a strong recognition that provision for cycle and electric vehicle charging points are essential components of a sustainable town centre.

### *National Planning Policy Framework (NPPF)*

The NPPF outlines a high level guidance regarding parking in town centres. It states that "local authorities should seek to improve the quality of parking in town centres so that it is convenient, safe and secure, including appropriate provision for motorcycles. They should set appropriate parking charges that do not undermine the vitality of town centres. Parking enforcement should be proportionate".

This statement supports the development of a balanced and evidence-based parking policy which recognises the needs of different groups of users, including businesses, residents and visitors which rely on parking provision. One of the key strategic goals of the NPPF across a number of policy areas is a presumption in favour of sustainable development. In practice, this implies that the provision and regulation of parking must help to improve the appeal of sustainable modes so that developments are not car dependant whilst not obstructing economic growth.

### *Legislation*

Part 2 of the Traffic Management Act (2004) places a network management duty on Local Highway Authorities to keep all traffic flowing. The Act places a strong emphasis on the local authority taking responsibility for parking enforcement through the development and implementation of Civil Parking Enforcement. In accordance with the Traffic Management

Act 2004, the Council is expected to exercise parking enforcement powers in a fair and reasonable manner to ensure that parking restrictions and enforcement protect the operation of the highway network and bus routes from indiscriminate and unsafe parking activities.

Parking provision, management and enforcement must contribute to the delivery of the statutory Highway Network Management Duty and be reported for effectiveness through Local Transport Plans.

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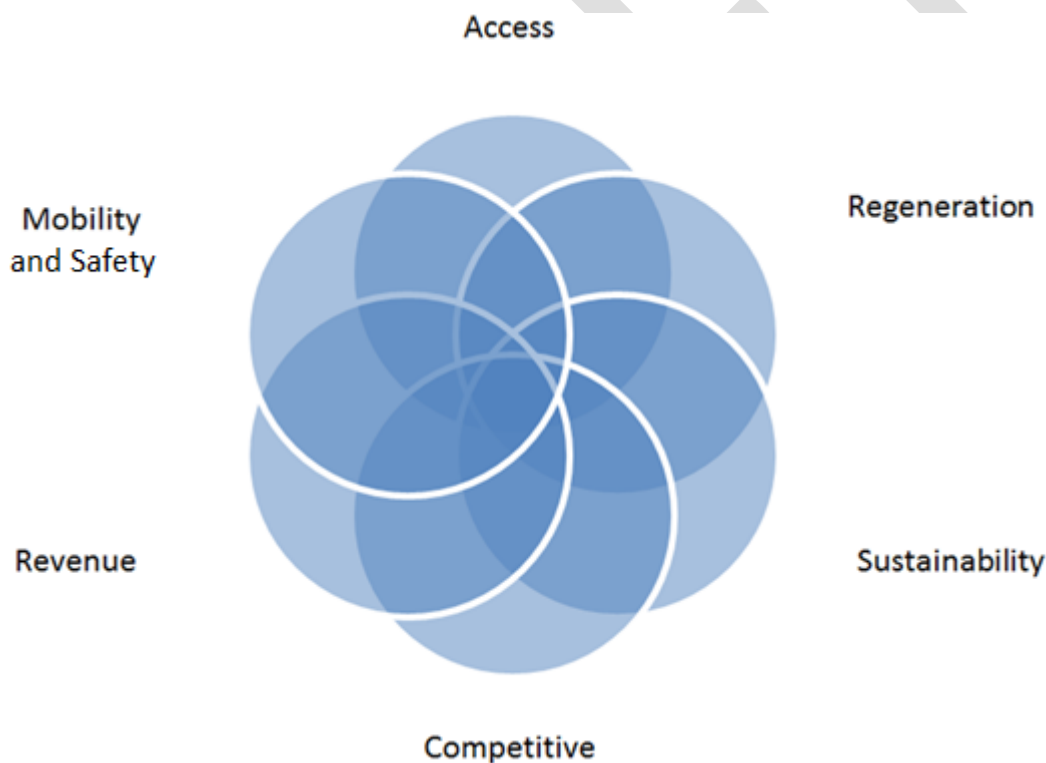


## Strategic Principles

The Strategy is fundamentally supported by the following policy statement;

- The Council will maintain an appropriate level of parking provision which is commensurate with the environmental, development and economic needs of the Town Centre and its businesses, visitors and residents.
- The Council will undertake the enforcement of parking activities in a fair, consistent and proportionate manner.

In order to keep the strategy focused and aligned with corporate and regional transport objectives, it is underpinned by six core principles which demonstrate its role within the wider policy context. These are outlined below in the Venn diagram, articulating that the six key principles are intrinsically linked together:



### *Access to Services, Employment, Retail and Leisure*

This Strategy recognises that parking performs a valuable economic and social function for the Town Centre. It supports businesses by enabling consumers to access shops, it allows employees to access their workplaces and it allows citizens to reach education establishments. As the Town Centre dynamically changes its offer over the next few years, parking in conjunction with a pedestrian friendly environment will play in major role in the participation of the social and cultural offer of the town. Parking policy will therefore ensure

that spaces are available in the right location, at the right price for those who cannot reasonably use other modes of transport. This will also limit the time users spend searching for car parking, which unmanaged can contribute towards congestion and have a significant impact on return trips.

There are a number of key considerations:

- Parking will be available for different needs. Some users require parking for short periods located in close proximity to their final destination, while other users need parking for longer periods. Parking provision needs to be mindful of this without influencing the user's decision to come to Rotherham.
- There will be adequate parking for users who cannot reasonably be expected to use other modes, or for whom alternative modes would be substantially less efficient.
- Multi-storey and decked car parks should be located near to key attractions and should be easily accessible from the main radial roads to minimise the volume of cross-town vehicle movements.
- It is recognised that the Council's current off street parking stock is largely historical based on land availability rather than strategic locations. Additionally, some strategically located car parks were used as development sites, for example Market Street.
- The price of Council owned car parking will be set to encourage an appropriate level of turnover in relation to the location of the car park or parking space.
- Car users will have the ability to access information which will enable them to locate parking spaces quickly and efficiently, thus minimising circulation time and reducing congestion within the Town Centre.

### *Regeneration*

Car parks are of significant size and scale, with the most effective and financially viable being placed close to key destinations. These land uses perform a variety of economic and social purposes. In order to cultivate growth in Rotherham town centre, it is necessary to retain the appropriate allocation of land for parking. It is recognised that as regeneration progresses, the pressure to take full advantage of the value of Town Centre sites will increase, therefore:

- There must be justification for land to be used for parking rather than other use.

- Parking facilities will use land as efficiently as possible. This could include integration with new developments or decked structures to minimise land take.

In relation to parking charges, car park users will pay a higher tariff when town centres are vibrant and attractive places. The development of key housing sites and the Forge Island leisure complex in the town centre will leverage investment to make the town more accessible and attractive. This stimulates footfall which then attracts further investment, resulting in fewer vacant sites and greater increases on the demand for parking (and public transport) in the town centre.

The management and provision of parking will help to create the right conditions for investment and will ensure, when possible, that land is available for development.

### *Support Sustainable Travel Modes*

There is a fundamental link between the availability and price of parking and the use of sustainable modes. If parking is too plentiful or too cheap, car owners have little incentive to use sustainable transport (even if public transport is accessible and high quality). Declining use of public transport, as witnessed in Rotherham, has the potential to result in cuts to bus service levels due to impact on commercial viability which in turn would adversely affect the mobility of public transport users. Meanwhile, increased use of cars exacerbates congestion on the roads, which makes journey times longer and less reliable for all road users, and increased use of high emission vehicles reduces local air quality. This means that:

- The availability and price of car parking should be balanced and set at a rate which encourages the use of sustainable transport modes.
- In managing the supply and cost of car parking, there must be an incentive for car owners to use public transport.
- The availability of electric vehicle charging points at Council car parks can help support the growth of sustainable modes and help to improve air quality.

### *Competitive*

There are a number of local characteristics of Rotherham Town Centre that have been considered when developing this Strategy. Principally, Rotherham does not have a significantly high concentration of employment meaning that parking is not largely long stay. There are also a number of development sites which are used as temporary public and private car parks, resulting in a large supply with relatively low demand meaning prices are low. There are also comparatively low levels of congestion on the highway network,

although there are key hotspots during peak hours, which mean that the car is an attractive option.

On a local level, Rotherham Town Centre competes with Parkgate and Meadowhall for consumer spending and its regional urban centres (Sheffield, Barnsley and Doncaster) for employees and investment. The Strategy is mindful of parking policies of neighbouring centres to ensure that the Town Centre is not disadvantaged.

The Council has worked and will continue to work with Town Centre businesses to support growth by implementing a number of initiatives which are listed below:

#### Tariff Changes

With effect from April 2016 the Council simplified the town centre parking charges and significantly reduced medium and long stay tariffs. This reduced the number of coins per transaction that customers have to use and has reduced over-payments at machines.

Medium (4 hour) and all day parking activities have increased significantly since the tariff changes which indicates that customers are staying in town for longer periods.

#### All “pay and display” parking areas in the town centre

- Free parking on each of the six Saturdays in the approach to Christmas.

The cost of this offer is embedded into the Parking Services budget which means that funding need not be sought annually.

#### Forge Island car park

- Free parking for 2 hours in 35 bays in Forge Island car park “Red Zone” Monday to Friday.
- Free parking all day on Saturdays in the whole of Forge Island car park.

#### Drummond Street car park

- Free parking for 2 hours in 35 bays in Drummond Street car park “Red Zone” Monday to Friday.
- Free parking all day on Saturdays in the whole of Drummond Street car park.

#### Wellgate multi storey car park

- Introduction of a 'pay on foot' system at Wellgate multi storey car park. This means that customers may park their vehicles safe in the knowledge that no penalty charge notice will be issued in the event that a delay causes them to be late returning to their vehicle.
- Free parking all day on Saturdays in the whole of Wellgate multi storey car park

#### Off – street town centre car parks

- Concessionary priced parking permits in some off-street car parks

#### Riverside, Clifton Hall and Scala car parks

- Buy 2 hours; get 2 free in Riverside, Clifton Hall and Scala car parks on Saturdays.

#### *Revenue Generation*

The ways in which Councils in the UK can provide or change parking schemes including the setting of parking prices and the allocation of any surplus parking income is tightly regulated in law. Section 122 of the Road Traffic Regulation Act (1984) imposes a general duty on the Council to exercise its function to “secure the expeditious, convenient and safe movement of vehicular and other traffic (including pedestrians) and the provision of suitable and adequate parking facilities on and off the highway”. Collectively, these criteria may be referred to as “traffic management purposes”.

Section 45 gives the Local Authority the power to designate parking places on a highway; to charge for the use of them and to issue parking permits for a charge. Section 55 of the Act places a duty on the Local Authority to keep an account of their income and expenditure in respect of designated parking places. This includes pay and display income. The ring-fenced account is referred to as the Parking Account with a number of specific areas on which parking income can be spent.

Section 55(4) of the Act sets out the purposes for which any surplus income in respect of designated parking places can be used. These purposes include:

- Provision and maintenance of off street parking
- Meeting costs incurred in the provision or operation of public transport
- Highway and road improvements and maintenance
- Reducing environmental pollution
- Provision of free public outdoor recreational facilities

In accordance with these functions, the provision of parking generates surplus revenue for the Council but this is not the primary purpose of charging for publicly owned parking spaces (Appendix 3). There is a need for the Council to continue to run a financially sustainable parking service whilst at the same time seeking ways through innovation and technology to reduce the operational and management costs of the parking service.

The Council's Annual Parking Account is published on the Council's website. This includes relevant statistical and financial information.

Parking enforcement undertaken by the Council does not generate a surplus but it is self-financing.

### *Mobility and Safety*

There are specific requirements of Electric Vehicle (EV) users and cyclists and these are considered within the Strategy. EV users require access to public charging points to ensure that they have the confidence to use their vehicles. This will also play a considerable role in changing the general public's perception and aid the transition from more traditional forms of vehicle propulsion. Previously, the limited EV charging provision in the town centre may have been a barrier to attracting EV users to travel to Rotherham. However, this has been addressed through the Clean Air Zone Early Measures Fund which has funded a total of 14 public charging points in Council operated car parks to ensure Rotherham is a place where EV users can work and visit.

The Council will continue to measure the effectiveness and usage of these points, to determine where new installations will be needed in the future as demand for this infrastructure is expected to increase.

High quality cycle provision in the town centre is a continuing commitment as the Council promotes active lifestyle through modal choice. Currently, there are a number of cycle routes into the town centre with accompanying cycle storage and parking. However, the location and quantity will be reviewed to ensure that this is in the right location to maximise usage and attractiveness.

The needs of motorcycle users have been considered and motorcycle parking is available in existing off-street car parks and in on-street spaces. Motorcycle users are not subject to charges for parking in the town centre.

Safety and security of those using the Town Centre car parks is of paramount importance. If users of the car park do not feel comfortable leaving their vehicle, paying at the machine or walking to their destination then this can become a significant barrier. This strategy recognises the role that connecting walking routes and lighting can play in the customer experience and how this reflects the impression of the wider Town Centre. By ensuring

that safety and security is a fundamental component of car parking design and maintenance, then this can help make people feel more comfortable when interacting with the Town Centre and its wider offer.

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## Current Position

The Strategy determines the appropriate location and type of parking to support the aims of the Town Centre Masterplan. The Strategy therefore distinguishes between shopper and leisure based short and medium term parking, and longer commuter based parking. This is split between on-street and off-street provision and between permanent and temporary off-street parking.

The Council has a robust database on the supply and demand for car parking in the town centre. This section summarises the key points that have been considered in developing this Strategy.

### *Existing Parking Facilities*

The town centre is served by a mix of Council owned and managed and private off street car parks. The Council also operates on-street parking in the town centre. The number of spaces is as follows:

- Off Street: Short Stay Council (up to 4 hours) 117, Long stay Council 1163 and Long stay private 750
- On Street: 316 bays mostly short stay but some long stay bays in the outer town centre.

### *Current Parking Usage*

Occupancy levels of the off street car parks are highest on normal working days i.e. Monday to Friday. On these days the highest occupancy levels are between 10:00 and 14:00.

A summary of off – street occupancy levels is attached as Appendix 1

A summary of on street occupancy levels is attached as Appendix 2

### *Enforcement*

The National Planning Policy Framework states that parking enforcement should be proportionate.

The Council's approach to enforcement reflects the National Planning Policy Framework in that its Civil Enforcement Officers are deployed in such a way to act as ambassadors for the town. Enforcement is undertaken in a fair, consistent and transparent manner. Civil Enforcement Officers are trained and receive refresher training in Customer Care in addition to the City & Guilds qualification in Parking.

The objectives of parking enforcement are as follows:



- To maintain and improve the free and safe flow of traffic, thereby making Rotherham a more pleasant and environmentally safe place to live, work and visit.
- To improve the quality and accessibility of public transport, especially buses on Quality Bus Corridors, by discouraging the use of cars where road conditions and public transport facilities justify this. This is to encourage an environmentally friendly lifestyle.
- To actively support the needs of people with disabilities, bearing in mind that in some cases they are unable to use public transport and are entirely dependent upon the use of a car.
- To actively discourage indiscriminate parking as this can cause obstruction to other motorists, pedestrians, cyclists and disabled people and contribute to congestion.
- To actively support Local Transport Plan targets and objectives and to help fulfil the requirements of The Traffic Management Act 2004, in particular those helping to reduce congestion and improving road safety.

The Council deploys Civil Enforcement Officers to cover the town centre charging hours (08:00 to 18:00 Monday to Saturday). In addition, intermittent patrols are undertaken to cover early evenings. Ad-hoc patrols outside normal hours are also undertaken on a needs basis, for example; joint patrols involving South Yorkshire Police and / or the Council's Licensing Team.

The Council has been nationally recognised for its work in combatting fraudulent use of blue badges. The Council has prosecuted significant numbers of cases involving drivers using badges registered to people who were not present or deceased people.

The Council also deploys a mobile CCTV vehicle which is used to patrol outside schools borough wide and restricted bus-stops.

Although there are no schools within the town centre; the enforcement of school keep clear markings is an integral part of the Council's Parking Enforcement Policy and it is undertaken in a robust manner.

Town Centre enforcement is undertaken giving priority to contraventions as follows:

- Restricted bus stops
- Blue badge bays
- Peak period waiting and loading
- Single / double yellow lines on strategic routes
- Pedestrianised Areas waiting / loading
- Taxi ranks
- Road junctions where restrictions exist
- Pay & Display
- Residents' permit spaces
- District shopping areas – any restrictions
- Double yellow on non-strategic routes

The Council takes action against persistent evaders by impounding vehicles. The current process allows for such action when vehicles are the subject of three outstanding penalty charge notices (PCNs) with removal being authorised upon the issue of the fourth PCN.

Whilst parking enforcement will remain their core duty, the Council's Civil Enforcement Officers will also receive training in undertaking enforcement of other crimes such as littering, dog fouling and anti-social behaviour.

### *Charging Structure*

The National Planning Policy Framework states that Local Authorities should set appropriate parking charges that do not undermine the vitality of town centres.

The Council changed its tariffs with effect from April 2016. Long stay charges were reduced from £6.50 per day to £3.50 per day in the core town centre car parks. This has resulted in a 300% increase in all day sales.

The Parking Impact Assessment produced by White Young Green as part of the Town Centre Masterplan indicates that the current tariffs are at appropriate levels and should not be increased for the foreseeable future.

Rotherham Council's parking tariffs compare favourably with those of neighbouring Local Authorities. The current tariffs are tabled in Appendix 4.

### *Shared Use Standards*

The DfT wrote to all Highway authorities on the 1st October 2018 explaining that; the Inclusive Transport Strategy and National Planning Policy Framework published in July, states all Local Authorities should pause before the introduction of any new shared space schemes that feature a level surface, and which are at the design stage.

The information provided by the DfT to clarify what types of schemes are to be paused is indicated below.

- The focus of the pause is on level-surface schemes in areas with relatively large amounts of pedestrian and vehicular movement, such as high streets and town centres (outside of pedestrian zones).
- A level surface is a design feature in which the level difference between the footway and the carriageway is removed.

All local Authorities need to ensure that every scheme is designed with the needs of different users in mind, creating places that are attractive and work well for everyone, whilst satisfy their obligations under the equalities legislation. This revised position on shared space therefore adds more complexity within the design of shared spaces and parking provision.

## Future Position

The number and location of on and off street parking facilities can be significantly influenced by town centre development projects, this includes;

- housing and employment growth throughout Rotherham and the sub region;
- commercial and cultural development in the town centre;
- the provision of sustainable transport modes; and
- the cost, location and supply of parking.

By understanding the relationship between these factors, the Strategy will shape the demand for parking in the long term to minimise the need for new provision. The Strategy recognises that simply providing additional parking is rarely an adequate solution to the transport and economic challenges the town centre faces. The understanding and recognition of the knock on implications of this relationship will be important in future decision making.

Specifically in relation to the impact of growth, when studying the feasibility of developments it is vital that due consideration is given to parking issues, namely:

- What temporary effect will the site development works have on the availability of parking facilities and what alternative arrangements will be put in place
- How many parking activities is the completed development likely to generate
- Will the completed development result in any permanent loss of existing parking facilities and, if so, what alternative provision will be made
- Where is the development in relation to public transport facilities (bus stops / tram / train stations etc?)
- Where is the development in relation to suitable pedestrian access routes

The current and known future development sites are detailed individually in Appendix 5.

Delivery of the Town Centre Masterplan and its associated development opportunities will remove some existing parking provision, whilst also generating new demand for parking. However, it is planned that the reduction in parking supply will be offset, to some extent, by enhancements to public realm, cycle infrastructure and sustainable transport, thereby effecting modal shift away from the car. In addition, the provision of new, permanent parking provision may be delivered as part of the new development projects (such as the Forge Island development) which will help to accommodate new demand.

Currently in Rotherham, as sites get cleared for development they are used as temporary parking facilities. In response to this, there is sufficient land for parking activity and there is a risk that if this is lost, other land needs to be identified or increasing the capacity of the existing parking stock. Examples of means of achieving this could be decking or smaller parking spaces.

The ongoing requirement for “Residents Only Parking Schemes” will be reviewed annually. This is because relocation of town centre hubs, for example when the Council moved into Riverside House from offices at the opposite side of the town centre, may influence decisions for the abolition of schemes or the introduction of new schemes.

Where it is essential to provide new parking to facilitate town centre growth, this will be located in highly accessible areas of the town centre, especially for short and medium stay parking, close to the key attractors.

Demand for cycle parking and Electric Vehicle (EV) charging points is likely to increase in the next decade as the uptake of EVs increases and cycling levels rise following the delivery of the transport and active travel investment programmes.

The White Young Green document “Rotherham Parking Strategy: Car Parking Impact Assessment” states:

The parking density described in this document measures the actual parking stock and reflects historic policies for provision in the town centre. With current national and local policy steering towards more sustainable development and travel patterns, the introduction of stricter parking controls on parking can be seen as a way of managing demand. Para 7.3 of the Council’s document “Transport Assessments, Travel Plans and Parking Standards Good Practice Guidance 2014 states: *In town centre and local shopping centre locations, car parking requirements for individual developments will be judged against the level of overall publicly available car parking space in the locality. Rotherham town centre has a number of public car parks, both long and short stay and as such it may not be necessary to provide additional parking as part of the development.*

# The Objectives

Having explained the core principles, the Strategy now outlines the implications of the provision and management of car parking in Rotherham town centre.

## *Location of Future Parking*

### **Short and Medium Stay**

Discussion with Town Centre businesses has clearly indicated that traders and service providers need access to short and long stay parking as close to the core retail area as possible. These car parks should be easily accessible from the key pedestrian routes to trading areas to enable shoppers and business visitors to gain easy access to the town offer.

Where possible, car parks will be evenly dispersed on strategic corridors within the Town Centre to enable traffic to access car parks soon after exiting the core radial network. This will reduce the need for vehicles to circulate searching for parking spaces which conflicts with bus, cycling and pedestrian movements.

As a general principle, short stay on-street parking will be located in central areas to increase turnover with a spaces reserved for disabled users. In the more outlying areas of the Town Centre, these will be reserved for medium stay. Where there is no evidence of demand for either, these will be designated as long stay.

Disabled parking spaces should also be promoted as close to the town centre core as possible whilst also being provided close to attractors on the fringe of the town centre. The provision of dedicated disabled parking spaces off street and at strategic on street locations will provide spaces where demand has been evidenced, but needs to be accommodated in the most appropriate location to keep traffic moving on the highway. Requests for very short stay (30 mins max) on street parking is a recurring request from businesses.

As the Town Centre matures and develops over the delivery period of the Masterplan, the Council will continually review the location and capacity of disabled parking bays to ensure that access to new facilities (cultural hubs and key destinations) are maintained.

From 30th August 2019 the Blue Badge Scheme was expanded and now people with “hidden disabilities” may be eligible for blue badges. Whilst it is not a legislative requirement; the Council will investigate the feasibility of implementing additional designated parking facilities. Locations to be considered for such facilities include but are not limited to:

- On street locations currently the subject of double yellow line restrictions
- On street locations on the outskirts of “pedestrian zones”

- Additional designated disabled spaces within off-street car parks

The expansion of the scheme is also likely to result in an increase of fraudulent use of blue badges, for example by family members. The Parking Enforcement Team will receive refresher training as required to ensure that Rotherham Council remains at the forefront of the fight against blue badge fraud.

### **Long Stay**

Long stay car parks will be located further from the core to avoid detracting from other uses. They will be located close to the entry points into the Town Centre from the A630 in the west and north and Moorgate Road, Drummond Street area in the east and south. This will ensure that vehicles will be intercepted on the network before they reach the town centre core.

With a growing need for a balanced and integrated transport network, long stay parking pricing and availability must be sympathetic to the policy requirement to encourage the use of sustainable transport, especially for commuting purposes. In addition, long stay parking provision will be located in the most suitable locations, with the focus on central/core parking provision being maintained for short stay parking. This will help support the retail needs of town centre businesses and encourage more shopper related uses in prime retail locations.

### **Residential**

A common and reoccurring issue in suburbs surrounding the town centre is the effect of displaced long stay parking if supply is too low or costs are too high, as commuters seek free on-street and long stay parking further afield. Using the tools available through the Traffic Management Act, the Strategy prioritises the ability of residents to access on-street parking spaces close to their residences over the needs of commuters. In light of this and as future developments increase housing supply in the town centre, the policy on residential parking zones will be continuously reviewed and new residential zones will be considered where there is evidence of a commuter parking problem.

### **Park and Ride**

Park and Ride facilities are located at strategic locations across the sub region and are attached to key transport infrastructure such as train stations and the tram stops. At present, in Rotherham, there is limited parking provision available at stations, with the exception of Swinton where a dedicated large car park is provided. Recently, the introduction of the Tram Train pilot scheme between Sheffield and Parkgate has proved successful, with Park and Ride options now being sought at the Parkgate terminus as well as within the Town Centre. This infrastructure is essential to support the tram train's continued use and attractiveness. New opportunities will be explored through available

funding sources, such as a new park and ride at Magna and Parkgate, as part of a regional integrated transport investment package.

Park and Ride sites are operated by South Yorkshire Passenger Transport Executive (SYLTE) and Northern Rail. SYLTE is accountable to the Sheffield City Region Mayoral Combined Authority with the role to encourage the maximum use of public transport throughout South Yorkshire and to promote growth of the public transport network. It works closely with transport service operators, local councils and other key stakeholders to develop the network and services across the county.

In addition, where possible, funding bids and planning consent requirements will be considered to provide additional park and ride spaces where relevant to build on existing park and ride options.

### *Supply by Type*

#### **On-Street**

The parking needs of shoppers, disabled people and business visitors will continue to require kerbside, on street parking as this is often the closest way they can get to their final destination. These spaces are in high demand and are priced accordingly. . This will ensure that the on-street parking in these locations has a high turnover and remains commercially viable.

Within the core of the Town Centre, on-street parking should be located in appropriate locations which do not restrict the safe and efficient flow of traffic, including pedestrians. Evidence from numerous studies and supported by the Town Centre Masterplan suggests that main thoroughfares should be void from moving vehicle traffic and parking movements focused at 'entry' points to the Town Centre offer.

Currently pedestrians can walk without fear from motor vehicles during the peak times of pedestrian activity due to a series of Traffic Regulation Orders which restrict vehicle movements in the core Town Centre. A recent document prepared by the charity 'Living Streets' suggests that case studies have identified that well planned improvements to public spaces can boost footfall and trading by up to 40%. It further suggested that many car journeys are short and as the volume of goods purchased is small these trips could be made on foot.

It is often assumed that more parking is the way to improve struggling town centres. Research across Europe has identified that the quality of public spaces is directly linked to peoples' perception of the attractiveness of an area contributing towards their quality of life and influencing where they shop. Any changes to the town centre's pedestrian offer could adversely affect public perception of the area.



Notwithstanding this, the current kerbside space in the Town Centre should be continually investigated to understand if areas could be better utilised or rationalised in areas where there is limited demand.

### **Off-Street (permanent, temporary)**

Like most towns in the United Kingdom, town centres struggle to accommodate the increased traffic movements associated with their growth and the related parking. In accordance with this and as a measure to control future parking provision, where possible, new parking should be provided in off-street locations.

New off-street parking should be provided to serve new developments and transport interchanges and the number of spaces provided should follow the parking guidelines set out by Rotherham's Local Plan.

### **Incorporated within New Developments**

In town centre and local shopping centre locations, car parking requirements for individual developments will be judged against the level of overall publicly available car parking space in the locality.

Rotherham Town Centre has a number of public car parks, both long and short stay and as such it may not be necessary to provide additional parking as part of the development. In the other town and suburban centres in the borough, the parking supply is variable and consideration will be given to local conditions when parking requirements are agreed for developments. Where development is proposed in town or local shopping centre locations sustainable

### *Events and Seasonal*

Through the Council's Temporary Suspension of Parking Restrictions Protocol (Appendix 6), provisions can be made to accommodate the parking needs of seasonal changes or specific events. There is an application process which allows the Council to understand what the impact will be and this enables an informed decision to take place and implement an appropriate solution.

For the Town Centre, events are normally planned in advance which allows for adequate publicity of any special, temporary parking arrangements. The requirements vary significantly and may include car park closures, suspension of on-street parking facilities or suspension of parking restrictions. Waivers / dispensations may be issued to vehicles but consideration must always be given to the safety of all highway users including pedestrians.

### *EV Charging Points*

The Council has been mandated by Central Government to improve air quality at certain locations around the borough through the Clean Air Zone feasibility study process. In light of this, the Council is currently installing a series of EV charging points in the Town Centre to provide the enabling infrastructure network to start to change consumer behaviour in favour of EV or hybrid vehicles. This will continue to be supported with future provision from the public and private sector being encouraged. Charging points should be tailored to likely duration of stay: 3kW and 7-22kW charging points will be appropriate for medium and long stay car parks, while 43kW Rapid AC and DC charging points will be suitable for short stay car parks.

### *Cycle Parking*

Public cycle parking in the town centre should be secure, well-located and, where possible, sheltered. There should be short and long stay public cycle parking, which should be designed to suit its purpose and location. Cycle parking should be provided on-street, in existing and new car parks and in other locations on sites throughout the town centre.

As part of new developments, cycle parking is encouraged through adherence with the Transport Assessments, Travel Plans and Parking Standards: Good Practice Guidance Supplementary Planning Guidance. Parking for Cycles should be provided in line with council standards, developers will be expected to demonstrate that excellent cycle parking facilities are to be provided. In designing cycle parking the following should be considered;

- Is it overseen and close to a building's entrance? Being visible to passers-by increases the level of security of the parking.
- Is the parking provision distributed correctly? Although a centralised location may be suitable for some sites, distributed parking may be more appropriate for large sites with several entrances.
- Is the parking easy to locate? Clear signage, both directional to the site and on the site of the parking itself, will enable the cycle parking to be found easily.
- Does the site feel secure to use? Good levels of lighting will encourage use at different times of day and CCTV cameras maybe appropriate in some locations, especially when parking is in long term use. National accreditation and benchmarking schemes such as 'Park Mark' could provide this.
- The type of parking provision should be appropriate to its function. Ideally short stay provision should be in the form of Sheffield stands covered by some form of canopy. Long stay provision may take the form

of secure lockers or a secure covered cage. In all cases parking that only allows part of the bike to be secured should be avoided

- Cycle parking should be incorporated into the design from the start, rather than added on as an afterthought.

The current cycle parking standards will be applied to all new developments, however some discretion will be applied to avoid over or under supply where the nature of the development warrants it.

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## Delivery and Implementation

Based on the evidence presented within this Strategy and the objectives outlined, this chapter identifies a number of actions to ensure that the correct provision and type of parking is provided in the right place. This will support the growth ambitions of the Town Centre whilst also balancing this against the need to improve the attractiveness of sustainable modes of transport. A series of actions are detailed below:

- Occupancy levels will be reviewed annually to help ensure that the appropriate level and location of parking provision is maintained.
- The impact on parking capacity of any new development within the town centre will be monitored to manage demand and promote sustainable modes of travel
- Build on the ethos of the Rotherham Bus Partnership, working with local bus operators and SYPTE to improve Rotherham's bus offer, so that local workers are encouraged to use public transport.
- Consideration will be given to the creation of additional short stay spaces. Identify the best locations for "priority customers", such as those with disabilities and investigate revisions to existing on-street parking restrictions.
- Results of parking beat surveys will be used to indicate where spaces are under-utilised and if they could be re-allocated.
- Annually review parking tariffs to ensure that they remain competitive.
- Consideration will be given to parking incentives for low-emission vehicles where practicable to do so.
- Work with businesses to develop travel plans that minimise car use.
- Review existing cycle parking provision and enhance where possible.
- Review advanced direction signing (signs on the approaches / periphery of the town) and individual car park location signing.
- Explore the possibility of enhancing the existing Park & Ride provision in relation to the Tram Train pilot.
- Continue the provision of EV charging points.
- Ensure the provision of EV charging points where new developments are proposed.
- Consider the needs of disabled users in all public owned car parks and ensure that key destinations have appropriate levels of disabled parking availability either on or off street.

- Ensure disabled parking bays are clearly marked, of sufficient width and conveniently located close to pedestrian exit points.
- Ensure that off-street parking facilities are clean, tidy and user friendly. A programme of works will be delivered to achieve a high standard of cosmetic finishes to the off-street parking stock. This will be the subject of a regular maintenance schedule thereafter to sustain the high standards.
- A program of “pay and display” machine replacement will be developed and funding sought to achieve a full stock of machines with debit/credit card payment facilities including contactless payment options.

As much of the publically owned Rotherham Town Centre parking stock is located on future development sites, there needs to be a considered understanding of how the release of land for development purposes will impact on the availability parking spaces.

Where there is a new development being proposed, as part of Rotherham’s local planning permission process, the developer is required to provide the appropriate level of disabled parking. This will be enforced via the legal documentation associated with their planning approval with the intention to ensure that those with disabilities do not suffer any detriment as a result of accessibility.

The specific objectives for each site are detailed below;

- **Forge Island** – The redevelopment of Forge Island will create a destination in the heart of the Town Centre and naturally this will require parking. In light of this, the development will incorporate its own parking provision to ensure that additional pressure is not exerted on other Town Centre car parks. Moreover, the loss of Forge Island for parking will mean that a significant number of parking spaces, including ‘free red zone’ spaces are displaced. In response to this, the Council is working with the developer of Forge Island to identify if weekday parking can be maintained on the site, whilst also investigation other suitable locations in the vicinity.
- **Sheffield Road** – The current land at Sheffield Road is allocated as a Town Centre housing site which is planned for development in the very near future. As a result, the parking stock will be lost, although current performance statistics indicate that the demand can be accommodated within the existing capacity of the current Town Centre car parks.

- **The Statutes** – Located next to the Train Station and close to Riverside House, this car park is an attractive location for commuter/long stay car parking associated with local employment and informal tram/train or rail based park and ride. This site is also a development plot but will be retained until later in this phased development. It is assumed that once Forge Island phase 1 is developed the parking on the Statutes will migrate to Forge Island (subject to agreement).
- **Rotherham Interchange** – the Council will continue to work in collaboration with SYPTE to maximise the use of the Rotherham Interchange Car Park. This will include promoting it as location for short stay, short stay and permit parking.
- **Town Centre On Street** – there will be a continual review of the Town Centre on-street car parking stock as part of the ongoing Public Realm improvements, additional bays will be created at priority locations.
- **Wellgate Multi-storey** – This car park will remain an important asset to the parking stock within the Town Centre. To improve the safety and security of the car park, the Council will build on recent investment to investigate future options regarding further refurbishment works.
- **Drummond Street** – Given its strategic position, this car park is a very popular location and attracts a large number of both short and long stay users. Recent initiatives such as the red zone have further increased its attractiveness and the Council will continue to identify other measures to ensure its usage is optimised to meet the needs of the Town Centre, whether this is long stay, short stay and at what proportions these are allocated.

The operations of third party car parks are within the functioning control and decision making of the owners therefore the Council has limited control over their provision and charges. However, it is intended that the Council will investigate ways of working with third party car park operators to ensure that the supply of parking matches the needs of the Town Centre and its businesses.

## Appendix 1 - Off Street car parks occupancy levels

Car Park	Average occupancy	Comment
Drummond Street	High	Often 100% occupied, particularly since the allocation of 35 bays to form a free parking "Red Zone". Popular with market shoppers and attendees of college.
Clifton Hall	High	Popular with market shoppers and attendees of college.
Wellgate multi storey	High	130 all day permit holders
Douglas Street	Medium	Popular with Job Centre users. Low short stay tariff.
Wellgate North	High	Short stay. Popular with users of Wellgate businesses, Post Office etc.
Sheffield Road	Medium	Long stay almost exclusively used by Council employees based in Riverside House. Low tariff (£2 all day)
Unity Place	Low	
Riverside	Medium	
Scala	High	
Forge Island	High	Very popular with shoppers due to the 2 hours free in the Red Zone. Also popular for commuters and permit holders (120) for all day parking.
Bailey House	Medium	Mostly long stay activities
Interchange (SYPT)	Figure not available but likely to be high.	Due to re-open after refurb in April 2019. Will be state of the art car park with tariff to match the Council's core town centre car parks.
Westgate (Private)	Medium	Almost all long stay commuter parking
Liquid (Private)	High	Almost all long stay commuter parking
Brinsworth Street (Private)	Medium	Almost all long stay commuter parking

## Appendix 2 - On Street occupancy levels

Location	Occupancy level	Comment
Market Street	High	
Main Street o/s & opposite Post Office	High	Many users are collecting parcels from PO
Main Street bridge	High	Many users visiting or working in Riverside House
Westgate o/s Post Office	High	Many users are collecting parcels from PO
Westgate below Post Office	Low	
Ship Hill	Medium	
Moorgate o/s Town Hall	High	High density of businesses (Solicitors, Estate Agents etc)
The Crofts	High	High density of businesses (Solicitors, Estate Agents etc)
Stanley Street	Medium	Intermittently high due to Mosque
Mansfield Road	Medium	Intermittently high due to Mosque
Wellgate (town centre end)	High	
Wellgate (Masons Arms)	Medium	
Upper Wellgate	Low	
Doncaster Gate	Medium	
Percy Street	Medium	
Howard Street	High	College and market nearby
Eastwood Lane	High	College and market nearby
Wharnccliffe Street	High	College and market nearby
Masbrough Street	High	Mainly long stay commuter parking
Chapel Walk	Low	Intermittently high due to Mosque



## Appendix 3 - Current Parking Tariffs

### Off – Street

Car Park	30 mins (£)	1 hour (£)	2 hours (£)	4 hours (£)	All day (£)
Drummond Street			1.50	2.00	3.50
Clifton Hall			1.50	2.00	3.50
Wellgate mscp			1.50	2.00	3.50
Forge Island			1.00	2.00	3.50 *
The Statutes			1.00	2.00	3.50 *
Scala			1.50	2.00	
Wellgate North	0.50	1.00			
Riverside		0.50	1.00	2.00	
Douglas Street	0.50	1.00	1.50		
Sheffield Road					2.00
Bailey House 3				1.00	2.00
York Road				1.00	2.00
Unity Place	0.20	0.50	1.50	2.00	

\* With effect from 01/04/2019

### On Street

Duration	30 mins (£)	1 hour (£)	2 hours (£)	4 hours (£)	All day (£)
Core town centre	1.00	1.50	3.00	N/A	N/A
Outer town centre	0.20	1.00	2.00	3.00	4.00

## Appendix 4 - Known Development Sites

### FORGE ISLAND

- This site is the subject of development which is due to commence in mid 2020 2019.
- The leisure-led development is key to the future vitality of the town centre, and will act as a catalyst for further investments. A successful development will transform the town centre and hopefully attract significant numbers of visitors. Accordingly, this strategy needs to give consideration to the phases prior to, during and after completion of the development.
- Forge Island is the town centre's busiest off-street car park with an average of approximately 1000 parking activities per day.
- During the development of Forge Island the impact of the loss of the car park must not be under estimated and it is vital that acceptable alternative parking places are available to customers. These customers will be ad-hoc visitors to the town for shopping and / or business and commuters, some of which are employees of the Council who hold permits for which a monthly fee is paid.
- Upon completion of the Forge Island development the site is expected to offer a total of around 350 parking spaces. This is in excess of the 309 spaces currently available in the car park.

### FORMER MAGISTRATES COURT SITE

- This site will eventually form part of the wider Forge Island scheme and be developed for residential, but development will not commence until the Forge Island site has been completed.
- The Council has planning approval for a 90 space car park on the site to be implemented until the site is developed. These spaces will be in addition to the 40 spaces already available on this site which is now known as The Statutes car park.

### SHEFFIELD ROAD CAR PARKS

- Sheffield Road operates as both a staff and public car park which accommodates approximately 200 cars daily, Monday to Friday. The car park are proposed as residential development - are due to commence late in 2019 or early 2020.

## Appendix 5 – Events Protocol

### Temporary Suspension of Parking Restrictions Protocol

This protocol applies to events/gatherings for which temporary arrangements can be made for parking activities. Temporary parking arrangements can be applied for many types of events, for example:

- Town Centre events such as Armed Forces Day
- Gatherings at places of worship

### Town Centre Events

Town Centre events are normally planned in advance which allows for adequate publicity of any special, temporary parking arrangements. The requirements vary significantly and may include car park closures, suspension of on-street parking facilities or suspension of parking restrictions. Waivers / dispensations may be issued to vehicles but consideration must always be given to the safety of all highway users including pedestrians.

### Gatherings at places of worship

This applies to places of worship for all faiths in locations throughout the borough.

### Funerals/Weddings etc

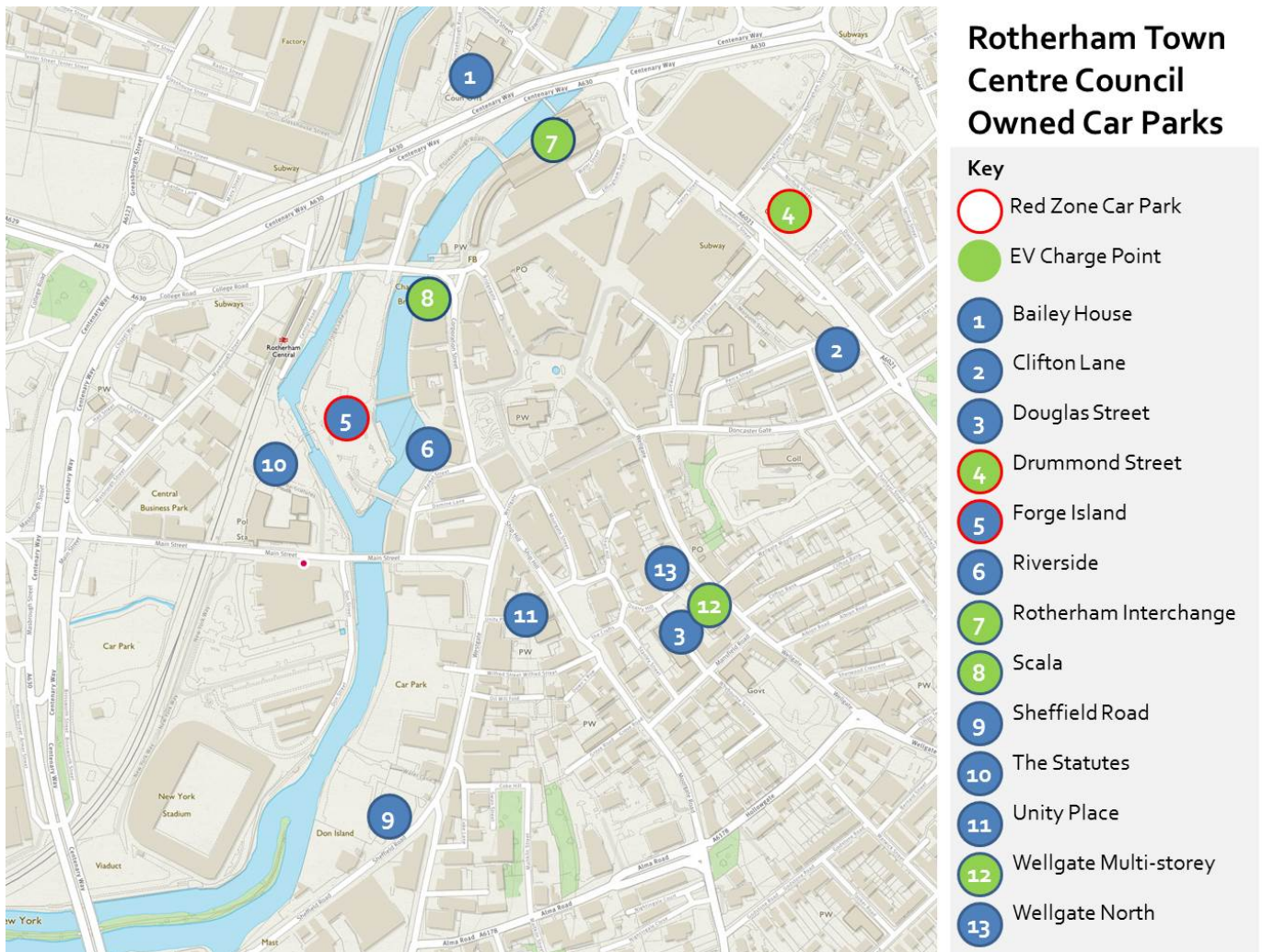
It is important that early contact is made with the Parking team so that they can implement the procedures as soon as is possible.

- The Parking Services Team should be contacted with the following details:
  - Time and date of the event
  - Location of the event
  - Contact name, number and email address
- The Parking Services Team will confirm by email agreed arrangements.
- A Civil Enforcement Officer will be allocated to attend the event prior to commencement to ensure that:
  - Where possible, vehicles are parked legally.
  - Where legal parking is not reasonably available, drivers are advised regarding where to park their vehicles and that temporary dispensations are in place.

- When "Pay and Display" bays are used the appropriate payment is made
- The Parking Services Manager (or Officer deputising in his absence) will agree a reasonable timescale for enforcement patrols to be suspended in the event that the bereaved family reside within a Residents Only Parking Zone.

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## Appendix 6 – Map of Town Centre Car Parks



<b>BRIEFING</b>	<b>TO:</b>	Improving Places Select Commission
	<b>DATE:</b>	19 December 2019
	<b>LEAD OFFICER:</b>	Janet Spurling Governance Advisor, Assistant Chief Executive’s Directorate 01709 254421
	<b>TITLE:</b>	Outcomes from Workshop on Area Housing Panels Review
<b>1. Background</b>		
<b>1.1</b>	On 24 October a sub-group of Members of the Improving Places Select Commission (IPSC) undertook a focused workshop session to consider emerging proposals for Area Housing Panels from 2020-21.	
<b>1.2</b>	Cllrs Mallinder (Chair), Jepson, Jones, McNeely, Reeder and Sansome and Mrs Mary Jacques and Mrs Wendy Birch (Co-optees from RotherFed) participated in the review session.	
<b>1.3</b>	Cllr Beck (Cabinet Member for Housing) introduced a briefing paper and outlined the emerging proposals from the consultation. The importance of the customer voice was reiterated. The Council held accreditation from Tpas (tenant engagement specialists) and was seen as an exemplar of good practice for its tenant engagement work.	
<b>1.4</b>	The following officers were also in attendance to provide further information for IPSC: <ul style="list-style-type: none"><li>• Paul Walsh, Head of Housing Operational Services</li><li>• Asim Munir, Tenant Involvement Co-ordinator</li><li>• Lyndsey Mould, Housing Operations Manager</li><li>• Jessica Sarracco, Tenant Involvement Officer</li></ul>	
<b>2. Key Issues</b>		
<b>2.1</b>	The briefing paper provided an overview of the following issues: <ul style="list-style-type: none"><li>• Focus of the review and response to the consultation</li><li>• Future tenant engagement geography and offer</li><li>• Ward pilots</li><li>• Future budget arrangements</li><li>• Budget roll forward proposal</li><li>• Budget and project governances</li></ul>	
<b>2.2</b>	The Head of Housing Operational Services gave a presentation highlighting key issues in the development of the new model. It was reiterated that the aim was to move towards a more agile way of engagement, which was easily recognisable to tenants whilst reflecting ward needs. Three ward pilots testing different ways of working had commenced in September 2019. Examples of projects were outlined to the sub-group.	
<b>2.3</b>	The funding model from 2020-21 would be based on a base budget of £4,000, with a further budget top up then being applied, based upon the percentage of Council homes	

within the Ward, which was funded from the Housing Revenue Account (HRA). There was a proposal for an option to roll forward unspent budget (within a four year cycle) and there was scope to align/match fund from other sources.

### 3. Key Points Discussed

- 3.1** The following is a summary of the main issues discussed during the workshop.
- Role of Elected Members – providing a community leadership role and ensuring tenants' voice is reflected.
  - Consultation responses and how these were reflected in the emerging proposals.
  - The range of options for receiving bids for funding including on line applications as well as more 'traditional' methods. Ward Housing Hubs would be flexible to ward needs – there would be different models of engagement, including online platforms, ward walkabouts, meetings etc. Area panels would cease to operate, to be replaced by Ward Housing Hubs.
  - Opportunities for cross ward working - however, focus should be on ward priorities – closely aligned to neighbourhood working.
  - The annual review of housing stock – funding would be adjusted annually reflecting stock numbers in the Ward.
  - Steps to encourage people's involvement – particularly in areas where there has been low engagement and there has been a struggle to identify projects or spend money. It was noted that there was a need to engage with a greater number of tenants who had not been previously engaged in Area Housing Panels.
  - RotherFed would remain principal first point of contact for tenant involvement.
  - Approval for projects would be made through support from ward councillors and tenants through the Ward Housing Hubs, supported by Council officers.
  - Reiteration that projects would align with ward priorities and would need to meet HRA funding criteria.
  - Clarity was sought about budgets and areas of spend. This would be project specific, but generally speaking funding for smaller scale projects could be accommodated within the Ward Housing budget, but larger scale projects would have to be funded through the Housing Capital Programme.
  - Customer access still to be further developed through digital channels, however with recognition that there may need to be other channels available for people who may have difficulty with digital access. Most younger tenants have access to the internet through mobile phone contracts. Free access to wifi was available in local libraries and was also being rolled out in some of the Housing neighbourhood centres.
  - Need to publicise the benefits of ward based working and successes. There was also a need to move swiftly on projects, with regular updates provided to ward members and groups on progress.
  - Awareness raising would take place with officers to update them of new

	<p>arrangements.</p> <ul style="list-style-type: none"> <li>• Process for conflict resolution was discussed, particularly in two member wards. Any issues arising would be considered by the Cabinet Member for Housing, as portfolio holder and Head of Housing Operational Services, as senior officer for tenant involvement and associated budget.</li> <li>• Closer working with Parish/Town Councils was welcomed; however, clarification was sought about how this would be facilitated.</li> </ul>
<b>3.2</b>	In summary, the Chair thanked the officers and Cllr Beck for the briefing and concluded that Members were assured by the emerging proposals to disestablish the existing Area Housing Panels at the end of the 2019-20 financial year and replace these with 25 Ward Housing Hubs. The Housing Hubs would have an annual base budget of £4,000 per Ward, with the remainder of the annual budget provision being allocated to Wards, based upon the percentage of Council homes within each Ward.
<b>3.3</b>	The outline process for approval was noted as well as the proposed provision to roll the budget over should there be an underspend.
<b>3.4</b>	The timeline was also noted and that a report would be submitted to Cabinet in the near future.
<b>4. Recommendations from the Workshop</b>	
<b>4.1</b>	That the review process undertaken and consultation feedback received to date be noted.
<b>4.2</b>	That the emerging proposals for Ward Housing Hubs and the work to be undertaken to test this approach be noted.
<b>4.3</b>	That the emerging recommendations with regard to Ward Housing Hubs, future budget setting and management and project governance be noted.
<b>4.4</b>	That the comments from the workshop be fed back to OSMB as part of its pre-decision scrutiny of the new proposals.