



CABINET

Monday, 23 November 2020

10.00 a.m.

Virtual Meeting via Microsoft Teams

Cabinet Members:-

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

Councillor Chris Read
Councillor Gordon Watson

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

Rotherham
Metropolitan
Borough Council 

CABINET

Venue: Virtual Meeting - viewable through <https://rotherham.public-i.tv>
Date and Time: Monday, 23rd November, 2020 at 10.00 a.m.
Agenda Contact Governance Unit – governance@rotherham.gov.uk

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.

A G E N D A

1. Apologies for Absence

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

2. Declarations of Interest

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

3. Questions from Members of the Public

To receive questions from members of the public who wish to ask a general question in respect of matters within the Council's area of responsibility or influence.

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

Councillors may also ask questions under this agenda item.

4. Minutes of the Previous Meeting (Pages 1 - 10)

To receive the record of proceedings of the Cabinet meeting held on 19th October, 2020.

5. Exclusion of the Press and Public

Agenda Items 6 and 10 have exempt appendices. Therefore, if necessary when considering those items, the Chair will move the following resolution:-

That under Section 100(A) 4 of the Local Government Act 1972, the public be excluded from the meeting for the following item(s) of business on the grounds that it/they involve(s) the likely disclosure of exempt information as defined in Paragraphs 2 and 3 of Part 1 of Schedule 12(A) of such Act indicated, as now amended by the Local Government (Access to Information) (Variation) Order 2006.

CHILDREN'S SERVICES AND NEIGHBOURHOOD WORKING

6. SEND Sufficiency Development Phase 3 (Pages 11 - 92)

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

Recommendations:-

1. That the proposal to develop a SEMH Educational provision and re-build Newman Upper School, as required to deliver both Rotherham SEND Sufficiency and Social Emotional Mental Health Strategies, is approved.
2. That Cabinet approves the acquisition of Dinnington College Block A, B, C and D within the outlined red line boundary as detailed in the report at or below the value within the exempt Appendix.
3. That the Assistant Director of Planning, Regeneration and Transport negotiates the terms of the acquisition and that the Assistant Director of Legal Services completes the necessary documentation.
4. That Cabinet gives approval to enter into a free school presumption process in relation to SEMH educational provision.

CORPORATE SERVICES AND FINANCE

7. Equalities Review - Going for "Excellent" Accreditation (Pages 93 - 130)

Report of the Chief Executive

Recommendations:-

1. To approve and endorse the programme of work to review and further strengthen the Council's approach to equalities.
2. To note that the equalities work will be framed around the four key lines of enquiry of the Equalities Framework for Local Government:

- Understanding and working with your communities.
- Leadership and organisational commitment.
- Responsive services and customer care.
- Diverse and engaged workforce.

8. September 2020/21 Financial Monitoring (Pages 131 - 156)

Report of the Strategic Director of Finance and Customer Services

Recommendations:-

1. That the current General Fund Revenue Budget forecast of £2.3m overspend be noted.
2. That it be noted that actions will continue to be taken to mitigate the forecast overspend and that a balanced financial outturn is envisaged.
3. That the Capital Programme update be noted.
4. That the proposed use of the Round 2 allocation of Infection Control Grant as set out in Paragraphs 2.47 to 2.52 is approved.
5. The schemes to be presented to the Mayoral Combined Authority for grant approval and implementation are supported, as set out in paragraphs 2.57.

9. Review and Update of the Medium Term Financial Strategy (Pages 157 - 172)

Report of the Strategic Director of Finance and Customer Services

Recommendations:-

1. That the MTFS review and update is noted.
2. That the plans to reserve funding and savings from 2020/21 to support the 2021/22 budget are noted.
3. That finalisation of the Budget and MTFS for 2021/22 and 2022/23 maintains the approved Budget Strategy and Budget Savings as already agreed.
4. That the assumptions within the MTFS to increase Fees and Charges by 2% for 2021/22 remain unchanged for this update.

JOBS AND THE LOCAL ECONOMY

10. Forge Island Preparatory Works and Demolition of Riverside Precinct, 8 - 18 Corporation Street and Pedestrian Footbridge (Pages 173 - 185)

Report of the Strategic Director of Regeneration and Environment Services

Recommendations:-

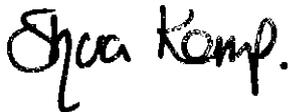
1. That approval be given to undertake the demolition and remediation works as described in this report to enable the Forge Island leisure development, funded by the allocated Town Centre Investment Fund.

11. Recommendations from Overview and Scrutiny Management Board

To receive a report detailing the recommendations of the Overview and Scrutiny Management Board in respect of the above items that were subject to pre-decision scrutiny on 18th November, 2020.

12. Date and Time of Next Meeting

The next meeting of the Cabinet will be held on Monday, 21st December, 2020 commencing at 10.00 a.m.



SHARON KEMP,
Chief Executive.

This page is intentionally left blank

THE CABINET - 19/10/20

**THE CABINET
19th October, 2020**

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

Also in attendance Councillor Steele (Chair of the Overview and Scrutiny Management Board)

57. DECLARATIONS OF INTEREST

There were no declarations of interest to record at this meeting.

58. QUESTIONS FROM MEMBERS OF THE PUBLIC

(1) Mr. L. Harron referred to accountability, statements of fact and the evidence he had to back those statements up. Having appealed to the Information Commissioner on two occasions and winning both appeals to obtain information from Council, he had recently received a further decision by the Information Commissioner who had been critical of the Council in restricting information. He regarded this as a waste of public funds and resources by the Council and the Information Commissioner.

Having received the decision by the Information Commissioner about an issue he raised in a Council meeting 2.5 years ago he had sent the Leader a paper which he had also given to the Chief Executive 3.5 years ago detailing evidence of dishonesty. He, therefore, asked would the Leader be accountable and nominate an Elected Member to work with himself to look at the issues of dishonesty of officers since 2015.

The Leader acknowledged this was a prolonged period of time, but explained he would be unable to nominate an Elected Member due to the formal procedures already in place to investigate complaints where there were allegations of officer dishonestly or malpractice. The three tier process ended with a panel of Elected Members coming to a final decision and making any sanctions necessary. It would be highly irregular to have Member involvement to lead at the beginning of the process and again at the end.

Mr. Harron confirmed he had lots of evidence of the dysfunctional complaints process and how it controlled rather than looking at the issues. In fact, the Council had, on a number of occasions, used independent investigators to look at issues that could not be done internally. He had also attempted to lodge a complaint on behalf of an adult survivor, but there was no response to the email. He had also asked for this to be debated in public for the next Council meeting.

He confirmed he had referred another response from Rotherham to the Information Commissioner very recently, bizarrely, as it was a very simple

question, which was then altered into a Freedom of Information request. He, therefore, asked around the 1st September, 2016 had the Chief Executive met with an officer and a reporter from the Advertiser about the Sheffield Star's intention to publish an article about the investigation into Swinton Lock. The Chief Executive could simply answer yes or no.

The Leader confirmed he had been involved in correspondence on this matter and the answer had been there was no record and no one could remember whether such a meeting took place. It was, therefore, not possible to give a cast iron guarantee.

The Leader was happy to ask the Chief Executive to confirm, but this was four years ago and it would be if she could recollect such a meeting. This was frustrating for Mr. Harron in the absence of any written information.

Mr. Harron had assumed he would receive a simple yes or not, but this was changed to an FOI response. He had, in fact, received an email around that time from a reporter from the Star which proved some previous correspondence had existed. This had been denied by the Council which confirmed such an exchange had existed, but somehow this had been deleted from records.

(2) Mr. Felstead confirmed he had written to the Leader three weeks ago about Councillor Sue Ellis over claiming on her expenses and had yet to receive a reply. This was documented in the local press where she had received an extra £9,000 on top of the £22,000 for a year without letting anyone know.

Mr. Felstead confirmed he had raised this on a forum of around 5,000 people in Wickesley and Councillor Ellis had received little support. Bringing this into perspective Councillor Ellis was at the time a Director of a multi-billion pound company and in their annual statement they described her as a former Police Officer and Social Worker and how she had served as a Labour Councillor since 1995 along with other roles and responsibilities. It also confirmed the dates she represented the Council on the South Yorkshire Pensions Authority and eventually became Chair.

The Pensions Authority helped to maintain consistently high level performance of an £8 billion fund, but it was clear Councillor Ellis was not financially competent when she was incapable of realising she had overpaid by such a sum.

Mr. Felstead, therefore, asked, having asked his own four year old child to highlight in picture format bigger block proportions, if the Council believed Councillor Ellis to be incompetent.

The Leader thanked Mr. Felstead for his question, but pointed out that Councillor Ellis did not claim any money as she was paid an allowance and the overpayment was an administrative error on behalf of the Council.

THE CABINET - 19/10/20

The Leader was not willing to speculate on personal circumstances of Members, but confirmed the error had been rectified and Councillor Ellis had paid the money overpaid in full.

This had been very frustrating for Councillor Ellis and as a result the Council had issued her with a formal apology because the fault of making those excess payments lay with Council staff.

There was more work to be done and procedures were now in place to ensure this did not happen again.

In a supplementary question Mr. Felstead asked if the Police had been informed. He referred to a recent article where a man received money by mistake and landed himself with a prison sentence when he spent the windfall. He compared this to the case for Councillor Ellis.

The Leader having regard to case law believed any overpayments made in error required people to repay the money in a period of time no longer than the period for which the overpayment occurred. As previously indicated Councillor Ellis had already repaid that money quickly after the issue was drawn to her attention. It was not believed there was any criminal wrongdoing and Mr. Felstead was, of course, welcome to draw these matters to the attention of the Police. If they wished to investigate information was already in the public domain.

59. MINUTES OF THE PREVIOUS MEETING

Resolved:-

That the minutes of the Cabinet meeting held on 21st September, 2020 be approved as a true and correct record of the proceedings, subject to corrections to replace the word "covert" on pages 5 and 12.

60. EXCLUSION OF THE PRESS AND PUBLIC

Resolved:-

That under Section 100(A) of the Local Government Act 1972, the public be excluded from the meeting for Agenda Items 9 and 10 on the grounds that the some of the appendices involve the likely disclosure of exempt information as defined in Paragraph 3 of Part 1 of Schedule 12(A) of such Act indicated, as now amended by the Local Government (Access to Information) (Variation) Order 2006.

61. ADULT CARE SERVICES - EARLY INTERVENTION COMMUNITY SUPPORT SERVICES

Consideration was given to a report which outlined how the two contracts associated with the services highlighted in this report, the Rotherham Sight and Sound Service and the Carers Support Worker and Dementia

Café Service, reached their initial contract term at 31st March, 2021.

There was an option to extend the contracts for a period of twelve months in the contract terms at the discretion of the Council. Both services made a positive contribution to the Council's duty under the Care Act 2014 to promote wellbeing and prevent, reduce and delay the need for care. The people who benefitted from the services were living in their own homes in the community.

The Rotherham Sight and Sound Service supported people who experienced sensory impairment (deaf, blind or deaf-blind).

The Carers Support Worker and Dementia Café Service supported unpaid carers and people who were experiencing the symptoms of dementia.

Both services were now well established in Rotherham and the report's proposals were for the Council to continue to secure the services going forward under grant agreement arrangements under Option 1 proposals.

Cabinet Members welcomed the report, but sought assurances that the BME community, who appeared from the equality analysis to not be accessing the services, were receiving the required support. In understanding this an action plan had been put in place along with a commitment to meet the needs of all Rotherham's communities to ensure any gaps were addressed in a timely fashion.

Resolved:-

That the two options contained in this report be considered and Option 1 be approved:-

Option 1

(a) Rotherham Sight and Sound Service be offered to the wider market under a grant funded Service Level Agreement in accordance with the provisions of the Rotherham Compact prior to contract termination at 31st March, 2022 to secure a provider to continue the service for a period of two years until 31st March, 2024.

(b) The Carers Support Worker and Dementia Café Service be offered to the wider market under a grant funded Service Level Agreement in accordance with the provisions of the Rotherham Compact prior to contract termination at 31st March, 2022 to secure a provider to continue the service for a period of two years until 31st March, 2024.

62. LEARNING DISABILITY/AUTISM - DEVELOPING COMMISSIONING SOLUTIONS

Consideration was given to the report that set out in detail the approach to adopting a set of strategic commissioning intentions that strengthened

independence, choice and control for people with a Learning Disability and/or Autism within Rotherham and supported the Adult Care Directorate's development programme My Front Door.

This report provided an overview of the current externally commissioned offer in Rotherham, particularly the state of the local market in terms of ability to meet current demand for service and the pressures that providers were facing and further highlighted the case for change, before focusing on the key work needed to underpin a new delivery model for externally commissioned Learning Disability and Autism Services.

The report also focused on Supported Living and detailed how the current external offer in Rotherham did not always promote independence and could be reliant on a quasi-residential care model rather than an independent living approach. Individuals did not always have the option to appropriately move on to alternative accommodation or to regularly access community assets.

There were a limited number of supported living providers operating within the Borough and currently there was no established route to market for supported living. This had restricted genuine choice and had led to an inconsistency in quality and pricing which needed to be addressed. However, these issues were mainly contractual. Although people often remained in the same service with the same level of support for many years the people currently residing in Rotherham's Supported Living Services were well supported both at home and out in the community where they were able and supported to participate with daily tasks at home out in the community.

The work programme would improve services by developing and commissioning services based on co-produced service specifications that focused on person centred outcomes.

The externally provided Day Opportunity offers in Rotherham have begun to transform the opportunities which were available, but further work was needed to ensure that there was choice and a vibrant offer for people with a Learning Disability and/or Autism in Rotherham, to access meaningful opportunities around employment, education and leisure time during the day as an alternative to a day centre or remaining within their accommodation.

The Day Opportunity Complex Needs Services that was commissioned with external organisations provided both building-based and community outreach elements. The building-based services provided a base for people to return to for personal care needs and therapeutic sessions. The community outreach provided support to access the community and complete daily living tasks such as shopping, banking alongside support to access community groups. Community Catalysts have been instrumental in the development of a vibrant and varied Day Opportunities offer for working age people in Rotherham, working closely with the many

Community Enterprise organisations to ensure that the services they offered were of good quality, provided value for money and evolved to meet the changing needs of the people who access these services. The Community Catalysts work had had a positive impact on the economy in Rotherham by supporting small businesses to develop locally, which in turn contributed to social value in local communities in line with the Council's Social Value Policy.

There was a need to develop the Employment Support Opportunities within Rotherham. Limited opportunities were available through some of the Community Enterprises, but this area needed to be developed further and would be addressed as part of any future tender opportunity.

The intention would be to use a blended approach to deliver the transformation of the commissioned services. This would be carried out in three stages in order to ensure current service delivery was maintained: Stage One - Service Continuity, Stage Two - Assessment, Planning and Procuring and Stage Three - Delivery and Implementation

The report also sought approval for the commencement of a project to develop a Flexible Purchasing System (FPS), including the approach adopted and also asked that associated risks and mitigations be noted.

Cabinet Members welcomed how this solution would create more opportunities for people with Learning Disabilities and Autism giving them greater control of their lives with a better offer. They supported the report, setting out the detail on the methodology and approach to making this happen.

Resolved:-

(1) That the Stage 1 (Continuity), including the use of grants for Speak Up and Community Catalysts, and Stage 2 (Assessment, Planning and Procuring) phases be approved. These were to support the design, delivery and planning of new services, and are expected to be completed by June 2021

(2) That the retendering of services outlined in section 3.2 of the report submitted be approved. This is expected to be completed by June 2021.

(3) That the process and timings associated with the Stage 3 (Delivery and Implementation) be noted. This to include the procurement (FPS approach or otherwise) of new Supported Living arrangements and Day Opportunities services.

(4) That Cabinet receive a report in eight months' time with recommendations at the conclusion of Stages 1 and 2 in order that Stage 3 can progress. This was to include benefits of the proposal and projected financial implications.

(5) That the overall project timings be approved and the approach, tasks, and associated risks be noted.

63. LIBRARY STRATEGY

Consideration was given to the report which set out in detail the vision and framework contained in the Library Strategy 2021–2026 and how the Strategy and new service offer would enable the Council to fulfil its statutory duty under the Public Library Act and meet the needs of the community through the delivery of the Libraries and Neighbourhood Hubs Service.

The Strategy and service offer had been finalised following feedback from the last phase of consultation, along with the Equalities Impact Analysis. All future delivery changes would be, therefore, underpinned by the Strategy.

Particular attention was drawn to the exciting proposals to relocate the Thurcroft Library to Gordon Bennett, the increased community partnership work with the new Brinsworth Library collaboration with the Parish Council working on some new models of management and access and the need for libraries to diversify.

The Equalities Impact Assessment at Appendix 3 provided some in-depth detail which would be embedded into service planning and delivery and key facts about the service and usage and some of these were highlighted.

Cabinet Members expressed their support for the Strategy and the significant investment that this also brought locally. An assurance was made that, despite the pandemic, staff were active and currently providing a click, call and collect service, staggered staged opening of libraries and a number of initiatives online.

In addition, calls had been made to several hundred vulnerable library members knowing how isolation was particularly damaging to people's health and the importance to be connected.

The Strategy itself was built on the Equalities Impact Analysis and research to address barriers to people engaging. The investment had allowed eleven libraries to re-open and a number were undergoing refurbishment.

The needs of young readers, disabled and BME were highlighted with examples of activities online, along with the use of social media platforms to showcase, recognise and celebrate authors and activity programmes for different groups and communities.

Training was ongoing with existing staff so they could better understand and address the needs of certain people and community groups. Staff

were excited and welcomed the opportunity.

Attention needed also to be given on how best to use photography imagery for the libraries and how this could be presented.

This report had been considered by the Overview and Scrutiny Management Board as part of the pre-scrutiny process who were in support of the recommendations.

Resolved:-

(1) That the final version of the Library Strategy 2021-2026 and associated service offer be endorsed and be recommended to Council for adoption.

(2) That the consultation and engagement undertaken and the findings of the Equalities Impact Analysis be noted.

(3) That the Action Plan for Rotherham Libraries and Neighbourhood Hubs be approved.

(4) That the progress made on the development of a new Library for Rotherham Town Centre be noted.

(5) That the transfer of Brinsworth Library to Brinsworth Community Trust, supported by Brinsworth Parish Council and Rotherham Metropolitan Borough Council be approved.

(6) That the relocation of Thurcroft Library from Thurcroft Junior Academy to the Gordon Bennett Memorial Hall site utilising the approved libraries capital allocated be approved.

(7) That the implementation of self-service technology in order for customers to access library sites independently be approved.

64. TOWNS FUND – TOWN INVESTMENT PLAN

Consideration was given to the report which set out in detail how the Town Deal was a £3.6bn programme seeking to “unleash the economic potential” of one hundred places across the country.

Rotherham had been given an opportunity to bid for up to £25m through this Fund or up to £50m if it was considered that “exceptional circumstances” applied. Bidding would take the form of a Town Investment Plan.

This report, therefore, provided an update on the development of the Town Investment Plan and sought approval for the Strategic Director of Regeneration and Environment, in consultation with the Cabinet Member for Jobs and the Local Economy and the Section 151 Officer to submit the

Town Investment Plan and any necessary supporting documentation.

A requirement of the Town Deal programme was that the Council set up an overarching Town Deal Board. This was established in January, 2020. The robust Town Deal Board served an advisory function and a vehicle through which the vision and strategy for the town was defined and the Town Investment Plan produced.

The Town Investment Plan would cover a geography prescribed by MHCLG and was detailed in Appendix 2. Potential interventions focused on the Eastwood, Templeborough and Town Centre areas were suggested and examined to reflect the Town Deal geography. A number of investment opportunities were identified and a summary was provided.

Funding for the Town Deal Accelerator was entirely dependent upon the scheme being delivered by 31st March, 2021. In addition to the preferred scheme, further options for the Town Deal Accelerator were being explored should it not be possible to secure the necessary agreements and approvals to allow the preferred scheme to progress to be delivered in time and since the report was submitted the Government had opened invitations from December, 2020.

Work was ongoing with the Town Deal Board to agree the detail and confirm the various projects for the bid. The next meeting of the Board was scheduled for Tuesday, 20th October, 2020.

This report had been considered by the Overview and Scrutiny Management Board as part of the pre-scrutiny process who were in support of the recommendations.

Resolved:-

(1) That the Town Investment Plan Emerging Project Summary (Appendix 5) be endorsed.

(2) That delegated authority be given to the Strategic Director of Regeneration and Environment, in consultation with the Cabinet Member for Jobs and the Local Economy and the Section 151 Officer, to agree the final content and submit the Town Investment Plan and subsequently to agree the Town Deal Heads of Terms.

(3) That the acquisition of the freehold interest necessary to enable a Town Deal Accelerator scheme as detailed in Appendix 6 be approved, and the Head of Legal Services be instructed to complete the necessary legal documentation once terms for the acquisition have been agreed.

(4) That delegated authority be given to the Strategic Director of Regeneration and Environment, in consultation with the Cabinet Member for Jobs and the Local Economy and the Section 151 Officer, to agree the final Town Deal Accelerator scheme as detailed in Appendix 6, if the

preferred scheme is not progressed.

65. THE PROPOSED DISPOSAL OF THE COUNCIL'S FREEHOLD INTEREST IN THE FORMER OAKS DAY CENTRE, OAKS ROAD, WATH UPON DEARNE

Consideration was given to the report which sought approval to dispose of the Council's freehold interest in the former Oaks Day Centre, Oaks Road, Wath upon Dearne.

Since becoming vacant there have been attempts to break into the former learning disability building which was no longer fit for purpose, required significant investment and was subsequently deemed not to be economically viable. The proposal was to clear the site and offer this as a development opportunity on the open market.

Local Ward Members have been consulted on the proposal to dispose of this property and no objections or representations have been received.

Resolved:-

(1) That the disposal of the Council's freehold interest in the former Oaks Day Centre, Oaks Road, Wath upon Dearne, S63 7BB be approved.

(2) That the Assistant Director (Planning, Regeneration and Transport) be given delegated authority to the disposal of the assets by implementing the most appropriate method of disposal to help expedite the process, whilst ensuring that best consideration is achieved under Section 123 – Local Government Act 1972.

(3) That the Assistant Director of Legal Services be delegated authority to negotiate and complete the necessary legal documentation once terms for the disposal have been agreed.

66. RECOMMENDATIONS FROM OVERVIEW AND SCRUTINY MANAGEMENT BOARD

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

67. DATE AND TIME OF NEXT MEETING

Resolved:-

That the next meeting of the Cabinet be held on Monday, 23rd November, 2020, commencing at 10.00 a.m.

Public Report with Exempt Appendices
Cabinet

Cabinet – 23 November 2020

Report Title

SEND Sufficiency Development Phase 3

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

No

Strategic Director Approving Submission of the Report

Suzanne Joyner, Strategic Director of Children and Young People's Services

Report Author(s)

Jenny Lingrell, William Shaw, Mary Jarrett, Rob Holsey

Ward(s) Affected

All wards

Report Summary

This report outlines proposals to address current and future Special Education Needs and Disability (SEND) sufficiency issues that have been highlighted by SEND data and identified in the Rotherham SEND Sufficiency and Social Emotional Mental Health Strategies.

Rotherham currently has two key issues in relation to sufficiency of education for children with special education needs and disabilities that need to be addressed.

1. There is a lack of designated social, emotional and mental health (SEMH) educational provision.
2. Newman Special School building needs extensive work in order to bring it to the required standard to effectively deliver education for children and young people with disabilities.

A strategic options appraisal outlines four different approaches to respond to the issues identified and deliver the required outcomes for Rotherham's children and young people. The four approaches are new build, re-purpose of existing educational buildings, purchase new buildings or do nothing.

More detail is provided on the proposed option including the benefits to children and young people, capital, revenue and cost avoidance implications.

Recommendations

1. That the proposal to develop a SEMH Educational provision and re-build Newman Upper School, as required to deliver both Rotherham SEND Sufficiency and Social Emotional Mental Health Strategies, is approved.
2. That Cabinet approves the acquisition of Dinnington College Block A, B, C and D within the outlined red line boundary as detailed in the report at or below the value within the exempt Appendix.
3. That the Assistant Director of Planning, Regeneration and Transport negotiates the terms of the acquisition and that the Assistant Director of Legal Services completes the necessary documentation.
4. That Cabinet gives approval to enter into a free school presumption process in relation to SEMH educational provision.

List of Appendices Included

Appendix 1 Initial Equality Screening Assessment
Appendix 2 Red Line proposed site

Exempt Appendices

Appendix 3 Financial background
Appendix 4 Independent valuation

Background Papers

SEND Code of Practice 2015
High Needs Budget Recovery Plan
Sufficiency Strategy and Data
Rotherham SEMH Strategy

Consideration by any other Council Committee, Scrutiny or Advisory Panel

None

Council Approval Required

Yes or No?

Exempt from the Press and Public

Yes or No? If yes, use text below.

An exemption is sought for appendix 2 and 3 under Paragraph 3 (Information relating to the financial or business affairs of any particular person (including the authority holding that information)) of Part I of Schedule 12A of the Local Government Act 1972 is requested, as this report contains commercially sensitive information

It is considered that the public interest in maintaining the exemption would outweigh the public interest in disclosing the information because the commercial sensitive could impact on the Council's ability to purchase the required land and property to deliver the reports proposal

SEN Sufficiency Development Phase 3

1.	Background
1.1	<p>Rotherham Council is ambitious and wants to achieve good outcomes for children and young people particularly those with special education needs and disabilities. The newly published Special Education Needs and Disability (SEND) Strategy details Rotherham's four over-arching strategic outcomes for children and young people with SEND which are:</p> <p>Wellbeing: All children and young people in Rotherham with SEND to enjoy good physical and mental health.</p> <p>Preparation for adulthood: All young people in Rotherham with SEND are well prepared and supported to exercise choice and control that enable them to enjoy fulfilling lives.</p> <p>CYP and parents voice: All Children and Young People in Rotherham with SEND and their families have their voices heard and this makes a difference to their experiences and outcomes.</p> <p>Whole child progress: All children and young people in Rotherham with SEND have positive opportunities to make progress in a person-centred way.</p> <p>Rotherham's SEND strategy was produced in partnership with parent, carers and Children with SEND at a co-produced Voices Day held in November 2019. The strategy includes a focus on the concerns of families and children to ensure that the needs of children and young people with social, emotional and mental health issues are met.</p> <p>Social, emotional and mental health (SEMH) issues can include a diagnosis of ADHD, attachment issues, a diagnosed mental illness such as depression or anxiety and sometimes includes mental health issues experienced by young people with autism spectrum conditions.</p> <p>Accordingly, there is a Rotherham SEMH strategy in place to address these needs and one of the strategic actions within the SEMH Strategy is to address education sufficiency needs for children with SEMH as at present Rotherham has no designated provision to meet the needs of children who need to attend a specialist SEMH School.</p> <p>Currently requests for Education, Health and Care Plans (EHCP) for children with SEMH needs comprises 47% of all current requests for assessment. In numbers this equates to 290 children being assessed for this education need within the last 18 months (January 2019-June 2020). It is evident that this is an increased and ongoing demand for specialist SEMH education provision.</p> <p>At present children and young people with SEMH needs are placed in Pupil Referral Units (PRU), placed Out of Area (OOA) in private special schools or a very small cohort attend neighbouring Local Authority SEMH schools in Sheffield and Barnsley.</p>

	<p>There is a commitment to achieve standards of good practice for SEND and ensure children and young people are placed in the right provision, in the Borough. In order to achieve this, an alternative approach is needed for children and young people with SEMH needs.</p> <p>Rotherham SEND sufficiency data also suggests that there is an ongoing demand for special school places at Newman School which specialises in provision for children with a range of learning difficulties and particularly those with complex medical needs. However, Newman School, which remains a Local Authority maintained school, has fallen into disrepair and is not currently offering an education environment that is suitable for disabled children with complex needs and it is of importance that the Local Authority invests in this provision, both to maintain its standards as an Ofsted recognised 'Good' school for children with disabilities and complex needs, and in recognition that Rotherham Council values and invests in its most vulnerable children.</p> <p>Finally, analysis of sufficiency data demonstrates that there are a growing number of children aged 16+ with special education needs and Rotherham needs to increase the breadth of its offer for these young people, offering a high quality range of provision to meet both education aspiration, life skills and the need to prepare young people for the world of work, an aspiration which was articulated by children, young people, parents and carers throughout the Voices Day in 2019.</p>
1.2	<p>Rotherham has had two previous SEN Sufficiency phases thus far and it is expected that there will be further phases of development to continue to match population growth with high quality education provision designed to meet the needs of local children and young people.</p> <p>In 2018 phase one of the SEN (Special Educational Needs) Sufficiency programme focused on increasing special school places in the Borough as indicated by the rapid growth in demand for all specialist provision. These plans led to increases in places at The Willows School (including post-16 provision), Kelford School and Abbey School.</p> <p>The second phase of SEN Sufficiency focused on the need for more targeted provision for children with Autism Spectrum Disorder (ASD) and led to the development of new units at Wales School, Wath Victoria School and increased places at Milton School. There was also investment identified for post-16 provision at Thomas Rotherham College. As a consequence of this investment Rotherham has been better able to meet the needs of local children with autism and to place them in local schools.</p> <p>The monies for Phase 1 and 2 came from a combination of additional SEND capital funding made available by the Government and an allocation from the existing schools capital budget. In total the allocated budget for these projects was £2,524,000 and 211 places were created.</p>

	<p>The Cabinet report submitted to support Phase 1 (May 2018) suggests that in year 3 funds would be allocated to support sub-regional commissioning of a SEMH provision.</p> <p>Analysis of current data indicates that the number of children and young people with a designated SEMH need requires a distinct provision just for Rotherham. A regional approach would not provide the required capacity and could involve compromise in specification and delivery timescales due to working in partnership with neighbouring Local Authorities.</p> <p>In summary, the opportunity presented is to support children and young people with SEND to achieve improved outcomes through the development of new, modern, and well-designed provision on the Dinnington site which have sufficient space and resources to meet the needs of the children who will attend there . The buildings will provide the opportunity to open a new special school that is dedicated to educating children and young people with Social Emotional and Mental Health needs, and providing safe, modern and well-planned new buildings for children and young people who attend Newman Special School. The upper school at Newman would move to the Dinnington site, providing the space required to do the required capital works on the main school site.</p>
1.3	<p>In addition to capital investment Rotherham is undergoing a period of rapid transformation in relation to SEND services, this includes a review of Rotherham's alternative provision arrangements. The scope of this work includes the pathways and governance relating to this provision. There has also been a significant piece of work, led by Rotherham Clinical Commissioning Group (CCG), to reduce waiting times for assessment for Autism and align the pathway with SEND Services. Rotherham CCG has also developed and implemented the mental health trailblazer. All aspects are captured as workstreams in the SEMH Strategy.</p>
1.4	<p>The main sources of capital are from Capital Maintenance and Basic Need allocations.</p> <p>The Department of Education have already informed Local Authorities that there will be no School Capacity and Planning (SCAP) return to Department of Education (DfE) in 2020. As the SCAP submission is used by DfE to analyse basic need growth and to calculate the basic need allocation for 22/23 it is unclear how this funding will be determined.</p>
1.5	<p>An estates review has been completed on the following SEN Buildings; Newman School, Aspire - Hutton Park, Herringthorpe, Red Barn, St Mary's Rawmarsh and the Rowan Centre.</p> <p>This review has included current numbers, capacity against DfE guidance, condition surveys, current accommodation costs, proposed future works, valuations and opportunities for displacement, re-purposing and capital receipts.</p>

	This review has had contributions from the Rotherham Metropolitan Borough Council (RMBC) Asset Management Team and an external SEN Estate Management Specialist.
2.	Key Issues
2.1	<p>Rotherham currently has two key issues in relation to sufficiency of education for children with special education needs and disabilities that need to be addressed as part of SEN Sufficiency Development Phase 3.</p> <p><i>Issue one – Lack of social, emotional and mental health (SEMH) provision</i></p> <p>The first issue is the lack of dedicated educational provision for children with social, emotional and mental health needs (SEMH). At present children in Rotherham with SEMH needs either attend Rotherham PRU provision at Aspire or Rowan. These provisions can meet need but have physical limitations in terms of building capacity, (both Aspire and Rowan lack suitable accommodation). Children who do not attend Aspire or Rowan are sent out of area to high cost provision.</p> <p>Children and Young People’s Services are currently completing a review of alternative provision and proposing a sustainable model to meet need. The review has already identified that the conflation of specialist provision for children with social, emotional and mental health difficulties within Rotherham’s pupil referral units is problematic. Rotherham is a national outlier in its use of pupil referral unit provision to meet the needs of children who require specialist SEMH placements and a sustainable solution needs to be sought as this does not represent good practice according to regulators.</p> <p>The review has identified a need to separate the delivery of alternative provision at a pupil referral unit and the delivery of education to children who have SEMH needs. As there is no existing provision to meet specialist placement requirements for children with social, emotional and mental health difficulties this remains a significant gap in Rotherham’s SEN sufficiency and without local provision it is possible that, based on the recommendations of the review, Rotherham will have to utilise increased out of area provision for children with these needs.</p> <p>If the Council can identify options to deliver local provision for children with SEMH needs it will enable an agile and credible response to the emerging findings from the review.</p> <p><i>Issue two – Newman Special School Building</i></p> <p>The second issue is that Newman School, Rotherham’s oldest special school, is sited in a building which is no longer of the required standard to effectively deliver education for children and young people with disabilities.</p> <p>Children & Young People’s Services (CYPS) and Regeneration & Environment (R&E) services in Rotherham have completed a condition</p>

	<p>survey of Newman School which has recommended extensive repairs to the existing property or a significant rebuilding programme. The rebuilding programme would necessarily involve educating children off-site in order to free up parts of the school to be rebuilt. A full rebuild of the school would require the identification of an alternative site.</p>
2.2	<p>SEN Sufficiency Phase 3 will seek to ensure the following outcomes are delivered for children and young people with SEN needs.</p> <ul style="list-style-type: none"> – Children and young people with SEMH needs as identified in their Education Health and Care Plans are provided with designated SEMH educational provision in Rotherham. – Reduction in children and young people placed out of area in independent educational provision, due to the availability of specialist SEMH provision in borough. – Reduction in children and young people being placed in undesignated and inappropriate PRU provision to meet SEMH need. – A range and mix of specialist SEN educational provision that better meets current and future needs as identified by SEN data. – Children and young people with learning difficulties and complex health needs are educated in learning spaces and school buildings that are fit for purpose.
2.3	<p>There are a number of options that could address the issues and deliver the outcomes detailed above these include:</p> <ul style="list-style-type: none"> – New build of SEMH school and rebuild of Newman School. – Re-purpose existing RMBC educational buildings. – Purchase new buildings to provide SEMH school and support the incremental rebuild of Newman School. – Do nothing to either PRU provision or the rebuilding of Newman School.
2.4	<p>RNN Group have confirmed that they will cease providing education from their Dinnington College site in Rotherham. This provides RMBC with an opportunity to consider the purchase of some of their buildings in order to respond to current SEND sufficiency issues.</p> <p>An initial expression of interest in these buildings has been submitted to RNN Group from RMBC and regular and detailed discussions have taken place in order to consider the potential and feasibility of this opportunity.</p> <p>This opportunity will be explored as part of the wider options appraisal.</p>
3.	Options considered and recommended proposal
	<i>Strategic Options Appraisal</i>
3.1	New Build
3.1.1	<i>SEMH School</i>

<p>3.1.2</p>	<p>(+)</p> <ul style="list-style-type: none"> - A new building can be built and delivered to meet Rotherham’s specific specifications and requirements. - Rotherham would have new purpose-built provision for the education of children and young people with SEMH needs. <p>(-)</p> <ul style="list-style-type: none"> - Cost of a new build SEMH provision according to DfE and Local Authority data as identified in The Education Building Design Officers Group (EBDOG) report is likely to be between £8-10m. This includes fees, abnormals and prelims. - The costs above exclude the cost of the site, developmental costs and enabling works. - The timescale for the delivery and operationalisation of a new build are likely to be at least 24 months. - There is not a site readily available to build this new provision. <p><i>Newman School</i></p> <p>(+)</p> <ul style="list-style-type: none"> - A new building can be built and delivered to meet Rotherham’s specific specifications and requirements. - Rotherham would have new purpose-built provision for the education of children and young people with learning difficulties and complex health needs. <p>(-)</p> <ul style="list-style-type: none"> - Cost of a new build SEN school provision according to DfE and Local Authority data as identified in The Education Building Design Officers Group (EBDOG) report is likely to be between £10-12m. This includes fees, abnormals and prelims. This is higher than an SEMH school due to increased floor area and specialist provision required. - The costs above exclude the cost of the site, developmental costs and enabling works. - The timescale for the delivery and operationalisation of a new build are likely to be at least 24 months. - There is not a site readily available to build this new provision. - A hydro-therapy pool was built on the Newman site with investment from the DfE in 2019. If this was no longer used due to a new site being identified for Newman School, this investment funding could be clawed back by DfE from RMBC.
<p>3.2</p> <p>3.2.1</p>	<p>Re purpose</p> <p><i>Re configuration of PRU buildings</i></p> <p>(+)</p> <ul style="list-style-type: none"> - Existing PRU buildings could be re-configured to provide PRU and SEMH educational provision. This would provide an efficiency use of existing resource with minimal adaptation and re development costs. <p>(-)</p>

3.2.2	<ul style="list-style-type: none"> - External SEN Estate management specialists have identified through their review of PRU buildings that no one building is big enough to provide SEMH educational provision in line with DfE guidelines. - If all buildings were used together as a multiple split site provision, this would have the required total Gross Internal Floor Area (GIFA) but significant work would need to be undertaken to ensure that the required breakdown of large and small teaching spaces were provided in line with DfE guidance. - The majority of existing PRU buildings are not purpose built educational or PRU buildings and do not currently meet the required specification. - Condition surveys have identified that some of the buildings are in a poor state of repair. - The use of multiple small sites to deliver SEN provision, whilst has benefits of managing small groups of children with complex behaviour, it is not the most efficient or effective use of staff and leadership resource. - DfE guidance on making significant changes to maintained schools including SEN provisions and designations indicates that it is not possible to 're designate' a PRU as a SEMH special school. <p><i>Other RMBC school buildings available</i> (-)</p> <ul style="list-style-type: none"> - The Strategic Asset Management team have reviewed existing RMBC educational and non-educational buildings and have identified no buildings with the required internal and external space, specification and condition that could be adapted and re developed to address the SEN sufficiency issues.
3.3	<p>Purchase</p> <p>3.3.1 <i>Open market</i> (-)</p> <ul style="list-style-type: none"> - The Strategic Asset Management team have also reviewed the open market and there are no current buildings available with the required internal and external space to address the sufficiency issues. - The District Valuer as part of the valuation of the Dinnington College site attempted to benchmark against existing or similar buildings currently or previously on the open market across the South Yorkshire region. The Valuer struggled to identify comparable buildings and used office and industrial properties for the benchmarking purposes. <p>3.3.2 <i>Dinnington College</i> (+)</p> <ul style="list-style-type: none"> - RNN Group are ceasing education delivery from the Dinnington college site. This provides RMBC with the opportunity to purchase existing and modern educational buildings which require minimal adaptation to enable them to respond to the identified SEN sufficiency issues. - A red line site map has been drawn and agreed with RNN Group which will ensure only the required internal and external space is acquired by RMBC.

	<ul style="list-style-type: none"> - The repurposing of the college buildings will ensure education continues to be delivered from a site, buildings and community that has offered this for 92 years. - Following purchase and minimal adaptations the buildings can be brought into operation to deliver SEN education in a relatively short period of time. <p>(-)</p> <ul style="list-style-type: none"> - The acquisition of Dinnington College buildings would require a RMBC capital investment and additional development costs to ensure the building were able to meet the needs of the specific cohorts of children and young people. - The location of the provision in the borough could present accessibility issues to children and young people. However young people from Newman school are currently accessing offsite provision at Independence House, a short distance from Dinnington College. Transport would be provided for children and young people at SEMH provision, as is currently the case.
3.4	Do Nothing
3.4.1	<p><i>PRUs maintained and no designated SEMH provision</i></p> <p>(+)</p> <ul style="list-style-type: none"> - Doing nothing would require no significant capital investment. <p>(-)</p> <ul style="list-style-type: none"> - The placing of children and young people with identified SEMH needs in PRU provision represents a significant Ofsted inspection risk. - If no designated SEMH provision is available in borough, parent/carers will continue to identify and choose Out of Area educational provision for their children, at a high cost to RMBC. - Without a designated SEMH provision Rotherham Council cannot make representation to a Tribunal or dispute resolution hearing to direct a child to attend local provision. - Works totalling £577k have been identified through Condition Surveys that would need to be completed on the PRU buildings within the next twelve months, plus additional capital improvements of £150k also earmarked for the existing PRU's, total £727k.
3.4.2	<p><i>Newman school critical maintenance completed but no re-build</i></p> <p>(+)</p> <ul style="list-style-type: none"> - Doing nothing would require no significant capital investment. <p>(-)</p> <ul style="list-style-type: none"> - A Condition survey has identified that works totalling £456k are required within the next 12 months. This relates to safe, dry and warm works and does not address any of the significant building related challenges that mean the building is not fit for purpose. - The above critical works cannot be completed in school holidays and with all the school in situ. A proportion of the children would need to be de-canted in order for the works to safely take place.

	<ul style="list-style-type: none"> - If alternative provision for the de-cant cannot be identified (eg Dinnington) then modular classrooms would need to be provided on site at a cost of £303k. These costs includes enabling works, services, foundations, 12 month rental of 3 classrooms and removal. - If only critical works are completed at Newman School, this is just postponing the inevitable re-build / re development that is required long term. - If no re-build or redevelopment works are completed at Newman the health and safety risk is not addressed of providing education to vulnerable children and young people in a building not fit for purpose.
3.5	<p><i>Recommended option</i></p> <p>The recommended option is (3.3.2) to purchase Dinnington College, specifically the red line site identified in appendix B which incorporates Block A, C, B and D at Dinnington College.</p> <p>Block A would be adapted to provide a primary and secondary designated SEMH educational provision for up to 125 children and young people, under the DfE Academy / Free school presumption process.</p> <p>Block C and D adapted to provide Upper school provision for c40 young people from Newman School.</p> <p>Block B to be demolished and adapted to provide (along with other outdoor space) the required soft and hard play area for the 2 educational provisions above.</p> <p>A managed transfer of children and young people with SEMH needs from PRUs into the new SEMH provision. This transition will enable the rationalisation (and the associated cost saving) of the PRU provision from 6 buildings to 1.</p> <p>Transfer of the upper school provision from Newman site to Dinnington College. This will enable the works to be completed at Newman school whilst remaining operational for the remaining children and young people. Proposals to consult under the School Organisation (Prescribed Alterations to Maintained Schools) (England) Regulations 2013, would be required to make the Dinnington site a permanent annex of Newman School.</p> <p>Planned works to Newman School include the demolition of the upper school block 947m² and rebuild to the same specification and gross internal floor area (GIFA)..</p>
3.6	<p><i>Rationale</i></p> <p>This recommended option would enable:-</p>

	<ul style="list-style-type: none"> – Children and young people with SEMH needs to be placed in a designated provision, in line with their Education, Health and Care plan. – Reduce the operational and inspection risk of having children place in appropriate educational provision. – RMBC to develop the new SEMH relatively quickly with minimal adaptation costs. – The cost avoidance of not building a new SEMH school. – A partial re-build of Newman School enables an incremental re development of the buildings. This avoids critical maintenance works being completed on poor standard buildings that deliver no long-term solution. – The cost avoidance of a complete rebuild of Newman School. – Options can be presented on the redevelopment of Newman Lower School. However, this building capacity may not be needed if Newman Upper School stay at Dinnington long term. – Increase of SEN sufficiency around SEMH in line the projected sufficiency data. – Combining the SEMH provision currently operating separately at Rowan and Aspire will create efficiencies in terms of staffing and site costs.
3.7	<p><i>Free school application process</i></p> <p>Any new school proposal must be developed under the DfE free school presumption process. The Local Authority has recent previous experience of this process with the establishment of Eastwood Village Primary School and Waverley Junior Academy.</p> <p>The process requires formal notification to DfE and proposals to be drawn up in the form of a prospectus outlining the need for the new school and context. The prospectus and accompanying submission form invites potential sponsors to formally return the submission as part of the sponsor application process.</p> <p>Working in partnership with DfE, a panel representing a range of stakeholders is formed to assess the sponsor submissions and shortlist potential sponsors.</p> <p>Potential sponsors are then invited to deliver a presentation to the panel, followed by a series of pre-determined questions focusing on key elements and aspects of the proposals.</p> <p>Panel Members will then grade the applicants individually and following deliberations agree a preferred sponsor. The Panels preferred sponsor option will be recommended to the Regional Schools Commissioner.</p> <p>Once the preferred sponsor is confirmed and ratified by the Regional Schools Commissioner and Department for Education (DfE), partnership working with the Local Authority can be established from the outset of the project in relation to the establishment of the new school.</p>
3.8	<i>Costing</i>

3.8.1	<p>Dinnington and Newman programme costs can be achieved within the CYPS capital budget across 20/21 and 21/22.</p> <p>A summary of the costs of the recommended option is contained exempt appendix 3.</p> <p>The land and buildings required as outlined in the red line plan Appendix 1 has been independently valued by the District Valuer and the report is contained in exempt Appendix 3.</p>
3.8.2	<p><i>Revenue</i></p> <p>It is estimated based on figures provided by RNN estate department that the building running costs for Block A, C and D will be £391,970 per year.</p> <p>The savings from building running costs for the PRU buildings that would be rationalised will be £328,554 per year.</p> <p>Revenue difference funded through Dedicated Schools Grant (DSG) relating to building and accommodation costs is £63,416</p>
3.8.3	<p><i>Cost avoidance - short term</i></p> <p>Condition surveys have been completed on all the PRU buildings that potentially would be rationalised. The cost avoided from not completing the critical and planned works required on these buildings is £727k. If you add in that only £105k of the critical works (£456k) are required by partially rebuilding Newman (£351k) and the avoidance of modular classrooms (£303k) this equates to £1.381m.</p> <p><i>Cost avoidance - long term</i></p> <p>The availability of an in borough designated SEMH provision will avoid the future use of Out of Area (OOA) Specialist SEMH educational provision e.g. Eastwood Grange and Robert Ogden. Current average cost of these OOA educational placements is £60,000 per year and potential future saving per place is £35,000 per year.</p>
3.8.4	<p><i>Transition and start-up costs</i></p> <p>High level costs have been assumed in the business case to cover the implementation of the proposal. This incorporates the phased occupancy and displacement of buildings and the associated security costs, phased transition of children and young people into new provision and the potential funding of dual placements and the pre start-up costs in line with DfE guidance for new academy schools.</p>
3.8.5	<p><i>Capital Assets</i></p>

	<p>Capital assets that could be available following the rationalisation of PRU buildings have been considered and valued.</p> <p>A number of PRU properties are either leased or have restrictions on their sale from Section 77 of the School Standards and Framework Act 1998 (SSFA 1998).</p> <p>A detailed analysis of the displacement options and implications has been completed by Asset Management. Discussions to explore options will be initiated following the Cabinet decision.</p>
<p>3.9</p> <p>3.9.1</p> <p>3.9.2</p>	<p><i>Future issues for consideration</i></p> <p><i>Sufficiency</i></p> <p>The recommended option incorporating the purchase of Dinnington College and the rationalisation of PRU buildings would increase the overall SEN estate GIFA by 376m2.</p> <p>The recommended option would not increase the total number of SEN places in the borough. The proposal would change the mix of provision in order to better meet current and future sufficiency needs and pressures, as identified in sufficiency data and strategy.</p> <p><i>Future plan for Newman School</i></p> <p>The recommended option proposes a partial re-build of Newman Upper School. This can take place with the lower school in situ and c40 young people from the upper school being educated at Dinnington College block C and D.</p> <p>This option will reduce some of the critical maintenance costs due to the demolition and re-build of 947m2 of the upper school.</p> <p>Following agreement, a co-production approach will be taken to developing the plans for the re-build (within the agreed budget and GIFA) at Newman School with teachers, parent /carers and children and young people.</p> <p>Early discussions with the Head of Inclusion, Head of Access to Education and Headteacher at Newman School, would suggest, long term, Newman Upper School will stay at Dinnington College and the school will operate as a spilt site. This satellite provision will need to be agreed by Cabinet following the prescribed alteration process under the Department for Education's - School Organisation (Prescribed Alterations to Maintained Schools) (England) Regulations 2013. Separate education reports will be brought to Cabinet with proposals to make prescribed alterations and commence the statutory process in due course.</p> <p>Once upper school re-build works are completed at Newman School, consideration will need to be given to the lower school buildings. These</p>

	<p>buildings have a listed vista which will present restrictions to any future options. Options could include redevelopment and refurbishment to develop further education sufficiency, re-purposing of the buildings for alternative uses linked to services to SEN children or the releasing the buildings because they are no longer needed.</p> <p>Newman Additional Resource (NAR) which provides education in separate buildings on site for children and young people with significant and complex learning needs will continue to operate throughout the development works.</p>
4.	Consultation on proposal
4.1	Ward Councillors have been briefed in advance of the Cabinet report.
4.2	Asset Management Board have been regularly briefed and consulted as the options and proposals have developed.
4.3	The Regional Schools Commissioner needs sight on developments. Early input and consultation will be sought to ensure any proposals have their support and guidance is provided on the implementation process.
4.4	Proposed changes to Newman School must follow the prescribed alteration to maintained schools process outlined in section 3 which includes pre-statutory and statutory consultation phases.
4.5	A communication plan will be developed to ensure all stakeholders are consulted, engaged and communicated with at the appropriate time. This includes school staff, parent/carers, Parent Carer Forum and local communities.
5.	Timetable and Accountability for Implementing this Decision
5.1	<p>The following work has been completed to ensure that following Cabinet approval the project is able to initiate implementation with minimum delay:</p> <ul style="list-style-type: none"> – Establishment of a Project Board, with representation from CYPS, SEN, Access to Education, Asset Management, Finance, HR and Communication. – Development of Programme Plan, which identifies the critical path, key milestones and deliverables for all workstreams. – Development of a Communication Plan and Risk Plan. – On-going dialogue with RNN Group in order to ensure all due diligence work is completed in advance of a potential offer for the site. – Displacement plan for buildings potentially not needed in future SEN provision. – High level mapping of the free school academy presumption process

5.2	It is recognised that this preparatory work has been completed in advance of the Cabinet approval. All internal officers involved with this work are aware that this work is 'at risk' due to being in advance of any Cabinet decision.
5.3	Following the Cabinet decision implementation will be overseen by the Project Board and regular updates provided to the Directorate Leadership Team (DLT) and Senior Leadership Team (SLT) where appropriate and requested.
6.	Financial and Procurement Advice and Implications (to be written by the relevant Head of Finance and the Head of Procurement on behalf of s151 Officer)
6.1	<p>As outlined in the report there are four possible options in order to provide suitable education accommodation to address the current building and provision issues:-</p> <ul style="list-style-type: none"> - New build of SEMH school and rebuild of Newman School. - Re-purpose existing RMBC educational buildings. - Purchase new buildings to provide SEMH school and support the incremental rebuild of Newman School. - Do nothing to either PRU provision or the rebuilding of Newman School.
6.2	<p><u>Capital</u> New Build of SEMH school and rebuild of Newman School would be an expensive option and would cost between £18m - £22m</p>
6.3	<p>Do Nothing whilst low cost is not really an option due to the condition of the Newman School and current SEMH provision on the PRU sites. This proposal would still require critical capital works of £1.381m</p>
6.4	<p>Re-purpose existing PRU buildings to develop a designated SEMH educational provision. The reconfiguration of the PRU buildings would still require critical works of £727k based on stock condition surveys received but would not address the Newman building condition issues.</p>
6.5	<p>Purchase Dinnington Site, Rebuild part Newman site and displace PRU Buildings (proposed option) This option would utilise the majority of uncommitted school capital funds for the 2020/21 and 2021/22 financial years and is estimated to cost in total £5.747m. Any cost overrun would be funded from future years school's capital allocations.</p> <p>This option would also address the Newman building condition issues and release a number of current buildings, with potential capital receipts of £160k.</p>
6.6	<p><u>Revenue</u> Dedicated Schools Grant The SEMH and PRU provisions are funded from the High Needs Block of the Dedicated Schools Grant, with funding allocated on a per place basis. An</p>

	<p>SEMH place will cost circa £25,000 per annum, with a Primary PRU place £19,500 and a Secondary PRU place at £17,500 per annum.</p> <p>It is estimated that per place funding allocations will be sufficient to enable the new SEMH provision once established to be able to operate within the funding per pupil allocation on the new site and the PRU in its existing building.</p> <p>Set up costs of the new Special Academy would be funded from the High Needs Block and there would be potential duplication of funding initially whilst the new provision is established prior to transition from the current PRU/ SEMH provisions.</p> <p>The introduction of a new SEMH provision will assist in avoiding future high cost Independent Specialist Provision (ISP) by having a local provision within Rotherham. There were 70 pre 16 ISP placements in 2019/20 at a cost of £4.08m, the average cost was £60,000 per place with 17 new starter last financial year. If the number of places can be reduced and retained in the SEMH provision it will support reduced spend on the High Needs Block.</p>
6.7	<p>Building Displacement Costs If the Repurpose or Do Nothing options are chose there will be no impact on general fund.</p>
6.8	<p>If the recommended option is agreed there would be the purchase of the new Dinnington Site and displacement of 5 PRU buildings and also avoidance of the requirement for a further two buildings.</p>
6.9	<p>Dinnington – following purchase the premise and security costs to protect the site would need to be funded from revenue and is estimated to cost £19,500 (November 20 to January 21) prior to operation of the new education provision.</p>
6.10	<p>PRU buildings – these would be displaced at the end of the academic year (July 2021) and then the premise and security costs would be funded from general fund until disposed or an alternative use determined, where not retained as an educational asset and transferred to a Multi Academy Trust.</p>
6.11	<p>Home to School Transport –RMBC Transport team have completed a detailed cost analysis of the home school transport implications for the proposal outlined in the paper.</p> <p>It is anticipated that because transport can be shared to one location, the new proposal could deliver some savings. The precise amount of savings would need to be confirmed following more detailed planning of each transport route.</p>
	<p>Procurement The purchase of land at Dinnington would not incur any direct procurement implications. However, the proposed building works and ongoing support and maintenance identified within the recommended option would require</p>

	procurement activity to be undertaken in line with the Public Contracts Regulations 2015 and the Council's own Financial and Procurement Procedure Rules.
7.	Legal Advice and Implications (to be written by Legal Officer on behalf of Assistant Director Legal Services)
7.1	Section 14 Education Act 1996 requires a local authority to have regard to securing SEN provision is made for pupils with SEN Needs. Following enactment of The Children and Families Act 2014, the Local Authority retains responsibility for commissioning services for vulnerable children and young people with SEN and to keep such provision for children and young people with SEN and disabilities under review including its sufficiency (s.315 Education Act 1996), and to promote wellbeing and improve quality, working in conjunction with parents, young people, and providers. The Act is clear that, when considering any re-organisation of provision, decision makers must be clear how they are satisfied that the proposed alternative arrangements will lead to improvements in the standard, quality and/or range of educational provision for children with SEN.
8.	Human Resources Advice and Implications
8.1	Both the Rowan and Aspire PRUS are Local Authority maintained provisions. Should the Council choose to progress the plans to proceed to create a new SEMH Academy provision then staff will be subject to a Transfer of Undertakings (Protection of Employment) (TUPE) process to the new provider as per academisations rules.
9.	Implications for Children and Young People and Vulnerable Adults
9.1	SEND places created within the borough will give more children and young people the opportunity to access high quality provision in the local area in line with their needs.
10.	Equalities and Human Rights Advice and Implications
10.1	Section 149 of the Equality Act 2010 requires that public bodies, in exercising their functions, have due regard to the need to:- i. eliminate discrimination, harassment, victimisation and other unlawful conduct under the Act, ii. advance equality of opportunity and iii. foster good relations between persons who share a protected characteristic and persons who do not share it.
10.2	Part A of the Equalities Impact Assessment has been completed.

	Full assessment (part B) will be completed as part of each workstream within the implementation plan. All relevant consultation information and data will be used to inform and complete the full assessment.
11.	Implications for Ward Priorities
11.1	Ward Councillors have been briefed about the proposal and the potential outcomes for children.
12.	Implications for Partners
12.1	This paper has been developed in partnership with colleagues from CYPS, R&E and Finance. An established Project Board, with representation across Directorates will ensure the partnership continues and implications across all areas are considered and managed effectively. Education Partners will be fully involved with the development and implementation of plans where required and appropriate.
13.	Risks and Mitigation
13.1	This report relates to three key corporate risks for the Council. The risk of inspection failure in PRU educational provision, the health and safety risk to vulnerable children and young people in sub-standard educational buildings and the financial risk of exceeding agreed capital and revenue budgets.
13.2	The proposal will seek to address the inspection and health safety risk and ensure Rotherham's children and young people are provided with the designated educational provision that meets the needs identified in their EHC plans in buildings that are fit for purpose.
13.3	The financial risks will seek to managed through cross directorate approach to the project implementation, robust governance, detailed costs plans and transparent management of risk.
14.	Accountable Officers
	Jenny Lingrell, Joint AD Commissioning, Performance and Inclusion Mary Jarrett Head of Inclusion William Shaw Head of CYPS Development Programmes Rob Holsey CYPS Asset 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	05/11/20

Head of Legal Services (Monitoring Officer)	Stuart Fletcher	05/11/20
--	-----------------	----------

Report Author: William Shaw Head of CYPS Development Programmes **Error!**
Reference source not found. 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: SEND Sufficiency Development Phase 3		
Directorate: Children and Young People's Services	Service area: Special Education Needs and Disability (SEND)	
Lead person: William Shaw	Contact number: 07585 795 977	
Is this a:		
<input type="checkbox"/> Strategy / Policy	<input checked="" type="checkbox"/> Service / Function	<input type="checkbox"/> Other
If other, please specify		

2. Please provide a brief description of what you are screening
<p>A proposal to address current and future Special Education Needs and Disability (SEND) sufficiency issues that have been highlighted by SEND data and identified in the Rotherham SEND Sufficiency and Social Emotional Mental Health Strategies.</p> <p>Rotherham currently has two key issues in relation to sufficiency of education for</p>

children with special education needs and disabilities that need to be addressed.

1. There is a lack of designated social, emotional and mental health (SEMH) educational provision
2. Newman Special School building needs extensive work in order to bring it to the required standard to effectively deliver education for children and young people with disabilities

A strategic options appraisal outlines four different approaches to responded to the issues identified and deliver the required outcomes for Rotherham children and young people. The four approaches are new build, re purpose of existing educational buildings, purchase new buildings or do nothing

The recommended option incorporates the purchase of Dinnington college, specifically the red line site identified in appendix B which incorporates Block A, C, B and D at Dinnington college.

Block A would be adapted to provide a primary and secondary designated SEMH educational provision for up to 125 children and young people, under the DfE Academy / Free school presumption process.

Block C and D adapted to provide Upper school provision for c40 young people from Newman School.

Block B to be demolished and adapted to provide (along with other outdoor space) the required soft and hard play area for the 2 educational provisions above.

A managed transfer of children and young people with SEMH needs from PRUs into the new SEMH provision. This transition will enable the rationalisation (and the associated cost saving) of the PRU provision from 6 buildings to 1.

Transfer of the upper school provision from Newman site to Dinnington College. This will enable the works to be completed at Newman school whilst remaining operational for the remaining children and young people. Proposals to consult under the School Organisation (Prescribed Alterations to Maintained Schools) (England) Regulations 2013, would be required to make the Dinnington site a permanent annex of Newman School.

Planned works to Newman school include the demolition of the upper school block 947m² and rebuild to the same specification and GIFA.

The proposed option will enable

- Children and young people with SEMH needs to be placed in a designated provision, in line with their Education, Health and Care plan.
- Reduce the operational and inspection risk of having children place in appropriate educational provision.
- RMBC to develop the new SEMH relatively quickly with minimal adaptation costs
- The cost avoidance of not building a new SEMH school.

- A partial re-build of Newman School enables an incremental re development of the buildings. This avoids critical maintenance works being completed on poor standard buildings that deliver no long-term solution.
- The cost avoidance of a complete rebuild of Newman school.
- Options can be presented on the redevelopment of Newman lower School. However, this building capacity may not be needed if Newman upper school stay at Dinnington long term.
- Increase of SEN sufficiency around SEMH in line the projected sufficiency data.
- Combining the SEMH provision currently operating separately at Rowan and Aspire will create efficiencies in terms of stream-lining leadership and site costs.

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	
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)</i>	x	

business partner)

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?**

Rotherham Council is ambitious and wants to achieve good outcomes for children and young people particularly those with special education needs and disabilities. The newly published Special Education Needs and Disability (SEND) Strategy details Rotherham's four over-arching strategic outcomes for children and young people with SEND which are:

Wellbeing: All children and young people in Rotherham with SEND to enjoy good physical and mental health.

Preparation for adulthood: All young people in Rotherham with SEND are well prepared and supported to exercise choice and control that enable them to enjoy fulfilling lives.

CYP and parents voice: All Children and Young People in Rotherham with SEND and their families have their voices heard and this makes a difference to their experiences and outcomes.

Whole child progress: All children and young people in Rotherham with SEND have positive opportunities to make progress in a person-centred way.

Rotherham's SEND strategy was produced in partnership with parent, carers and Children with SEND at a co-produced Voices Day held in November 2019. The strategy includes a focus on the concerns of families and children to ensure that to meet the needs of children and young people with social, emotional and mental health issues are

met.

Social, emotional and mental health (SEMH) issues can include a diagnosis of ADHD, attachment issues, a diagnosed mental illness such as depression or anxiety and sometimes includes mental health issues experienced by young people with autism spectrum conditions.

Accordingly, there is a Rotherham SEMH strategy in place to address these needs and one of the strategic actions within the SEMH Strategy is to address education sufficiency needs for children with SEMH as at present Rotherham has no designated provision to meet the needs of children who need to attend a specialist SEMH School.

Currently requests for Education, Health and Care plans (EHCP) for children with SEMH needs comprises 47% of all current requests for assessment. In numbers this equates to 290 children being assessed for this education need within the last 18 months. (January 2019-June 2020). It is evident that this is an increased and ongoing demand for specialist SEMH education provision.

See SEND Sufficiency Strategy and data for further demographic detail and information.

Issues around race, disability, maternity, belief, gender and sexual orientation will be carefully considered in the decision making process for educational provision for individual children and young people as part of the new provision.

Children and young people with the protected characteristics above will be involved with the development of the new education provision and associated educational spaces.

- **Key findings**

SEND children are some of Rotherham's most vulnerable children. This proposal will seek to improve the health, social care and education outcomes and address inequalities for these children.

The proposal will ensure more of Rotherham children how education provided in designated provision linked to the needs identified in their Education, Health and Care plan.

It will ensure children with disabilities are provided with education in buildings and educational spaces that meet their needs.

It will also ensure more Rotherham children have their specific educational needs met in Rotherham, close to families and local communities.

Children being educated in Rotherham will enable them to access local services, help and support more easily.

The SEND Sufficiency Strategy provides detailed information on the profile of SEND children in Rotherham. This information will inform the development and implementation of the proposal.

- **Actions**

A range of approaches will be used to ensure that SEND children and parent / carers play a key part in design, delivery and implementation of the proposal.

The parent care forum will be a significant stakeholder in the planning of effective consultation and also ensuring the views of parent / carers is heard and acted upon.

Frontline staff, partner agencies, foster carers and parents / carers will also be consulted and be able inform the developments and implementation.

The development of designated SEMH educational provision will ensure that Rotherham SEND children are educated for in a range of settings by consistent, trained and well supported staff.

Date to scope and plan your Equality Analysis:	29/09/20
Date to complete your Equality Analysis:	11/12/20
Lead person for your Equality Analysis (Include name and job title):	William Shaw CYPS Head of Development Programmes

5. Governance, ownership and approval

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

Name	Job title	Date
Jenny Lingrell	Assistant Director Commissioning, Performance & Inclusion	29/09/20
Steve Eling	Policy and Equalities Manager	29/09/20

6. Publishing

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

If this screening relates to a **Cabinet, key delegated officer decision, Council, other**

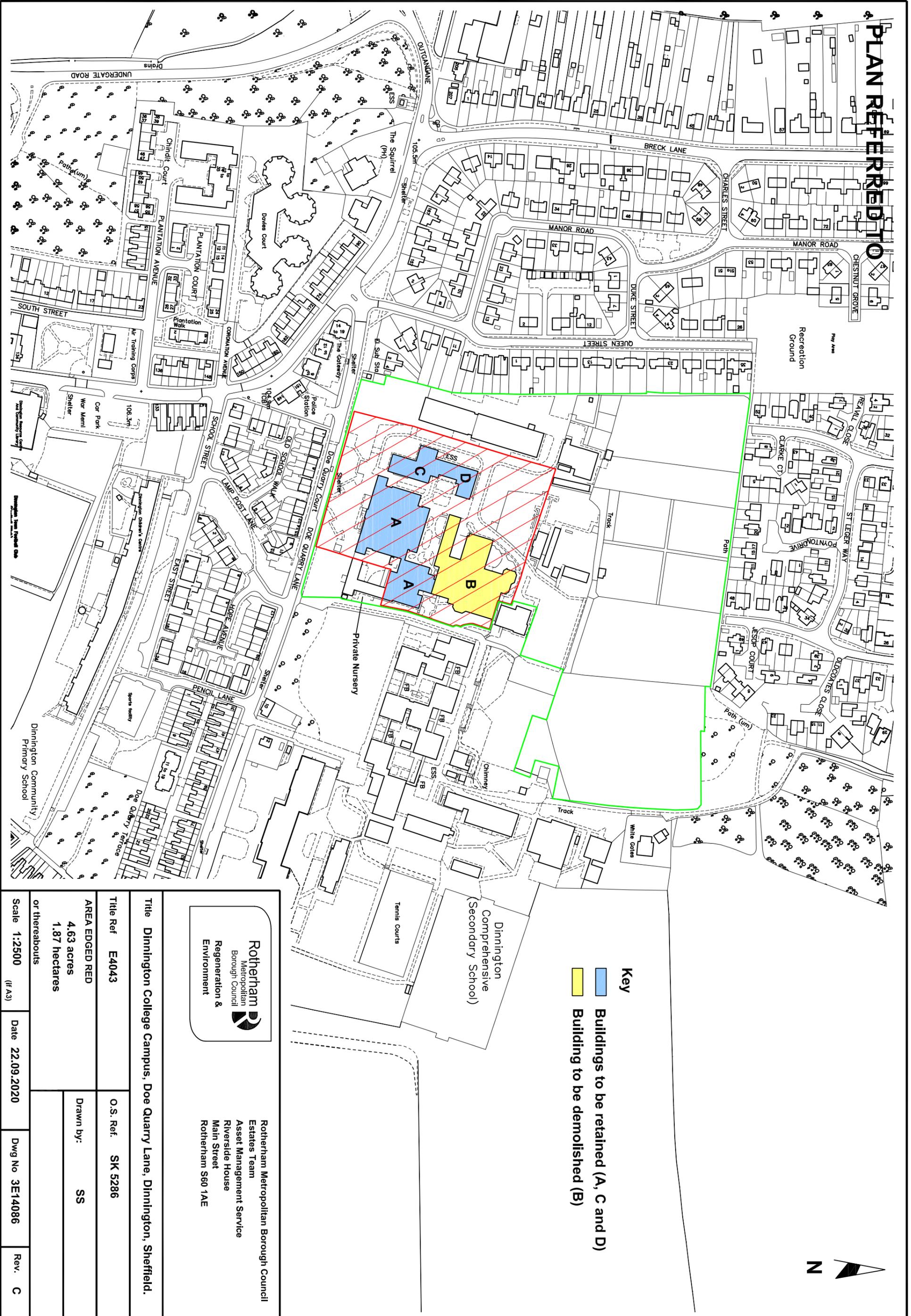
committee or a significant operational decision a copy of the completed document should be attached as an appendix and published alongside the relevant report.

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

Date screening completed	
Report title and date	
If relates to a Cabinet, key delegated officer decision, Council, other committee or a significant operational decision – report date and date sent for publication	
Date screening sent to Performance, Intelligence and Improvement equality@rotherham.gov.uk	

This page is intentionally left blank

PLAN REFERRED TO



- Key**
- Buildings to be retained (A, C and D)
 - Building to be demolished (B)



Rotherham
Metropolitan
Borough Council

Regeneration &
Environment

Rotherham Metropolitan Borough Council
Estates Team
Asset Management Service
Riverside House
Main Street
Rotherham S60 1AE

Title Dinnington College Campus, Doe Quarry Lane, Dinnington, Sheffield.			
Title Ref E4043	O.S. Ref. SK 5286		
AREA EDGED RED 4.63 acres 1.87 hectares or thereabouts	Drawn by: SS		
	Scale 1:2500 (if A3)	Date 22.09.2020	Dwg No 3E14086
		Rev. C	

This page is intentionally left blank

By virtue of paragraph(s) 3 of Part 1 of Schedule 12A
of the Local Government Act 1972.

Document is Restricted

This page is intentionally left blank

By virtue of paragraph(s) 2, 3 of Part 1 of Schedule 12A
of the Local Government Act 1972.

Document is Restricted

This page is intentionally left blank

Committee Name and Date of Committee Meeting

Cabinet – 23 November 2020

Report Title

Equalities Review – going for “Excellent” accreditation

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

Yes

Strategic Director Approving Submission of the Report

Sharon Kemp, Chief Executive

Report Author(s)

Jackie Mould,
Head of Policy Performance & Improvement
Chief Executive’s
Jackie.mould@rotherham.gov.uk

Steve Eling
Policy and Equalities Manager
Chief Executive’s
Steve.eling@rotherham.gov.uk

Ward(s) Affected

Borough-Wide

Report Summary

The Council is committed to seeing a borough based on equality and social justice where all residents have a good quality of life and able to achieve their potential.

In pursuit of that end, this report brings forward a comprehensive and wide-ranging programme of action structured around achieving nationally accredited status for equalities aligned with a range of measures to tackle inequalities, discrimination and prejudice in partnership with other organisations and communities, as set out in the Council’s Year Ahead Plan.

Recommendations

1. To approve and endorse the programme of work to review and further strengthen the Council’s approach to equalities.

2. To note that the equalities work will be framed around the four key lines of enquiry of the Equalities Framework for Local Government:
- Understanding and working with your communities.
 - Leadership and organisational commitment.
 - Responsive services and customer care.
 - Diverse and engaged workforce.

List of Appendices Included

Appendix 1 Equality Framework for Local Government (EFLG) 2020 version (LGA)

Background Papers

Equality and Diversity Plan (October 2018)

<http://modgov-p-db/documents/s115820/Appendix%20B%20DRAFT%20Equalities%20and%20Diversity%20Programme%20Plan%20v.3.pdf>

Peer review final report

<http://modgov-p-db/documents/s115819/Appendix%20A%20-%20EFLG%20Report%20Rotherham%20MBC%20Developing%20Final%20Report.pdf>

Consideration by any other Council Committee, Scrutiny or Advisory Panel

Overview and Scrutiny Management Board – 23 October 2020

Council Approval Required

No

Exempt from the Press and Public

No

Equalities Review – going for “Excellent” accreditation Equalities Review – going for “Excellent” accreditation

1.	Background
1.1	The Council is committed to see a borough based on equality and social justice where all residents have a good quality of life and able to achieve their potential.
1.2	As part of this commitment, the Council’s Year Ahead Plan makes “Equalities and Social Justice” a cross-cutting priority.
1.3	<p>To this end the Council is seeking to use the Equality Framework for Local Government to demonstrate its progress in addressing inequalities and social justice namely:</p> <ul style="list-style-type: none"> • Overcoming unfairness caused by lack of access to economic opportunities. • Seeing an improvement in the life chances and opportunities of disadvantaged communities facing social barriers and affected by poverty and unemployment. • Making sure that services and information are accessible to all and taking action when decisions or policies are unfair or discriminatory. • Developing a positive environment and removing barriers to participation so that residents are able to contribute to decisions that affect their lives and their communities. • Inclusive communities where people feel safe, have a sense of ownership, and feel confident in reporting incidents of abuse or discrimination.
1.4	A multi-faceted programmed approach will achieve “Excellent” accreditation under the “Equality Framework for Local Government” (EFLG) building an evidence base and actions to tackle inequalities and deprivation.
1.5	The recommended approach will seek value outcomes as part of the process of the EFLG, aligning work around socio-economic inequalities, community wealth building and social value together with Health and Wellbeing Board actions to address inequalities in health. It will also incorporate an approach to the Public Sector Equality Duty and relate to the Council’s “Black Live Matter” resolution.
2.	Key Issues
2.1	Equalities affect every person in society. Everyone has at least three protected characteristics under the provisions of the law – gender, ethnicity and age. Many in society have additional protections depending on their circumstances.

2.2	The key message underpinning equalities in Rotherham and the driving force behind the equalities review is that equalities affect everyone and is everyone's business.
2.3	A combination of economic, social and cultural factors impacts on equalities and drive inequalities in society. Prejudice and disadvantage can combine to have compound impacts that result in long term disadvantage that result in deep rooted issues such as child and family poverty, passing poverty from one generation to the next, and impacts on poor health.
2.4	<p>Taking forward equalities in Rotherham now combines achieving "Excellent" accreditation under the EFLG along with a proactive approach to tackling those issues that create inequalities and discrimination and prejudice. To this end, the Equalities review will positively act on and promote the four key lines of enquiry of the Equalities Framework for Local Government linking in a range of activity around tackling inequalities as set out in the Council's Year Ahead Plan:</p> <ul style="list-style-type: none"> • Understanding and working with your communities. • Leadership and organisational commitment. • Responsive services and customer care. • Diverse and engaged workforce.
2.5	The review process will be underpinned by good data and intelligence including Joint Strategic Needs Assessment (JSNA) baselines and benchmarking. It will bring to the fore delivering the Public Sector Equality Duty, and the commitments demonstrated by the Council in its "Black Lives Matter" resolution, putting communities at heart of everything the Council does.
2.6	The scope and governance of the review will be dynamic, engaging the Council's staff and bringing about change in culture of the organisation. Driven by outcomes it will build a deeper understanding and empathy about equalities and social justice, and the confidence of staff to incorporate equalities into service design and delivery.
2.7	<u>Black Lives Matter</u>
2.8	<p>At its meeting on 22nd July 2020, the Council passed the following motion.</p> <ul style="list-style-type: none"> • This Council commits to making Rotherham an anti-racist town and will: <ul style="list-style-type: none"> ○ Stand in solidarity with our black and minority ethnic communities, in Rotherham and around the world. ○ Work with local communities, listen to them, so we can better understand the racism they experience and the challenges that they face, including in areas such as local policing and the increased risks from Covid-19.

	<ul style="list-style-type: none"> ○ Strengthen our anti-racism approach and ensure all staff participate in activity/training that supports them to address prejudice and bias, including where necessary their own. ○ Report annually on how council services are responding to the different needs of people with protected equalities characteristics, setting out an annual plan to meet the needs of people from different backgrounds, addressing inequalities, and ensuring that the Council is meeting its obligations.
2.9	<u>The Equality Framework for Local Government</u>
2.10	The Equality Framework for Local Government is the national benchmark for equalities good practice, with accreditation undertaken by peer review.
2.11	Use of the framework will provide the platform to align all aspects of the Council's work around equality, inequalities and the Public Sector Equality Duty, promoting quality outcomes and best practice.
2.12	Accreditation under the framework follows four key lines of enquiry: <ul style="list-style-type: none"> ● Understanding and working with your communities. ● Leadership and organisational commitment. ● Responsive services and customer care. ● Diverse and engaged workforce.
2.13	There are then three levels used for assessment: <ul style="list-style-type: none"> ● Excellent ● Achieving. ● Developing.
2.14	A peer review undertaken in 2017 placed the Council at the "Developing" level. Under the Equalities Review, the Council is aiming to achieve "Excellent" by 2022.
2.15	Full details of the Equality Framework for Local Government (EFLG) and its key lines of enquiry at attached at appendix 1.
2.16	The EFLG has been updated since the 2017 peer review to reflect the latest legislation affecting equality such as gender pay gap reporting, GDPR, the changing context of local government and equality in Britain and other issues that might affect equality including the UK's decision to leave the EU.
2.17	<u>Theme: Gender pay gap</u>
2.18	In collecting, analysing and publishing workforce data different criteria levels now include the gender pay gap. Within the developing criteria for collecting, analysing and publishing workface data organisations are expected to report annually on the gender pay gap. For the achieving level criteria organisations are expected to be reducing the gender pay gap and

	addressing any race pay gap. Additionally, the achieving level criteria specifies there is evidence that the organisation is actively working on reducing its gender pay gap. The excellent level criteria does not specify the gender pay gap, however, it specifies the organisation must consider pay gaps across other areas of inequality such as religion, belief, race/ethnicity, age, disability etc.
2.19	Theme: GDPR
2.20	The developing criteria expects authorities to be compliant with GDPR legislation in its collection, analysis storage and use of data and information. For developing level criteria, the authority must be complaint with GDPR legislation, analysis and use of data and information. In developing level criteria, organisations must ensure GDPR processes are in place and regulations are being met. Both excellent and achieving levels do not mention GDPR criteria due to it being a basic requirement that is expected of excelling organisations.
2.21	Baselines and benchmarks
2.22	<p>A revised self-assessment against the key lines of enquiry from the 2017 review has been completed which shows:</p> <ul style="list-style-type: none"> • The peer review undertaken in 2017 placed the Council at the “Developing” level. There has been significant progress to action the recommendations from this peer review. Examples include that: <ul style="list-style-type: none"> ○ The equalities training offer has been refreshed, including the compulsory e-learning for all staff. ○ The equality analysis process and guidance has been developed, including making it a requirement that an initial screening is undertaken as a minimum for all Cabinet and OSMB reports. OSMB have taken a proactive and leading role in ensuring that equality analyses are undertaken. ○ Equality implications are now considered as part of all Cabinet reports, which is helping to embed consideration of equalities within decision-making. ○ Performance management arrangements have been strengthened in relation to the equality duty. This has included the development of Council Plan measures relating to equalities, as well as the inclusion of equalities within service planning. ○ A Consultation and Engagement Strategy and Toolkit has been developed, outlining clear standards for the consultation process. ○ The Thriving Neighbourhoods strategy and approach is fostering meaningful and positive engagement with communities. This was also integral to the Council’s response to COVID-19. ○ The Social Value Policy has been developed, which includes a specific outcome and measures around equality of opportunity for disadvantaged people and communities including disabled people.

2.23	Self-assessment 2020
2.24	An initial assessment against the key lines of enquiry has been undertaken, with opportunities for improvement outlined below. This will be the basis of a more comprehensive self-assessment, which will shape the development of the programme plan.
2.25	Understanding and working with your communities
2.26	Excellence criteria requires a comprehensive set of information about local communities and protected characteristics needs and outcomes. A key for excellence is the council having demographic and ward level data. There is a need to update figures on a regular basis and currently this criterion is not being met. Examples include updating the JSNA website regularly and inputting census 2021 data when it's published.
2.27	A systematic and consistent approach is also needed to address issues around the quality and collection of equality data in all services. Corporately, officers need to be upskilled to utilise Power BI's analytics to predict and target service interventions allowing services to take a tailored approach to tackling equalities issues.
2.28	There is currently a lack of evidence available around RMBC's communication channel engagement, particularly those from under-represented backgrounds. Equality data needs to be consistently recorded to understand whether more targeted approaches are needed to reach as many service users as possible.
2.29	Whilst many elected members have participated in training around equalities, there is an opportunity to further embed this and promote this training for all elected members as part of the member development programme.
2.30	COVID-19 has exacerbated inequalities, with the Trussell Trust forecasting a 61% increase in food parcels needed across its UK network in October to December amongst the most deprived communities. It is therefore crucial that the council continues to engage with VCS and elected members to tackle these issues. Building on the learning from the pandemic, there is an opportunity to improve engagement and awareness of grassroots community groups and networks.
2.31	Leadership and Organisational Commitment
2.32	A key action point raised in this area is that the corporate equality objectives need to be refreshed, as the Equality for All Strategy 2016-2019 has now come to end. This will be embedded as an integral part of all service delivery, as highlighted by the Equality Peer Review Self-Assessment.

2.33	The equality peer review also suggested that the equality objectives should be annually reviewed to track performance and emerging priorities. Since the peer review, this recommendation has been actioned, but reporting arrangements could be strengthened to enhance strategic and member oversight of the delivery of the equality objectives. The peer review further recommended specific outcome-oriented objectives as helpful in implementing equalities at service level. This recommendation will inform the refresh of priorities.
2.34	The peer review also highlighted that action should be taken to ensure equality and diversity are key components of the Workforce Strategy, including defining relevant outcomes and objectives. A new workforce strategy will be developed to align with the Council's 3 year plan from May 2021 with explicit links to inequalities. In the meantime an interim Organisational Development plan is currently in place and will prioritise activity in relation to inequalities.
2.35	Leadership from members, including Cabinet and senior officers is critical to the whole of the equalities process, not just the key lines of enquiry for the EFLG and there is full leadership support to achieving 'excellence.' There is full support and commitment from the Cabinet and Strategic Leadership Team to the Equalities Review and achievement of 'Excellent' accreditation.
2.36	<u>Responsive services and customer care</u>
2.37	Excellence level criteria states the council must demonstrate that commissioned/procured services are helping it achieve its equality priorities. The council signed off the use of social value to be included in all contracts awarded over £100,000 since October 2019 with implementation occurring in December that year. From November 2020, data produced from the Social Value Portal will feed into an annual report looking at social value benefits in the local economy.
2.38	Looking ahead, it is important to capture the policy developments and new practices around co-design through commissioning practices. This includes how stakeholders and communities are engaged to embed equalities and tackle inequalities and deprivation as an embedded part of the process.
2.39	<u>Diverse and Engaged Workforce</u>
2.40	In order to ensure an engaged and diverse Council workforce, there are some key actions to be taken. In particular, workforce equalities data needs updating, with this work currently ongoing and a full analysis to be included in annual reports. Previous work, such as the previous self-assessment and workshops undertaken with staff have suggested that the Council's workforce does not currently mirror the local population in all areas.
2.41	It is also a priority to build a more consistent understanding around equalities within the Council's workforce. The Peer Review suggested that the extent to which Council staff understand and implement equalities

	principles is unclear, which has been reiterated through more recent workshops undertaken with staff. Suggestions for improvement focus on embedding and centring equalities in Council activities while also improving equality and diversity learning opportunities, with the need for greater staff learning and development. Whilst compulsory e-learning has been introduced for staff covering a range of equality issues, there is a commitment to make this training much more inter-active to aid a deeper understanding
2.42	<u>Joint strategic needs assessment</u>
2.43	The Joint Strategic Needs Assessment for Rotherham (JSNA) underpins much of the work being taken forward to tackle inequalities, achieve thriving neighbourhoods and produce profiles at ward levels.
2.44	Refreshing and updating the JSNA is a critical piece of work being undertaken to support progressing the priorities and objectives of the Year Ahead Plan.
2.45	The JSNA will also provide an ongoing resource of data and intelligence, underpinning the work on equalities and tackling inequalities.
2.46	<u>Public sector duty regarding socio-economic inequalities & Public sector equality duty</u>
2.47	<p>It is broadly recognised that there are duties relating to the “Protected Characteristics set out in the Equality Act 2010 (c. 15):</p> <ul style="list-style-type: none"> • Age. • Disability. • Gender reassignment. • Marriage or civil partnership. • Pregnancy and maternity. • Race. • Religion or belief. • Sex. • Sexual orientation. <p>Other aspects of the Equality Act duties often receive less attention.</p>
2.48	As Part of the Equality Review, other duties will also be addressed.
2.49	<u>Public sector duty regarding socio-economic inequalities</u>
2.50	An authority, when making decisions of a strategic nature about how to exercise its functions, have due regard to the desirability of exercising them in a way that is designed to reduce the inequalities of outcome which result from socio-economic disadvantage.
2.51	<u>Public sector equality duty</u>

2.52	<p>A public authority must, in the exercise of its functions, have due regard to the need to:</p> <ul style="list-style-type: none"> (a) Eliminate discrimination, harassment, victimisation and any other conduct that is prohibited. (b) Advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it. (c) Foster good relations between persons who share a relevant protected characteristic and persons who do not share it.
2.53	<u>Community challenges and outcomes</u>
2.54	<p>As part of the Equalities Review, it will be necessary to ensure that Rotherham residents and organisations are engaged effectively in order to understand from their perspective, what is working well and the areas of activity that need further attention. The engagement should also incorporate a co-design process to identify with communities the relevant equalities approaches and priorities that would make most impact.</p>
2.55	<p>The engagement will be underpinned by an open and honest dialogue with communities on current issues and priorities. This will help to understand any concerns and build on the positive relationships that exist within different directorates over a long period of time, as well as most recently from the experience of joint working across public and voluntary sectors to support local communities during the pandemic.</p>
2.56	<p>When thinking through the issues around community engagement it is important to bear in mind that a 'one size fits all' approach will not be effective - engagement needs to be flexible and adaptable to fit the requirements of different communities and groups.</p>
2.57	<p>At one level it is possible to look at all Rotherham residents as a single community. However, there are a wide range of perspectives and individual backgrounds below this level. It would be useful to look at engagement for communities of geography (e.g. neighbourhoods) and communities of interest/identity (e.g. LGBTQI, disabled, faith). Even at this level there should not be an assumption of homogeneity – individuals may identify themselves by a combination of characteristics such as sexual orientation, sex, age, race, faith, disability, residential neighbourhood, income level or profession. At a minimum, engagement with the protected characteristics groups will be undertaken.</p>
2.58	<p>The ongoing impact of the COVID pandemic will need to be taken into account but it is envisaged that there will be a number of digital and face to face approaches to engagement for the Equalities Review, dependent on the government guidance and restrictions in place during the next few months. Many local residents came forward as volunteers to support the Rotherham Community Hub and there is potential to further support these Rotherham Heroes through ongoing engagement activity.</p>

2.59	<p>To support the development of an engagement plan, a stakeholder analysis is being undertaken to:</p> <ul style="list-style-type: none"> • Map the range of communities and groups currently in touch with directorates within Rotherham MBC. • Design appropriate methods to engage different subsets of groups incorporating generic and targeted approaches. • Identify gaps where further tailored development work may be required.
2.60	<p>Work will be undertaken through existing groups and new contacts will also be developed through this process. The promotion of genuine and diverse local voices and active citizenship will be among the aims of the engagement. This will help to strengthen engagement arrangements for future work and to build community confidence and resilience.</p>
2.61	<p><u>Members engagement</u></p>
2.62	<p>Further to their consideration of the VCS Infrastructure Cabinet report on 16th September 2020, including its references to the Equalities Review, OSMB have set up a member working group to contribute to and inter-relate with the Equality Review. An initial meeting of scrutiny members held on the 23rd October 2020 considered how they can be involved, not just in scrutinising recommendations but also contributing to developments in the review.</p> <p>Further consideration will involve:</p> <ul style="list-style-type: none"> • Members aligning with KLOEs and other actions within the review. • Acting as a “sounding board” for potential actions ahead of formal reports and recommendations. • Identifying how scrutiny reviews can contribute to taking forward the equalities agenda.
2.63	<p><u>Governance of review</u></p>
2.64	<p>Strategically, the Review will be led and co-ordinated by the Chief Executive’s Policy, Performance and Intelligence Service, forming a core team which will then engage across services, community and partners.</p>
2.65	<p><u>Programme of review</u></p>
2.66	<p>The full programme of review will be framed around eight key lines of enquiry Four are the thematic blocks of the EFLG:</p> <ul style="list-style-type: none"> • Understanding and working with your communities. • Leadership and organisational commitment. • Responsive services and customer care. • Diverse and engaged workforce.

	The approach to the review would also build value by linking quality outcomes around wider inequalities work including health and inclusive growth through social value. It would firmly incorporate the Public Sector Equality Duty, addressing discrimination and prejudice, linking to the Council's "Black Lives Matter resolution. This option is recommended because it aligns with and supports wider ambitions set out in the Council's Year Ahead Plan.
2.67	Given the scale of the review together with different timelines it will be important to ensure that a robust programme and project management approach is in place. As such the equalities work will be underpinned by a programme plan including key milestones and timelines for delivery and achievement.
2.68	This approach will enable the complexity of the review to be broken down into manageable components and assist with reporting on progress.
2.69	Given the two-year timeline to achieving "Excellent" accreditation under the EFLG, and potentially longer timescale to achieve some interventions that will be needed to tackle inequalities, a programme for two years will be developed. This approach will enable short term actions to be included along with medium term and longer-term outcomes in a comprehensive and strategic approach.
3.	Options considered and recommended proposal
3.1	Two options have been considered.
3.2	Option 1
3.3	This option would not pursue accreditation under the EFLG. Should this option be approved, the Council could not satisfy itself that best practice was being achieved or that broader policy priority objectives were being fully realised.
3.4	Option 2
3.5	This option takes forward the EFLG key lines of enquiry to seek "Excellent" accreditation. In doing so, it will build on that process by linking quality outcomes around wider inequalities work including health and inclusive growth through social value. It would also firmly incorporate the Public Sector Equality Duty, addressing discrimination and prejudice. It would firmly incorporate the Public Sector Equality Duty, addressing discrimination and prejudice, linking to the Council's "Black Lives Matter resolution. This option is recommended because it will ensure that the Council achieves best practice accreditation in addressing equalities and inequalities integral to achieving policy priority outcomes.
4.	Consultation on proposal

4.1	Initial consultation has been undertaken with Members and key VCS organisations as part of developing the VCS Infrastructure report presented to Cabinet on 21 st September 2020.
4.2	OSMB considered the headline issues as part of their consideration of the VCS Infrastructure report on 16 th September 2020. A further meeting was held with scrutiny members on 23 rd October 2020 to discuss the equalities review and it was agreed to establish a working group to engage in the review. Details of scrutiny engagement are set out in 2.61 to 2.62 above.
4.3	Engagement of partners through the Rotherham Together Partnership will promote the approach of the review, achieving broader ownership of, and participation in delivering the review outcomes.
4.4	The work of the review will also seek to engage with and consult the Sheffield City Region / Mayoral Combined Authority to promote equality outcomes as part of delivering the Devolution Deal through the commitment to inclusive growth.
4.5	A stakeholder analysis is being undertaken, as set out in 2.59 to 2.60 that will work towards the production of an engagement plan and future consultation as part of the review.
5.	Timetable and Accountability for Implementing this Decision
5.1	Preparatory work has been undertaken to commence the Review once agreement has been given
5.2	Given the dynamic and multi-faceted nature of the Review, there will be a series of reports and recommendations over a period of time.
5.3	Whilst some aspects of the review will report fairly soon, achieving “Excellent” accreditation under the EFLG is projected for autumn 2022.
5.4	Overall, projects will have timetables for completion along with periodic programme assessment of the Review and forward plans.
5.5	Details of both governance and programme of the review are covered in 2.63 to 2.69 above.
6.	Financial and Procurement Advice and Implications (to be written by the relevant Head of Finance and the Head of Procurement on behalf of s151 Officer)
6.1	There are no financial implications from this report, the work that is required will be carried out within existing budget provision. Any finance implications that are identified within specific KLOEs will be included in future reports making recommendations as part of the review.

6.2	Whilst there are no direct procurement implications associated with the recommendations detailed in this report, delivery of the Council's Social Value Policy will contribute to the outcomes of the Equalities Review.
7.	Legal Advice and Implications (to be written by Legal Officer on behalf of Assistant Director Legal Services)
7.1	Undertaking the programme of work proposed by this report will support the Council in complying with its duties under the Equalities Act 2010, in particular the Public Sector Equality Duty.

8.	Human Resources Advice and Implications
8.1	There will be significant human resources implications arising from the review of equalities. These will relate to protected characteristics and equalities in the employment of staff. Outcomes of the review will also produce recommendations around culture and development including staff training to advance and embed the equalities recommendations.
9.	Implications for Children and Young People and Vulnerable Adults
9.1	Both age and disability are protected characteristics under statutory provisions. The review will address these as an integral part of the work. Tackling health inequalities will be a significant factor in the work of the review along with recognition of and addressing the impacts of hidden disabilities.
9.2	Child poverty is a growing issue nationally, which is likely to be worsened by the economic shock arising from COVID. Actions to address inequalities that drive child and family poverty will be key outcomes.
10.	Equalities and Human Rights Advice and Implications
10.1	The whole review is about the advancement of equalities and tackling inequalities.
10.2	Full Equality Assessments will be undertaken for each project in the Review and assessment against equality outcomes will be monitored as part of programme management of the Review.
11.	Implications for Ward Priorities
11.1	The work of the Equality Review will interrelate with the "Thriving Neighbourhoods" agenda set out in the Year Ahead Plan.
11.2	The production of Ward Profiles alongside developing the JSNA will better identify issues at the ward level and inform action that contribute to tackling inequalities.
12.	Implications for Partners

12.1	The engagement of partners is integral to achieving the Equalities objectives and tackling inequalities and deprivation.
12.2	Many of the statutory provisions apply to all partners.
13.	Risks and Mitigation
13.1.	<p>The key areas of risk relate to:</p> <ul style="list-style-type: none"> • A lack of understanding about the importance of equalities and tackling inequalities as part of achieving the overall strategic priorities for Rotherham. • A failure to engage in the process of the review including agreeing and implementing recommendations. • Externally driven factors including economic trends and outcomes that disproportionately and adversely impact the communities of Rotherham.
13.2	Communications will be a significant mitigating factor, securing understanding, buy-in and commitment across the Council, partners (local, sub-regional and further afield) and communities.
	Regular updating of data and intelligence will enable the Review to be agile to changing circumstances.
14.	Accountable Officers
	Jackie Mould, Head of Policy Performance & Improvement Chief Executive's Jackie.mould@rotherham.gov.uk
	Steve Eling Policy and Equalities Manager Chief Executive's Steve.eling@rotherham.gov.uk

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)	Named officer	Click here to enter a date.
Head of Legal Services (Monitoring Officer)	Named officer	Click here to enter a date.

Report Author:
Jackie Mould,

Head of Policy Performance & Improvement
Chief Executive's
Jackie.mould@rotherham.gov.uk

Steve Eling
Policy and Equalities Manager
Chief Executive's
Steve.eling@rotherham.gov.uk

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



Equality Framework for Local Government (EFLG) 2020 Version



Introduction

The Equality Framework has been updated to reflect the latest legislation affecting equality such as Gender Pay Gap reporting, GDPR, the changing context of the local government sector and equality in Britain and in response to other significant issues that might affect equality including the UK's decision to leave the European Union.

The equality framework is intended to help Councils:

- deliver accessible and responsive services to customers and residents in their communities including those from protected characteristics
- employ a workforce that reflects the diversity of the area they are serving
- provide equality of opportunity for all staff
- Meet the requirements of the Public Sector Equality Duty

It seeks to do this by:

- Identifying the areas of activity that Councils need to be address to deliver good equality outcomes
- Helping Councils to understand how they can build equality into processes and practices
- supporting organisations to become inclusive employers
- Enabling Councils to informally self-assess their progress on the equality improvement journey and determine where and how they need to improve.
- Providing the framework for an LGA Equality peer challenge

Underlying Principles

- The EFLG is part of the LGA's sector led improvement offer to the local government sector and as such engagement with the Framework is voluntary.
- The Framework can help with compliance with the Public Sector Equality Duty which is a legal obligation of the Equality Act 2010.
- The Framework references the nine legally protected characteristics: age; disability; gender reassignment; marriage and civil partnership; pregnancy and maternity; race; religion or belief; sex; sexual orientation. It also encourages Councils to consider other issues that might be affecting their staff such as caring responsibilities as well issues affecting communities such as socio-economic inequality and isolation including rural isolation
- The EFLG is supportive of the EHRC's six selected domains of equality measurement which it has identified as the areas of life that are important to people and that enable them to flourish. They are: Education, Work, Living standards, Health, Justice and personal security, and Participation
- The modular design of the Framework reflects the fact that Councils come in all shapes and sizes with different resources, communities and priorities. It recognises that action on all equality issues at once is not always possible.
- The Framework supports the LGA's Equality Peer Challenge

The Framework sets out four modules for improvement underpinned by a range of criteria and practical guidance that can help a Council plan, implement and deliver real equality outcomes for employees and the community. The four modules are:

- **Understanding and working with your communities**
- **Leadership and Organisational Commitment**
- **Responsive Services and Customer Care**
- **Diverse and Engaged Workforce**

For each module there are three Levels. Developing; Achieving and Excellent. The levels are progressive and cumulative so an organisation can plan and chart its progression against different priorities. Councils can be at different levels of the framework for different modules.

Developing - The developing level criteria contain the basic building blocks for each priority. An organisation at the Developing level has made an organisational commitment to improving equality. It is putting in place processes to deliver on equality issues and is working towards meeting and exceeding the statutory requirements.

Achieving - An organisation at the Achieving level has policies, processes and procedures in place and is delivering some good equality outcomes. It is not only meeting, but can demonstrate exceeding statutory requirements.

Excellent - An organisation at the Excellent level has mainstreamed equality throughout the organisation and can demonstrate that it is delivering significant outcomes across its services that are making a difference in its communities. The organisation not only exceeds statutory requirements and it is an exemplar council for equality and diversity in the local government and wider public sector.

The modules contain a number of themes, each with short descriptor at each level of the framework. This is followed by a set of indicators or criteria that can be used to self-assess.

Understanding and Working with your Communities	Leadership and Organisational Commitment
Collecting and sharing information	Leadership
Analysing and using data and information	Priorities and working in partnership
Effective community engagement	Assessing equality impact in policy and decision taking
Fostering good community relations	Equality objectives and annual reporting
Participation in public life	Performance monitoring and scrutiny
Responsive Services and Customer Care	Diverse and Engaged Workforce
Commissioning and procuring services	Workforce diversity
Integration of equality objectives into service planning	Inclusive strategies and policies
Service delivery	Collecting, analysing and publishing workforce data
	Learning and development
	Health and wellbeing

Understanding and Working with your Communities		
Developing	Achieving	Excellent
Collecting and Sharing Information		
<p>1.1 The organisation has gathered and published information and data on the profile of its communities and the extent of inequality and disadvantage. Plans are in place to collect, share and use equality information with partners.</p>	<p>1.2 Relevant, proportionate and appropriate information about the local communities and their protected characteristics is being gathered. Information is shared across the organisation and with partners</p>	<p>1.3 A comprehensive set of information about local communities/protected characteristics needs and outcomes is regularly updated and published and used to identify priorities for the local area</p>
Criteria		
<p>The organisation is clear about what sources of information (both local and national) are relevant and useful.</p> <p>The organisation knows what information is already being collected – internally and by its partners, including voluntary and community sector stakeholders?</p> <p>Some information and data has been gathered and published.</p> <p>The organisation is working with its partners to ensure information is shared effectively.</p> <p>Partners ensure efficient collection of data that avoids duplication.</p> <p>The authority is compliant with GDPR legislation in its collection, analysis storage and use of data and information</p>	<p>Information is disaggregated and analysed on the basis of different communities, including those sharing protected characteristics.</p> <p>Quantitative and qualitative research methods are used to gather data and information</p> <p>National and regional data is used and analysed.</p> <p>Information from ward councillors is gathered in a systematic way.</p> <p>Data is easily accessed, shared and used by departments across the organisation.</p> <p>The organisation is working with partners to address identified gaps in information. Data is disaggregated using the same or similar categories.</p> <p>Information is being shared to identify and measure equality gaps and to inform outcomes for the area.</p> <p>There are robust and effective protocols in place for sharing information between partners and to ensure data protection</p>	<p>The Council is working with partners to continuously develop new and innovative data sharing platforms.</p> <p>The organisation has a sophisticated understanding of the difference between the equality profile of their local area and how that translates to inequalities for different groups.</p> <p>Changing needs are identified and prioritised across a wide range of services and outcomes by, for example, referring to the Equality and Human Rights Commission's Equality Measurement Framework</p> <p>Data is regularly updated and used to set priorities across the organisation and in different services, by geographical area and by protected characteristic.</p> <p>There is evidence of a continuous improvement of the quality of the data.</p> <p>The organisation is working with partners to ensure that changing needs are identified and met.</p> <p>Voluntary and community sector partners/health colleagues and stakeholders access and use the information.</p>

	Information is being captured about health inequality.	
Analysing and using data and information		
2.1 Systems are being developed to analyse soft and hard data/intelligence about communities, their needs and aspirations.	2.2 Information and data is disaggregated and analysed to support the assessment of local need, impacts of changes to services and priorities.	2.3 Up to date and comprehensive equality data is used regularly to plan and assess impacts of decisions.
Criteria		
<p>The organisation is developing and improving systems for collating and analysing the different sets of data being collected.</p> <p>Information is collected by front-line staff or key decision makers and taken account of.</p> <p>The authority is compliant with GDPR legislation, analysis and use of data and information</p>	<p>Data is used to inform the setting of relevant equality objectives, and these are regularly monitored.</p> <p>Data is used in service planning, commissioning and decision making.</p> <p>Data is continuously gathered and analysed.</p> <p>Information is disaggregated in a meaningful way, by relevant protected characteristic and other factors (such as deprivation or rurality) and analysed on a regular basis. Information is used to identify and prioritise on the basis of need.</p> <p>Information and data is used effectively as part of impact assessment/ risk assessment and giving due regard to the public sector equality duty.</p>	<p>The organisation and its partners are using data in the most innovative ways such as predictive analytics to target service interventions</p> <p>Data is being used to predict and measure demand for services</p> <p>Achievement of outcomes are measured and there is evidence of gaps being narrowed.</p> <p>Performance is monitored against equality objectives and outcomes including procured and commissioned services, and with key partners and other stakeholders.</p> <p>Equality outcomes for commissioned and procured services are monitored and reported on.</p>

Effective Community Engagement		
Developing	Achieving	Excellent
<p>3.1 Inclusive community engagement structures are being developed throughout the organisation. There are opportunities for communities to be involved in decision making.</p>	<p>3.2 Engagement mechanisms and structures are in place to involve equality stakeholders and scrutinise service delivery, decision-making and progress. The organisation engages with all its communities when making decisions, including those with protected characteristics</p>	<p>3.3 Formal and informal interactions takes place between the organisation and its diverse communities. Communities from across the protected groups are actively participating in and influencing decision making.</p>
Criteria		
<p>The organisation has an engagement strategy. It is clear about different levels of engagement (i.e. informing, consulting, participating, co-producing) and when these are appropriate.</p> <p>Engagement structures are in place</p> <p>There are opportunities for protected groups to be engaged with decision making.'</p> <p>The organisation can evidence examples of these opportunities.</p> <p>Shared engagement structures/mechanisms are in development with partners.</p> <p>There are some shared engagement activities with partners.</p>	<p>People from protected groups are encouraged and enabled to participate in decision making.</p> <p>A range of engagement methodologies are used.</p> <p>Priorities have been changed as a result of engagement with a clear and demonstrable evidence basis.</p> <p>The organisation and partners engage collectively/share information and results of engagement activities to ensure that particular groups are not being over consulted with.</p> <p>There is an increase in the involvement of underrepresented groups.</p> <p>Engagement with the community and voluntary sector and the wider community effectively inform decisions.</p> <p>There are processes and plans throughout the organisation and with partners to</p>	<p>There are a range of innovative approaches to involving communities and arrangements are made to meet specific or individual needs.</p> <p>Vulnerable people/ communities are participating including the hardest to reach in the community.</p> <p>There is evidence that mainstream engagement mechanisms are increasingly involving previously under-represented groups.</p> <p>Communities are encouraged or supported to influence or make decisions.</p> <p>Staff and stakeholders are able to describe levels of influence within the community and changes made as a result.</p> <p>Key decision makers are involved in the engagement process.</p> <p>There is evidence of partnership arrangements leading to improved outcomes in participation.</p>

	<p>increase stakeholder and voluntary and community sector involvement in informing priorities.</p> <p>Feedback is given and people in the community are able to challenge and have their views taken account of.</p>	<p>Partners are open to challenge and constructive criticism.</p> <p>Where there is very limited or no actual representation within a local demographic, the ability to cater for difference is in evidence.</p>
--	---	--

Fostering good community relations		
<p>4.1 Structures are in place within the organisation and across partnerships to understand community relationships and map community tensions.</p>	<p>4.2 The organisation and its partners have a strong understanding of the quality of relations between different communities and collectively monitor relations and tensions. The organisation and its partners are actively engaged in planning and delivering activities that foster good relations.</p>	<p>4.3 The organisation takes a sophisticated approach to fostering good relations which has resulted in measurable improvements in relationships between diverse communities</p>
Criteria		
<p>There are joint partnerships responsible for monitoring community tensions.</p> <p>The Community Safety Strategy addresses the issue of community cohesiveness</p> <p>Council leaflets/ posters/ communications/ events promote positive relations.</p>	<p>Harassment and hate crimes are monitored and analysed regularly</p> <p>Appropriate action is taken to address the issues that have been identified.</p> <p>Members play a role in monitoring community relations and reporting intelligence</p> <p>Data is available, and is it disaggregated to cover the protected characteristics.</p> <p>Data is regularly analysed and acted upon.</p> <p>Stakeholders and communities are involved in the monitoring.</p>	<p>Information is available to show there has been an improvement in community relations.</p> <p>The organisation works with others to improve performance on good relations between diverse communities.</p> <p>The Council's leaders maintain a high profile on community relations. The Council makes use of Members' links with different communities depending on circumstances.</p> <p>The Council plays a leading role in bringing the partners and the community together if there are serious incidents of hate crime.</p> <p>There is obvious and demonstrable cross over between equality, diversity and community cohesion</p>

Participation in public life		
<p>6.1 The organisation has a clear understanding of the level of participation in public life by different communities/protected characteristics. This can include involvement in local democracy and representation e.g. school governors, councillors, board members of voluntary/statutory sector organisations.</p>	<p>6.2 Local people are encouraged to participate in public life or in other activities where they are under-represented. The Council uses a range of different methods and it is able to innovate and find new ways to extend participation in certain communities.</p>	<p>6.3 There is an improvement in the participation rates of under-represented groups in public life. The organisation can demonstrate that people across a range of protected characteristics are able to influence decisions</p>
Criteria		
<p>Information/data is gathered about the extent of involvement in public life</p>	<p>The organisation actively informs and involves local people, including under-represented groups, in opportunities for public participation.</p> <p>Outreach work or public campaigning has been undertaken to increase levels of participation by protected groups.</p>	<p>There is evidence that improvements have been achieved.</p> <p>More people from under-represented groups are participating across a wider range of activities.</p> <p>Decision makers are from a wider range of backgrounds.</p>

Leadership and Organisational Commitment		
Developing	Achieving	Excellent
Leadership		
<p>7.1 The political and executive leadership have publically committed to reducing inequality, fostering good relations and challenging discrimination.</p>	<p>7.2 Political and executive leaders demonstrate personal knowledge and understanding of local communities and continue to show commitment to reducing inequality.</p>	<p>7.3 Leaders have gained a reputation within the community and with all of its partners for championing equality, balancing competing interests and fostering good relations.</p>
Criteria		
<p>Senior leaders in the organisation have stated their commitment to a diverse workforce and have made clear what is expected from staff when delivering services to the community</p> <p>Leadership on equality is demonstrated in a way that is recognised and understood by the organisation and local communities.</p> <p>Leaders have publicly committed to improving equality in their area.</p> <p>The organisation has established and publicised a strong business case for its equality work.</p> <p>The organisation regularly communicates its commitment to promoting equality to staff and the community</p> <p>There is evidence that publications reflect the organisation's commitment to equality and fostering good relations.</p>	<p>Senior leaders can demonstrate their commitment to equality in decision making and how this informs the way the organisation responds to challenges</p> <p>Senior leaders demonstrate knowledge and commitment to equality issues. They 'walk the talk'</p> <p>There is evidence that equality considerations inform their decision making.</p> <p>Senior leaders understand the value and impact good communications can have and ensure that publications, websites and other communications channels are as diverse as possible</p> <p>The organisation promotes a positive narrative around equality and good relations across the whole community</p> <p>There are examples of where the organisation and its partners have had to take unpopular decisions but still managed to keep local communities on board.</p> <p>The organisation has taken steps to counter negative stereotypes or dispel myths.</p>	<p>The organisation is able to show that even when making difficult decisions it continues to demonstrate a clearly articulated and meaningful commitment to equality.</p> <p>Senior leaders have and own clear knowledge of local equality priorities and how and why they are being addressed.</p> <p>Senior leaders act as ambassadors for the equality agenda.</p> <p>Senior leaders personally challenge inequalities and drive an improvement agenda.</p> <p>Staff, the community or the voluntary and community sector can offer good examples of how effective communication and engagement with the Council has enabled the organisation to prevent or manage tensions between different equality groups.</p> <p>The organisation plays a role in ensuring that all stakeholders collectively manage the conflicting needs of their communities.</p>

Priorities and Partnership Working		
8.1 Partnership working arrangements are being reviewed with the voluntary and community sector and the wider community to ensure that local equality priorities are addressed	8.2 There is a coherent, shared vision of equality for the local area, with clear priorities which have been agreed and understood by all key stakeholders, including the voluntary and community sector.	8.3 The organisation can demonstrate success in working with partners in the public, private, community and voluntary sectors to address equality priorities, which are reviewed on a regular basis.
Criteria		
<p>Corporate and partnership documents capture the commitment of the organisation and partners to equality.</p> <p>Equality objectives are reflected in local strategic planning.</p>	<p>There are shared equality priorities, objectives and outcomes for the local area which are understood and acted on at all levels within the organisation.</p> <p>There is a clear shared vision for the area.</p> <p>The organisation and its partners monitor, review and evaluate performance against equality priorities, including inequality and health inequality</p> <p>The results of these activities contribute directly to the development of the organisation's objectives.</p>	<p>Staff, the community or the voluntary and community sector give good examples of improved outcomes/ reduced inequality/ improvements in health inequality</p> <p>Review mechanisms are in place.</p> <p>There is evidence that cross-organisational learning is taking place.</p> <p>The community and voluntary sector say that they are treated as equal partners by the Council.</p>

Assessing Equality Impact in Policy and Decision Making		
9.1 Due regard is taken to the aims of the general equality duty when making decisions and when setting policies	9.2 Equality analysis/ impact assessment is integrated systematically into planning and decision making across the organisation.	9.3 The organisation can demonstrate that improvements in equality outcomes are being delivered as a result of effective equality analysis/ impact assessment, and that negative impacts have been mitigated.
Criteria		
<p>The organisation has an agreed approach to conducting equality analysis/ impact assessment of policy and service decisions.</p> <p>Training and support on equality analysis/ impact assessment is available</p> <p>Impact assessments take account of the views of those affected by the policy or decision.</p> <p>There is a process for ensuring that equality impact assessments are sufficiently robust.</p>	<p>There is senior level commitment to using and understanding equality analysis/ impact assessment to inform planning and decision making.</p> <p>The organisation's assessments are accessible, robust and meaningful.</p> <p>There is evidence that Members routinely take account of equality analysis/ impact assessment when making decisions.</p> <p>Decisions around budget cuts and savings have taken account of cumulative impact.</p> <p>The findings, recommendations and conclusions are shared effectively to inform decisions and planning. Mitigating actions are identified where appropriate</p>	<p>The organisation can demonstrate how equality analysis/ impact assessment has been used to identify needs and improve outcomes/ reduce inequality.</p> <p>The organisation can provide evidence of how or where equality analysis/ impact assessment has informed decision-making and led to different, tailored services that have improved outcomes.</p> <p>The organisation captures information about what budget/service cuts mean to people's lives.</p>

Equality Objectives and Annual Reporting		
10.1 Equality objectives for the organisation have been set and published in accordance with the requirements to support the public sector Equality Duty.	10.2 Specific and measurable equality objectives have been integrated into organisational strategies and plans and action is being taken to achieve them. Outcomes are measured and monitored regularly by senior leaders.	10.3 The organisation can demonstrate a clear link between meeting their equality objectives and positive outcomes for its communities
Criteria		
<p>The specific duty to publish equality objectives has been met</p> <p>Objectives are underpinned by robust equality analysis.</p> <p>Objectives are SMART (Specific, Measurable Realistic, Achievable and Timely)</p>	<p>Equality objectives are integrated into organisational strategies and plans.</p> <p>There is evidence of a link between equality objectives, business planning and performance management.</p> <p>Progress is regularly monitored and reviewed.</p> <p>Members are kept informed of progress against equality objectives</p>	<p>There is evidence that equality objectives have led to improved outcomes for people with protected characteristics</p> <p>Actions to achieve priority outcomes are reviewed and regularly updated.</p> <p>Steps are taken if deficiencies are identified.</p> <p>Stakeholders and staff are involved in the monitoring of objectives.</p> <p>An Annual Equality report is published and shared</p>

Performance Monitoring and Scrutiny		
<p>11.1 Appropriate structures are in place to ensure delivery and review of equality objectives.</p>	<p>11.2 The setting and monitoring of equality objectives is subject to challenge, including through any organisational bodies or groups and the political Overview and Scrutiny process.</p>	<p>11.3 The organisation uses the scrutiny process as a driver for change. The organisation benchmarks its achievements against comparable others and shares its experience in developing good practice.</p>
Criteria		
<p>There is an appropriate and accountable leadership group/ board/ forum who have responsibility for the equality agenda.</p> <p>There are resources for supporting equality work.</p>	<p>The Overview and Scrutiny function is used to scrutinise and challenge equality analysis/ impact assessment objective setting and monitoring?</p> <p>The public are enabled to monitor progress</p> <p>Progress and responses are reported regularly to the leadership of the organisation</p>	<p>The organisation assesses its performance and outcomes against comparable organisations.</p> <p>Review mechanisms are in place.</p> <p>Some outcomes and priorities have changed as a result of Scrutiny review.</p> <p>The organisation is approached on a regular basis to provide examples of, or showcase good practice.</p>

Responsive Services and Customer Care		
Commissioning and Procuring Services		
Developing	Achieving	Excellent
<p>12.1 The organisation ensures that procurement and commissioning processes and practice take account of the diverse needs of clients, and that providers understand the requirements of the public sector Equality Duty.</p>	<p>12.2 Mechanisms are in place to ensure that equality standards are embedded throughout the procurement cycle.</p>	<p>12.3 The organisation can demonstrate that commissioned/ procured services are helping it achieve its equality priorities.</p>
Criteria		
<p>Guidance is available for suppliers on the equality requirements for the procurement and commissioning process.</p> <p>There are standard equality clauses for contracts.</p>	<p>The organisation considers how the public pound is spent in regards to local procurement and influence on the local economy.</p> <p>Specifications take account of the different needs of users, for example through equality analysis/ impact assessments.</p> <p>Monitoring requirements are built into contracts to ensure equality issues are addressed.</p> <p>The organisation has an established Social Value Framework. The Social value of contracts is measured.</p> <p>The performance of sub- contracting arrangements is measured.</p>	<p>There is evidence that contracts are being monitored using quantitative and qualitative analysis. The results are considered by both the supplier and client.</p> <p>There is evidence of providers meeting the organisations equality objectives.</p> <p>Providers understand and can articulate a commitment to equality.</p> <p>The organisation achieves considerable social value from its contracts</p> <p>Local procurement is positively influencing the local economy</p>

Integration of equality objectives into service planning		
<p>13.1 Structures are in place to ensure equality outcomes are integrated into business objectives.</p>	<p>13.2 Equality objectives are integrated into service plans across the organisation, with progress towards them performance managed by key decision makers.</p>	<p>13.3 The organisation can demonstrate that improvements and equality outcomes are being delivered across the business.</p>
Criteria		
<p>Service plans are monitored regularly to ensure that equality objectives are being met.</p> <p>Equality analysis is fed into planning and assessment of service plans.</p> <p>Customer care policies highlight the needs of protected groups.</p>	<p>Objectives address inequality and equality gaps.</p> <p>The needs of protected groups are taken account of.</p> <p>Service users have opportunities to comment on how services are planned.</p> <p>Objectives have specific timescales.</p> <p>Resource implications have been properly assessed.</p> <p>Key decision makers demonstrate that they continuously monitor, review and evaluate performance for equality objectives.</p> <p>Equality integrated into the performance management.</p>	<p>Service Plans are designed and written with equality objectives in mind.</p> <p>Business plans review past performance, demonstrate how past objectives have been achieved, review performance and set new objectives.</p> <p>Gaps have been identified in terms of who may not be using the service and why. Action has been taken to change services in response.</p> <p>There is evidence of improved or improving outcomes, disaggregated where appropriate to demonstrate the effects on different communities/ protected groups.</p> <p>There is evidence that Services are being co-produced with service users.</p>

Service Delivery		
<p>14.1 The organisation has systems to collect, analyse and measure how satisfied all sections of the community are with services.</p>	<p>14.2 There is evidence that services are meeting the needs of a diverse community, and that take up of services is representative of the wider community.</p>	<p>14.3 The organisation has systems in place to use monitoring data and citizen feedback to redesign or adapt services to ensure equity of access, and can demonstrate where this has been done.</p>
Criteria		
<p>There are mechanisms in place for service users to be consulted about service development and delivery</p> <p>Social Value and Collaborative Principles are reflected in the organisations practical service delivery.</p> <p>The organisation is able to analyse and measure whether all sections of the community are able to access services.</p> <p>It is clear who Service users are. Services carry out mapping exercises to identify and review current participation and to highlight gaps.</p> <p>The organisation collects data about user satisfaction with its services. The mapping and satisfaction data collected is disaggregated by different equality groups or vulnerable communities.</p> <p>Complaints are disaggregated by protected groups. There are mechanisms in place to enable staff to introduce business improvements.</p> <p>Appropriate mechanisms are in place to ensure that Human Rights considerations are identified when planning services and that customers and citizens are treated with dignity and respect.</p>	<p>Service users are consulted effectively before services are developed.</p> <p>Issues such as Social Prescription and Social Value are used to measure outcomes which are not delivered by the organisation.</p> <p>Access to and appropriateness of services is monitored regularly by senior leaders and decision makers.</p> <p>Senior leaders and decision makers demonstrate that they continuously review and evaluate access to services.</p> <p>Data about access to services and user satisfaction is used in equality analyses/ equality impacts assessment</p> <p>A scrutiny/ evaluation process of services is in place.</p> <p>Human Rights issues are understood and considered when delivering services to customers and clients.</p> <p>Human Rights guidance is available for staff and decision makers have up to date knowledge.</p>	<p>Services are co-produced with service users wherever possible and service users are able to influence changes</p> <p>Initiatives such as Community Asset Transfers and Community Right to Challenge are in evidence as delivered by local communities instead of the local authority.</p> <p>There is evidence of how levels of customer satisfaction with services have improved over time.</p> <p>Take up of services is representative of the community in proportions that would be expected.</p> <p>There are examples of how different customers' experiences are analysed and acted upon.</p> <p>The organisation has taken steps to safeguard the human rights of individuals where these have been threatened.</p>

Diverse and Engaged Workforce		
Workforce Diversity		
Developing	Achieving	Excellent
15.1 The organisation understands its local labour market, and has mechanisms in place to monitor its workforce against protected characteristics.	15.2 The organisation can demonstrate movement towards greater diversity in its workforce profile compared with previous years, including increasing the levels of previously under- represented groups at all levels of the organisation.	15.3 The organisation actively ensures that the profile of its workforce (including the profile of major providers of commissioned services) broadly reflects the community it serves/local labour market
Criteria		
<p>The organisation is clear about its local labour market.</p> <p>It has begun to identify the steps it needs to take to achieve a diverse workforce. These are reflected in recruitment policies and procedures.</p> <p>The progress of protected groups through the organisational hierarchy is monitored.</p> <p>Equality mapping data is used as part of the analysis</p> <p>Recruitment and selection is monitored at all stages of the process by protected characteristics</p>	<p>Where there is evidence of disproportionality, action is being taken to reverse the trends.</p> <p>Succession plans and recruitment processes address under-representation.</p> <p>Specific and measureable employment targets been set to improve workforce diversity.</p> <p>Selection panels are trained in Unconscious Bias. This includes senior recruitment panels where Members are involved.</p>	<p>There are appropriate examples of positive action to improve diversity.</p> <p>There is evidence that the workforce profile at all levels broadly matches the local labour market/community profile. This is continually monitored.</p> <p>There are reasonable explanations for gaps (e.g. the community profile is constantly changing or largely retired population) and what the organisation is doing about it.</p> <p>Good use is made of flexible working arrangements and career pathway initiatives to address potential barriers and under representation.</p>

Inclusive Strategies and Policies		
<p>16.1 The organisation's workforce strategies and policies include equality considerations and objectives.</p>	<p>16.2 The equality objectives contained within workforce strategies are implemented and monitored.</p>	<p>16.3 Prioritised equality outcomes for the whole workforce are being achieved.</p>
Criteria		
<p>All employment policies and procedures comply with equality legislation and employment codes of practice The organisation's workforce strategy identifies equality issues. Targets and objectives are based on internal monitoring, staff consultation and the assessment of the local labour market and barriers to employment. New/changing employment policies and procedures are assessed for their impact on people with protected characteristics.</p> <p>All employment and training related policies are regularly reviewed.</p> <p>The council is using its workforce data to develop training and development strategies that can support a wider equalities agenda for employees.</p> <p>A range of inclusive structures are in place to engage and involve staff</p>	<p>The organisation has a basic set of policies and practices to enhance workforce equality and diversity including reasonable adjustments, equal pay, flexible working and family friendly policies</p> <p>The equality aspects of the organisation's workforce strategy are being implemented and tracked.</p> <p>When necessary, changes have been made as a result of equality analysis findings.</p> <p>Managers apply policies and practices across the authority in a consistent manner for all staff.</p> <p>Staff are engaged positively in employment and service transformation and in developing new roles and ways of working. Trade unions and partners are involved.</p> <p>The training and development offer supports a wider equalities agenda for the organisation.</p> <p>Training courses and development interventions are meeting the needs of</p>	<p>The organisation has an excellent set of policies and procedures in place which are actively promoted to staff from all protected groups and used by managers to promote equality. Strategic, innovative and holistic approaches have been considered to improve outcomes.</p> <p>Staff are involved in developing and monitoring these policies.</p> <p>Positive and tangible outcomes have been delivered as a result of the implementation of a wide range of policies and practices. The organisation compares well with others.</p> <p>Outcomes are communicated to staff with protected characteristics.</p> <p>The organisation has high satisfaction levels across all staff groups in respect of staff engagement.</p> <p>Training and development strategies are proven to be making a significant difference to the wider equality agenda for employees and for workforce diversity.</p>

	different groups, and are making a difference in getting underrepresented groups of staff up the leadership ladder.	
--	---	--

Collecting, Analysing and Publishing Workforce Data		
17.1 Systems are in place to collect and analyse employment data across a range of practices (recruitment, training, leavers, grievance and disciplinaries etc).	17.2 The organisation regularly monitors, analyses and publishes employment data in accordance with its statutory duties.	17.3 The authority has a robust and comprehensive set of employment data and uses this to inform its workforce strategy and management practice.
Criteria		
<p>The organisation reports annually on its Gender Pay Gap.</p> <p>People are encouraged to provide data and there are initiatives in place to increase the disclosure of equality information by staff.</p> <p>Diversity monitoring information is separated from recruitment decisions and held securely.</p> <p>GDPR processes are in place and regulations are being met.</p>	<p>Data on applicants, people shortlisted and the composition of the workforce is systematically collected. This can be disaggregated by the protected characteristics.</p> <p>The organisation's Gender Pay Gap is reducing and it is addressing any race pay gap.</p> <p>There is evidence that workforce data is analysed and reported to senior leaders regularly.</p> <p>Workforce information is published to cover basic legal requirements and includes analysis of pay/job evaluation outcomes.</p> <p>There is evidence that the organisation is actively working on reducing its Gender Pay Gap.</p> <p>Action has been taken as a result of monitoring, trends are being identified and used to help establish objectives.</p>	<p>Workforce data includes a wide range of information and protected characteristic profiles including pay levels, training opportunities, appraisal ratings.</p> <p>The organisation considers pay gaps across other areas of inequality such as religion and belief/ race- ethnicity/ age, disability etc.</p> <p>The organisation understand the effects of employment policy and practice on its workforce.</p> <p>The organisation has sufficient information about staff to inform robust equality analysis.</p> <p>The workforce profile is updated regularly.</p> <p>Data is looked at organisationally and service by service.</p> <p>It is possible to analyse data by all the protected characteristics.</p>

Learning and Development		
<p>18.1 The organisation carries out regular assessments of the training and learning and development needs required to ensure its councillors and officers are equipped to understand their equality duties and take action to deliver equality outcomes.</p>	<p>18.2 The organisation provides a range of accessible learning and development opportunities to support councillors and officers in achieving equality objectives and outcomes.</p>	<p>18.3 Decision makers understand the importance of equality when making decisions and in how they use resources. Services are provided by knowledgeable and well-trained staff who are equipped to meet the diverse needs of local communities.</p>
<p>Criteria</p> <p>An assessment has been made as to what equality-related training, learning or development is required</p> <p>Appropriate behavioural competencies have been identified for the workforce.</p> <p>The learning and development plan/strategy take account of equality issues.</p> <p>Induction training for new Members includes equality and all Members are offered Equality training.</p> <p>Appraisal processes ensure staff and managers are aware of their equality-related responsibilities and accountabilities</p>	<p>Equality and diversity forms part of the training and development for key decision makers.</p> <p>There is evidence that equality issues are mainstreamed into all training (e.g. training on customer care</p> <p>Employees are confident that they can deliver services to diverse customers. They are made aware of equality objectives or any changes or improvements.</p> <p>Different methods are used to promote learning to a wide audience (e.g. standard courses, coaching, mentoring)?</p> <p>Management and individual appraisals include specific equality objectives for the service area</p>	<p>Managers and staff are accountable for ensuring equality outcomes. They can give examples of improved equality outcomes they have contributed to.</p> <p>Good performance is recognised in the appraisal process and more generally.</p> <p>Issues relating to protected characteristics and equality practice are challenged confidently and effectively by managers.</p> <p>Staff feel their skills have improved and that they are able to relate effectively with a range of clients.</p> <p>Staff can answer questions about the council's equality priorities.</p> <p>Feedback from service users in protected groups is positive about the skills of staff in dealing with their issues.</p>

Health and Wellbeing		
<p>18.1 The organisation has begun to consider how it can address the key employee health and wellbeing issues</p>	<p>18.2 The organisation promotes the health and well-being of staff in its workforce and other policies</p>	<p>18.3 There is a positive health and wellbeing culture throughout all levels and areas of the service</p>
Criteria		
<p>The organisation uses workforce data and other information from staff to determine what its health and wellbeing priorities are</p> <p>The organisation has assessed all aspects of the working environment to ensure that the needs of all its employees are met</p> <p>A range of inclusive mechanisms are in place to engage and involve staff</p> <p>Policies and systems are in place to identify, prevent and deal effectively with harassment and bullying at work.</p> <p>The organisation has a policy for Reasonable Adjustments for staff and Members and managers are trained to implement it.</p> <p>Occupational health services are provided</p> <p>The organisation has started to address mental health issues in the workplace</p>	<p>There is a coherent Health and Wellbeing Strategy that addresses a range of related issues.</p> <p>Improvements have been made to the working environment.</p> <p>Staff are engaged positively in employment and service transformation and in developing new roles and ways of working.</p> <p>Reasonable Adjustments are provided in a timely fashion consistently across the organisation</p> <p>Occupational health works closely with HR to identify and address absence trends.</p> <p>Managers have received training on mental health awareness and say they are equipped to address staff issues</p> <p>Harassment and bullying incidents are monitored and analysed regularly. Appropriate action is taken to address the issues that have been identified.</p>	<p>Approaches to health and wellbeing are innovative.</p> <p>The organisation has adopted the Social model of disability</p> <p>There have been significant outcomes in the health and wellbeing of all staff including those with protected characteristics.</p> <p>There are high satisfaction levels with the working environment across all staff groups particularly those with protected characteristics.</p> <p>The organisation has high satisfaction levels across all staff groups in respect of staff engagement.</p> <p>Harassment and bullying at work is dealt with effectively and staff say that they are treated with dignity and respect.</p>

Committee Name and Date of Committee Meeting

Cabinet – 23 November 2020

Report Title

September Financial Monitoring 2020/21

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

Yes

Strategic Director Approving Submission of the Report

Judith Badger, Strategic Director of Finance and Customer Services

Report Author(s)

Rob Mahon, Head of Corporate Finance
01709 254518 or rob.mahon@rotherham.gov.uk

Ward(s) Affected

Borough-Wide

Report Summary

The report sets out the financial position as at the end of September 2020 and is based on actual costs and income for the first six months of 2020/21 and forecast for the remainder of the financial year. Financial performance is a key element within the assessment of the Council's overall performance framework and is essential to achievement of the objectives within the Council's Policy Agenda. To that end, this is the 3rd financial monitoring report of a series of monitoring reports for the current financial year which will continue to be brought forward to Cabinet on a regular basis.

As at September 2020, the Council has a forecast year-end overspend of £23.7m on the General Fund, this is mitigated in part by the governments provision of COVID-19 emergency support grant and Sales, Fees and Charges Income Compensation, providing a net forecast outturn of £2.3m overspend.

Recommendations

1. That the current General Fund Revenue Budget forecast of £2.3m overspend be noted.
2. That it be noted that actions will continue to be taken to mitigate the forecast overspend and that a balanced financial outturn is envisaged.
3. That the Capital Programme update be noted.

4. That the proposed use of the Round 2 allocation of Infection Control Grant as set out in Paragraphs 2.47 to 2.52 is approved.
5. The schemes to be presented to the Mayoral Combined Authority for grant approval and implementation are supported, as set out in paragraphs 2.57.

List of Appendices Included

Appendix 1 – Initial Equality Screening Assessment

Background Papers

Budget and Council Tax Setting Report 2020/21 to Council on 27th February 2020

Consideration by any other Council Committee, Scrutiny or Advisory Panel

No.

Council Approval Required

No

Exempt from the Press and Public

No.

September Financial Monitoring 2020/21

1.	Background																																				
1.1	As part of its performance and control framework the Council is required to produce regular and timely reports for the Strategic Leadership Team and Cabinet to keep them informed of financial performance so that, where necessary, actions can be agreed and implemented to bring expenditure in line with the approved budget for the financial year.																																				
1.2	Delivery of the Council's Revenue Budget, Medium Term Financial Strategy (MTFS) and Capital Programme within the parameters agreed by Council is essential if the Council's objectives are to be achieved. Financial performance is a key element within the assessment of the Council's overall performance framework.																																				
1.3	This report is the third in a series of financial monitoring reports to Cabinet for 2020/21, setting out the projected year-end revenue budget financial position in light of actual costs and income for the first six months of the financial year.																																				
2.	Key Issues																																				
2.1	<p>Table 1 below shows, by Directorate, the summary forecast revenue outturn position.</p> <p>Table 1: Forecast Revenue Outturn 2020/21 as at September 2020</p> <table border="1"> <thead> <tr> <th>Directorate</th> <th>Budget 2020/21 £m</th> <th>Forecast Outturn 2020/21 £m</th> <th>Forecast Variance over/under (-) £m</th> </tr> </thead> <tbody> <tr> <td>Children and Young People's Services</td> <td>59.2</td> <td>65.9</td> <td>6.7</td> </tr> <tr> <td>Adult Care, Housing & Public Health</td> <td>78.5</td> <td>84.5</td> <td>6.0</td> </tr> <tr> <td>Regeneration and Environment Services</td> <td>42.3</td> <td>51.6</td> <td>9.3</td> </tr> <tr> <td>Finance and Customer Services</td> <td>18.3</td> <td>18.3</td> <td>0.0</td> </tr> <tr> <td>Assistant Chief Executive</td> <td>6.2</td> <td>6.2</td> <td>0.0</td> </tr> <tr> <td>Central Services</td> <td>28.8</td> <td>30.5</td> <td>1.7</td> </tr> <tr> <td>Directorate Forecast Outturn</td> <td>233.3</td> <td>257.0</td> <td>23.7</td> </tr> <tr> <td>COVID-19 support grant</td> <td></td> <td></td> <td>(18.9)</td> </tr> </tbody> </table>	Directorate	Budget 2020/21 £m	Forecast Outturn 2020/21 £m	Forecast Variance over/under (-) £m	Children and Young People's Services	59.2	65.9	6.7	Adult Care, Housing & Public Health	78.5	84.5	6.0	Regeneration and Environment Services	42.3	51.6	9.3	Finance and Customer Services	18.3	18.3	0.0	Assistant Chief Executive	6.2	6.2	0.0	Central Services	28.8	30.5	1.7	Directorate Forecast Outturn	233.3	257.0	23.7	COVID-19 support grant			(18.9)
Directorate	Budget 2020/21 £m	Forecast Outturn 2020/21 £m	Forecast Variance over/under (-) £m																																		
Children and Young People's Services	59.2	65.9	6.7																																		
Adult Care, Housing & Public Health	78.5	84.5	6.0																																		
Regeneration and Environment Services	42.3	51.6	9.3																																		
Finance and Customer Services	18.3	18.3	0.0																																		
Assistant Chief Executive	6.2	6.2	0.0																																		
Central Services	28.8	30.5	1.7																																		
Directorate Forecast Outturn	233.3	257.0	23.7																																		
COVID-19 support grant			(18.9)																																		

	Sales, Fees and Charges Income Compensation Claims			(2.5)
	Covid winter support grant			(5.3)
	Covid winter support provision			5.3
	Net Forecast Outturn			2.3
	Dedicated Schools Grant			0.4
	Housing Revenue Account (HRA)			0.0
2.2	<p>The Council's overspend position at this point is largely due to two overall issues;</p> <ul style="list-style-type: none"> • Financial implications as a result of COVID-19 and the Councils response to the pandemic. • Delayed delivery of savings plans as a result of COVID-19. <p>As at September 2020, The forecast overspend of £23.7m is mitigated in part by the Government's provision of £18.9m of emergency funding to support the COVID-19 response. In addition to the emergency funding support, Government have announced a co-payment mechanism for irrecoverable Sales, Fees and Charges income, with the Government covering 75% of losses beyond 5% of planned income. In effect this scheme will provide the Council with additional grant to support irrecoverable income losses on sales, fees and charges income. The Council has now submitted its first claim under the scheme that will generate a further £2.5m of grant funding to support the Councils in year position. When this is factored into the Council's overall position it leaves a net forecast overspend of £2.3m.</p>			
2.3	<p>On 22nd October 2020, the Government also released individual council allocations of the £1bn COVID-19 "winter support" funding which had been announced on 12th October. The Council's allocation is £5.3m and at this early stage it is assumed that this grant funding will be required for the purposes for which it has been provided – to prioritise the running of vital services and protecting the most vulnerable and public health across the winter period.</p>			
2.4	<p>There are two further periods of grant claim for COVID-19 income loss compensation later in the financial year. Taking this into account but also recognising that the claims are subject to review and validation by Government, it is anticipated that these further payments of grant will cover the remaining £2.3m forecast overspend and that by the financial year-end the position will be broadly a balanced budget outturn.</p>			
2.5	<p>If this position can be achieved, then it enables the Council to reserve some budget provision into 2021/22 to support the delivery of next year's budget. This arises from the £4m budget contingency included within the 2020/21 budget,</p>			

	<p>which is not required to be used under this anticipated position. In addition, savings accruing in central services budgets, arising mostly from Treasury Management activity are expected to reach £3.5m by the year-end and if not required to be set against any residual overspend, can also be reserved to support the 2021/22 budget. The report on the update to the Council's Medium Term Financial Strategy which is included on the same Cabinet agenda as this Financial Monitoring report sets out this impact on the 2021/22 budget in more detail.</p>
2.6	<p>In September 2020 the Council had to provide Government with the latest view on the estimated financial impact of the COVID-19 response. The September COVID-19 return was submitted to Ministry for Housing, Communities and Local Government (MHCLG) on Friday 2nd October within the MHCLG deadline and it projected an overall financial impact for the general fund in 2020/21 of £26.7m. The full impact is made up of;</p> <ul style="list-style-type: none"> • £11.7m of additional costs (£10.6m in the June return) • £6.8m non-delivery of savings (£7.1m in the June return) • £8.2m of income loss (£8.4 in the June return) <p>Total Impact £26.7m (£26.1m in the June return)</p> <p>Therefore, the overall estimated impact of COVID-19 on the 2020/21 revenue budget as per the September return is £26.7m, less COVID-19 support grant received to date of £18.9m, and SFC Income Compensation of £2.5m, leaving a net pressure of £5.3m. This net pressure differs from the Councils financial monitoring position as the September MHCLG return focuses solely on COVID-19 requirements and impacts, a net difference of £3m. There are financial pressures and savings factored into monitoring that are not related to COVID-19.</p>
2.7	<p>The Council is also allocated £2.733m, split into two instalments, for the Adult Social Care Infection Control Fund (round 2). This is a new grant, with revised conditions from the initial Infection Control Fund. The purpose of this fund is to support adult social care providers, including those with whom the local authority does not have a contract, to reduce the rate of COVID-19 transmission within and between care settings.</p> <p>The Council is required to pass on 80% of the grant on a 'per bed'/'per user' basis to care homes and CQC-regulated community care providers (domiciliary care, extra care and supported living) in their geographical area. The Council received the first instalment on 1st October and is required to pass on the 80% within 20 working days, subject to providers meeting the conditions as stated in the guidance.</p> <p>The other 20% of the funding must be used to support care providers to take additional steps to tackle the risk of COVID-19 infections but can be allocated at the local authority's discretion. A proposal to allocate the 20% is set out in paragraphs 2.47 to 2.52.</p>
2.8	<p>The forecast net overspend of £2.3m will continue to be monitored closely and mitigations identified where possible to reduce the overall impact. As indicated, it</p>

is anticipated at present that the Council will be able to bring this budget back into line before the year end. However, within this overall position is the impact of the non-delivery of savings of £6.8m arising from COVID-19. This non-delivery will need to be carried forward into 2021/22 and when added to the £8.6m of savings plans that were reprofiled into 2021/22 as part of the Councils budget report to Cabinet in February 2020, this represents a significant financial challenge for the authority.

Table 2 sets out the position by Directorate and the future years/MTFS impact is also described in more detail within the MTFS update report to this Cabinet meeting.

Table 2 – Agreed Profile of Budget Savings and Cost Reductions by Directorate:

Directorate	2020/21 Savings Non-delivery £m	2021/22 Savings £m	Total Savings to be delivered in 2021/22 & future years £m
ACHPH	1.8	4.6	6.4
CYPS	2.3	4.0	6.3
R&E	1.0	0	1.0
Customer Services (R&E)	1.7	0	1.7
Total	6.8	8.6	15.4

The following sections provide further information regarding the Councils forecast outturn of £23.7m, before taking account of the COVID grant, the key reasons for forecast under or overspends within Directorates, and the progress of savings delivery.

Children and Young People Services Directorate (£6.7m forecast overspend)

2.9 Children and Young People Services continue to implement the budget recovery plan with budget savings of £10.2m phased £6.2m in 2020/21 and £4.0m in 2021/22 following the one-off additional budget of £4m provided for the 2020/21 financial year.

2.10 The budget pressure at the end of September is £6.7m with an adverse movement of £800k this period. This position includes additional cost pressures due to the COVID pandemic, non-achievement of budget savings and Stovewood net costs to CYPS. These pressures are mitigated in part by the one-off additional budget.

2.11 The Looked After Children number at the time of this budget forecast was 622 which is in excess of the budget profile of 569 for this period. The variance of 53 includes a number of LAC placements that are delayed in the court processes

	and inability to discharge children from care. The placement profile has now been increased to 586 at the end of this financial year from the original budget plan to reduce LAC numbers to 541 by 31 March 2021.
2.12	The direct employee budget is £34.2m and is a combination of general fund, traded and grant funded services. The projected overspend at the end of September is £1.78m, of which £1.49m relates to general fund. The £1.49m budget pressure is after applying budget savings of £3.97m in 2020/21 financial year. The staffing pressures are linked to delays in delivering budget savings across CYPS and the increased requirement for agency social workers to manage caseloads due to overall caseload numbers and staff turnover.
2.13	The staffing budget forecast overspend has increased by £160k this period due to additional agency costs in Children's Social Care of £260k, offset by savings in Commissioning, Performance and Inclusion. At the end of September there were 19 agency workers in children's social care, with the agency projections increasing significantly in this period.
2.14	The staffing budget reflects the work undertaken to date on delivery of the Early Help and Social Care Pathways savings proposals and other staff savings across the CYPS directorate.
2.15	<p>A significant element of the CYPS non-pay budgets relates to placements which has a net budget of £26.4m with a current projected spend of £35.0m, an adverse movement of £500k in this period.</p> <p>The £500k adverse main movement relates to an increase in parent and baby (2), emergency placements (3) and continued increase in IFA placements (4) against a planned reduction in LAC placement costs this period. The variance to the placement projections in period is also increasing the number of expected LAC placements by the end of the financial year, which has increased from 577 to 586 this period. The increase in expected LAC numbers at year end will impact on next year's placement costs.</p> <p>The financial pressure of £5m relates to Residential placements (£2.0m), Emergency placements (£1.6m) and Fostering placements (£1.4m)</p>
2.16	<p>The placement forecast assumes that from October 2020 to March 2021, the revised placement budget assumptions (placement reductions and transitions to lower cost placement types) will be achieved for the rest of the financial year. There are several risks linked to achievement of this placement budget profile which are:</p> <ul style="list-style-type: none"> • External residential placement admissions continue to reduce in line with the budget profile. • Use of block contract and in-house residential and in-house emergency provisions are maximised.

	<ul style="list-style-type: none"> Estimated admissions and discharges from care being in line with expectations. The increase in in-house fostering enquires and net growth in in-house foster carers placements are in line with the estimated projections for the rest of the financial year. Costs of placements increasing above inflationary expectations.
2.17	The other major budget pressure linked to the current number of Looked After Children this financial year is transport with a forecast overspend of £370k.
	Dedicated Schools Grant
2.18	The High Needs Block (HNB) is £40.1m (including the £3.0m transfer from the schools block) and demand remains high due to rising numbers of children supported in specialist provision and the rising costs of Education Health Care (EHC) plans. Consequently, the central DSG reserve has changed over a four-year period from a £1m reserve deficit at the end of 2015/16 to £19.8m deficit at the end of the 2019/20 financial year (£4.6m overspend in 2019/20). An in-year deficit of £420k is forecast for 2020/21.
2.19	The High Needs Budget is based on the DSG recovery plan and includes anticipated growth on EHCs numbers and the implementation of new developments linked to the SEND Sufficiency Strategy the HNB has a £463k overspend at the end of September, with no change to the forecast to previous months. The pressure relates to DSG contributions towards social care residential placements and an increase in high cost Independent Sector Placements
2.20	Both the Early Years and the Schools' Block are expected to be broadly in line with allocations in 2020/21.
2.21	<p>The key areas of focus to reduce High Needs Block spend are:</p> <ul style="list-style-type: none"> A review of high cost, external education provision to reduce spend and move children back into Rotherham educational provision. Increase SEN provision in Rotherham linked to mainstream schools and academies, with further capacity becoming operational from September 2020. Work with schools and academies to maintain pupils in mainstream settings wherever possible. A review of inclusion services provided by the Council
	Adult Care, Housing and Public Health (£6.0m forecast overspend)
2.22	The overall Directorate forecast is an overspend of £6.0m on general fund services after taking account of the additional one-off budget support of £4.65m for 2020/21.

2.23	COVID-19 is estimated to have a cost impact of £7.8m. This includes: £1m for personal protective equipment; £1.8m due to delayed budget savings (reduced from £2.1m in July), £200k of additional income in Neighbourhood Services' (Housing); and £4.8m of placement costs due to additional demand and the increased costs of providing care (reduced from £4.9m in July).
2.24	<p>The NHS is currently funding people who are discharged from hospital. Ordinarily the cost of some of these packages would be funded by the Council. It is now anticipated that the cost of these will transfer to the Council over the next few months. These are included in the cost of additional placements (£4.8m). Each person needs to have an assessment which will determine their eligibility for LA or Health funding the outcome of which is not yet known.</p> <p>Delivery of savings have been delayed as COVID-19 has diverted staff resource to support work related to the pandemic and away from planned transformational activity. Anticipated additional income has reduced as social distancing has prevented some of the tasks required from taking place, although the forecast has improved by £100k, it is still below the level anticipated.</p>
2.25	Excluding the cost of COVID-19, the cost of care packages is forecast to be £2.2m underspent. This is due to savings on transforming care (£1.1m) and reductions in the number of older people placements (£1.6m) some of which will be captured under the COVID-19 discharge packages. There have been several additional high cost mental health packages (£400k and other small variances (£100k).
2.26	Staffing budgets are forecast to overspend by £400k due to low vacancy numbers.
2.27	Neighbourhood Services' (Housing) is forecast to underspend by £100k. This is due to additional income of £200k offset by additional homelessness costs due to COVID-19.
2.28	The latest Public Health forecast is an overspend of £100k as a result of additional staffing costs required to support the Council's response to COVID-19.
Regeneration and Environment Directorate (£9.3m forecast overspend)	
2.29	The latest outturn projection for the Directorate indicates a forecast pressure of £9.3m for this financial year, mostly due to COVID-19 impact. This represents a £1.3m increase in the overspend position from that reported to Cabinet in September. The majority of this £1.3m increase is a result of a £1.0m worsening in the forecast for the Education Catering Service. The expectation of income at the time of the last Cabinet report was based on all children returning to school, however, it is now clear that social distancing requirements have led to; schools encouraging pupils to bring in packed lunches, significant pupil absences, school closures and additional costs from disposable packaging. This loss of income will qualify for some support within the Government's COVID-19 income compensation scheme.

2.30	There has also been a £300k change in the forecast for Streetscene Service. This is due to a significant increase in the cost of the green waste disposal following retendering of the service earlier in the year. Offsetting these pressures there has been a £100k improvement in the forecast for Culture, Sport and Tourism after seeing initial signs of recovery in Green Spaces locations (£60k) and expenditure savings (£40k).
2.31	The previously reported sustained fall in the Directorate's income from fees and charges will be felt throughout the 2020/21 financial year, particularly in lost income from Theatres, Green Spaces, Markets and Parking. Depending upon the severity and length of further lockdown restrictions losses could increase yet further. Even so, the Directorate prioritises continued delivery of normal everyday services.
2.32	<p>Further, the pandemic has meant that progress to achieve previously agreed revenue budget savings has been delayed. The lockdown has generated savings in some areas, for example by temporarily closing Council buildings, but any savings are far outweighed by the additional costs and lost income arising from the lockdown.</p> <p>The forecast outturn projection includes the following specific budget issues:</p>
2.33	Community Safety and Street Scene (CSS) is reporting an overall pressure of £1.6m. The most significant pressure in this Service is in respect of Waste, £810k. This has arisen as a result of a significant increase in waste disposal costs, resulting from extra tonnages being collected from the kerbside, as people spend more time at home. There has been a sustained monthly tonnage increase in excess of 20% to date that is expected to continue through the rest of the financial year. In addition, there has been a £290k increase in the cost of the green waste disposal contract, following its retendering as the previous contractor was unable to continue to meet their contractual obligations. A £460k income shortfall is being reported in Parking Services as a result of COVID-19 and pressures continue in Transport, which is reporting a £450k overspend as a result of the difficulty in delivering savings in 2020/21.
2.34	<p>Culture Sport and Tourism (CST), severely impacted by the temporary closure of facilities and the slow recovery, is reporting an overall pressure of £3.7m. There is a forecast pressure of £1.4m in respect of the Council's Leisure Centre facilities. These are operated by Places Leisure under a PFI arrangement, the pressure represents an estimate of the revised management fee liabilities payable to allow for the facilities to remain open.</p> <p>The Green Spaces Service, which includes the Borough's Country Parks and Facilities, is forecasting a pressure of up to £1.7m. The temporary closure of parks and all other leisure sites for all of spring and into the summer prevented any trading activities taking place over that period, but there has been a small improvement in the forecast since the facilities reopened. A £500k pressure in respect of Theatres is being reported after the Council took the difficult decision to close the facility for the entire financial year. Losses are partly mitigated by expenditure savings £100k, as a result of the prolonged closure but this is</p>

	included in the forecast. The forecast includes a pressure of £200k being reported in Registrars as a result of weddings being transferred into 2021.
2.35	<p>Planning Regeneration and Transport (PRT) is forecasting an overall pressure of £4.1m. The largest pressure in this Service is in the School Meals service of £2.3m. Lost income of £3.2m is now being assumed, only partly offset by reduced expenditure on food of £900k.</p> <p>A pressure of £400k is being forecast on Markets income, arising from the closure of the Markets and the ongoing difficult trading conditions. Similarly, a pressure of £200k is being reported in Estates in respect of income from commercial rents. Less than planned income of up to £300k is being reported in respect of Planning and Building Control income as a result of the economic downturn impacting significantly on the number of planning applications and building control inspections.</p> <p>A pressure of £600k is being reported in respect of Facilities Management, mainly as a result of delays in the timing of property savings, i.e. closure of buildings. Whilst this impacts on the overall position new savings of £300k are planned for in 2020-21 and are in progress to be implemented.</p>
	Finance and Customer Services (balanced forecast position)
2.36	The overall Directorate is forecasting a balanced budget position. Whilst there are financial pressures, as detailed below, the service will use vacancy management to control these financial pressures and deliver, at least, a balanced budget position. The £600k savings from the Customer and Digital Programme have now all been delivered.
2.37	Within Customer, Information and Digital Services, there are financial pressures from ceasing the Schools Connect Trading service, reflecting the loss the service was making, £100k overspend due to the continued loss of schools/academies subscribing to services. The service also has a pressure within the corporate mail and print service following a centralisation of print services, the print service had an income shortfall of £100k. Now the budgets have been centralised the service will be better placed to control print usage and implement a strategy to minimise print whilst promoting digitalised service provision. The service will mitigate the cost pressures this year through vacancy control.
2.38	Whilst Legal Services faces continued demand for legal support with child protection hearings and court case costs relating to Looked After Children, legal disbursements are currently forecasting a £400k underspend. However, the number of cases during the year remains volatile and will continue to be monitored closely.
	Assistant Chief Executive (balanced forecast position)
2.39	The Assistant Chief Executive's Directorate are forecasting a balanced budget position. The service needs to deliver savings of £200k in relation to the Customer and Digital Programme and work continues with the programme to

	identify further areas where the Council can operate more efficiently and effectively, making use of the improved digital technologies available to services. As with all directorates COVID-19 has impacted the forecast position, for Assistant Chief Executive's Directorate the main impacts are the costs of implementation and management of the Community Hub £400k.
2.40	Though the work to deliver the savings will continue, the service is currently able to forecast a balanced budget position due to use of vacancy control. It is anticipated that the savings will be fully achieved during the current year.
	Central Services (£1.7m forecast overspend)
2.41	There are agreed savings to be delivered from Central Services as the £1.7m customer services saving to be delivered from Regeneration and Environment Services has been budgeted for here. At present it is unlikely this saving will be delivered in year and as such has been forecast as an overspend.
2.42	Central Services budget holds the planned transfer of £4.3m to reserves as per the Council's reserves strategy detailed within the Council's budget report to Cabinet in February 2020. Within the anticipated financial outturn described in this report, this £4.3m transfer to reserves will take place. The budget also holds the budget contingency of £4m and as indicated earlier in the report, based on the current anticipation of a balanced financial outturn, this contingency is not expected to be used in 2020/21 and is planned to be carried forward into 2021/22 to support the delivery of next year's budget.
2.43	Savings are being delivered from a range of activities within the treasury management strategy, including effective cash flow planning and monitoring, along with management of the loans portfolio to take advantage of the continuing low cost of short-term funds. These activities, together with a number of general efficiencies on centrally managed budgets are anticipated to deliver savings of £3.5m by the end of the financial year. Again as indicated earlier in this report, it is also planned to carry forward these savings to support the 2021/22 budget
	Housing Revenue Account (HRA)
2.44	The Housing Revenue Account is a statutory ring-fenced account that the Council has to maintain in respect of the income and expenditure incurred in relation to its council dwellings and associated assets. The HRA is forecast to underspend by £700k before the transfer from reserves.
2.45	There is a forecast underachievement of income which relates to: the closure of Communal Facilities due to COVID-19 £100k; reduced interest on balances £250k; reduction in income from Aids and Adaptations £100k as only emergency works were carried out for a period of time due to the pandemic and other income variances of £100k. This is being offset by a forecast underspend within Supervision and Management due to lower superannuation contributions and vacant posts as well as savings on supplies and services e.g. court costs (£550k) and lower debt costs (£150k). There are increased costs to maintain new build housing until these are sold or let (£150k). R&M is forecast to underspend by

	£700k largely due to lower numbers of planned and responsive repairs due to COVID-19.												
2.46	The HRA budget includes a revenue contribution to capital expenditure of £13.4m (which is forecast to budget at this stage) plus a contribution from the HRA reserve of £9.3m to balance the overall budget. The transfer from reserve is forecast at £8.6m to reflect the forecast underspend which will bring the HRA back to a balanced position.												
	Infection Control Fund (Round 2): 20% Discretionary Funding elements												
2.47	The Adult Social Care Infection Control Fund (IPC) was first introduced in May 2020. The purpose of this fund is to support adult social care providers, including those with whom the local authority does not have a contract, to reduce the rate of COVID-19 transmission within and between care settings, in particular by helping to reduce the need for staff movements between sites.												
2.48	The Government announced on 1st October that the Adult Social Care Infection Control Fund has been extended until March 2021, with an extra £546 million of national funding. This is a new grant, with revised conditions from the original Infection Control Fund. Rotherham has been allocated a total of £2,733,864 in the second round of funding, 80% of which is to be allocated to care homes and community care providers on a per bed and per service user basis respectively within a prescribed national grant allocation formula. Breakdown of the ICF: <table border="1" data-bbox="279 1077 1380 1377"> <thead> <tr> <th></th> <th colspan="2">80% Mandatory Elements</th> <th>20% Discretionary Element</th> </tr> <tr> <th>Total allocation amount</th> <th>Allocation to care homes</th> <th>Allocation to community care providers</th> <th>Allocation for other care settings and IPC measures</th> </tr> </thead> <tbody> <tr> <td>£2,733,864</td> <td>£1,552,669</td> <td>£634,422</td> <td>£546,773</td> </tr> </tbody> </table>		80% Mandatory Elements		20% Discretionary Element	Total allocation amount	Allocation to care homes	Allocation to community care providers	Allocation for other care settings and IPC measures	£2,733,864	£1,552,669	£634,422	£546,773
	80% Mandatory Elements		20% Discretionary Element										
Total allocation amount	Allocation to care homes	Allocation to community care providers	Allocation for other care settings and IPC measures										
£2,733,864	£1,552,669	£634,422	£546,773										
2.49	The Council has facilitated the distribution of the specified 80% of the Infection Control Fund as per guidance. This is recorded via the Record of Officer Executive Decision from the Strategic Director of Adult Social Care.												
2.50	Local authorities must use 20% of the funding to support the sector to put in place other COVID-19 infection control measures, but this can be allocated at their discretion. Where providers have been unable to utilise all their ICF monies this may be added to the discretionary element in accordance with grant conditions.												
2.51	The guidance for funding specifies that this can include providing support on the infection prevention and control measures to a broader range of care settings (for instance, community and day support services) and other measures that the local authority could put in place to boost the resilience and supply of the adult social care workforce in their area to support effective infection control.												

2.52	<p>It is proposed to utilise the 20% discretionary element and any underspends of the ICF, for the following:</p> <ol style="list-style-type: none"> 1. Support care and support providers who have not received any allocations of funding in the mandatory 80% element of the Infection Control Fund grant. This will primarily, but not exclusively focus on services that support people with a Learning Disability, Autism and Mental Ill-health Day Opportunities and informal Carers. Payments will be used at the discretion of the providers, though this must be to support infection control in accordance with the grant conditions. £300k and will include: <ul style="list-style-type: none"> • Support for Shared Lives carers • Support for Day Opportunities Providers • Support for Micro-Enterprises 2. Establish a small team of professionals to provide practical support for COVID-19 testing in any care and support setting. This would include facilitating Pillar 1 testing, offering swabbing services, couriering of test results and training on carrying out tests for frontline care staff. £100k 3. Additional contingency funding for people employing Personal Assistants through Direct Payments in case of Personal Assistants testing positive for COVID-19 or having to self-isolate. This will cover payments to the Personal Assistants and enable alternative provision to be purchased for the period of the Personal Assistants illness or period of self-isolation. £100k 4. Additional funding for the Carers Emergency Scheme provision to support with specialist emergency home care and support services for the cared person if an informal carer tests positive for COVID-19 or must self-isolate and is unable to carry out their caring role. £50k <p>The total allocated and amount for each scheme may vary as expenditure will be driven by demand from both individuals and the independent sector providers. Permission is sought to be able to vary the amounts as required to meet market demand and support the aims and conditions of the grant.</p>
	Capital Programme Update
2.53	<p>The Capital Programme 2020/21 totals £165.197m split between the General Fund £107.563m and HRA £57.634m. This is a reduction of £8.572m to the position reported to Cabinet on 20 July 2020, the majority of this relates to the changes on the Town Centre Investment Fund (TCIF) and Future High Street Funding detailed below. The overall movement is based on the latest profiles of expenditure against schemes, factoring in both new and revised grant allocations of (£4.592m), slippage and re-profiles of (£3.980m).</p>

	<p>The overall decrease to the Capital Programme 2020/21 to 2023/24 is £47.768m and can be broken down as follows:</p> <table border="1"> <thead> <tr> <th></th> <th>Total Decrease £m</th> <th>2020/21 Impact £m</th> <th>Post 2020/21 Impact £m</th> </tr> </thead> <tbody> <tr> <td>Revised Grant and Funding Estimates</td> <td>(47.768)</td> <td>(4.592)</td> <td>(43.176)</td> </tr> <tr> <td>Slippage / reprofiling</td> <td>0</td> <td>(-3.980)</td> <td>3.980</td> </tr> <tr> <td>Total</td> <td>(47.768)</td> <td>(8.572)</td> <td>(39.196)</td> </tr> </tbody> </table>		Total Decrease £m	2020/21 Impact £m	Post 2020/21 Impact £m	Revised Grant and Funding Estimates	(47.768)	(4.592)	(43.176)	Slippage / reprofiling	0	(-3.980)	3.980	Total	(47.768)	(8.572)	(39.196)
	Total Decrease £m	2020/21 Impact £m	Post 2020/21 Impact £m														
Revised Grant and Funding Estimates	(47.768)	(4.592)	(43.176)														
Slippage / reprofiling	0	(-3.980)	3.980														
Total	(47.768)	(8.572)	(39.196)														
2.54	<p>The most significant change to the capital programme is the revised Future High Streets Fund (FHSF) profile. When the proposal was included into the capital programme it was based on the initial business case submitted to MHCLG for approval at the time, however, since then it has been revisited to remove all the private sector match funding predominantly for Forge Island and focuses on the redevelopment of the Markets and the Public Realm, in line with the requirements of the MHCLG. This is purely a technical adjustment to reflect the current position for the scheme, in that the private sector investment which will take place at Forge Island is funded directly by the private sector and technically therefore is not a part of the Council's Capital Programme.</p> <p>Based on the Council's revised submission for FHSF, the total grant and contributions added to the scheme as shown in the Capital Programme have reduced by £48.988m to reflect the private sector funding that will be provided directly. This revised business case has also seen a reduced contribution to the FHSF from the Town Centre Investment Fund (TCIF), releasing £3.3m back into the TCIF. From the funds that have been released within the TCIF programme, a further specific scheme has been identified within this programme;</p> <p>Riverside Precinct and Footbridge preparatory works £696k – these preparatory works are necessary for the preparation for the Forge Island development being undertaken by Muse Developments Ltd. It is more cost effective under the agreement with the developer for the Council to carry out these works and will ensure works can be progressed.</p>																
2.55	<p>The slippage and re-profile requirements are within the Regeneration and Environment & Children and Young Peoples Services, they include</p> <ul style="list-style-type: none"> • A £1m slippage on the allocation available to the adaptations to foster carers properties within the CYPS programme. This is based on the current level of adaptations being carried out and the enhanced governance processes being put in place around this funding. 																

	<ul style="list-style-type: none"> £1.939m has been earmarked from the unallocated Secondary Schools block allocation to 2021/22 to support the delivery of the projects at Dinnington and Newman. There are several smaller schemes within the Regeneration and Environment programme that have been reprofiled such as the Traffic Signal Renewal Programme and the Reach service relocation. The former is delayed due to both contracting and supply issues, whilst the latter is on hold whilst the service revisits the project requirements. 																					
2.56	<p>Grant funded schemes are added to the Capital Programme on an ongoing basis in accordance with the Financial and Procurement Procedure Rules. Grant schemes added or reduced since the September cabinet report are listed below:</p> <table border="1"> <thead> <tr> <th>Directorate/Scheme</th> <th>2020/21 £M</th> <th>Post 2020/21 £m</th> </tr> </thead> <tbody> <tr> <td colspan="3">Regeneration & Environment</td> </tr> <tr> <td>The Future High Streets Fund (FHSF) and Town Centre Investment Fund programmes have been revised to bring them into line with the latest business case for FHSF to MHCLG and to reflect the direct provision of private sector funding which technically is not a part of the Council's own Capital Programme.</td> <td>-5.672</td> <td>-43.316</td> </tr> <tr> <td>Town Centre Accelerator:</td> <td>1.000</td> <td>0.000</td> </tr> <tr> <td>S106 Allocations to capital: The following S106 contributions have been included into the capital programme. <ul style="list-style-type: none"> Play areas at Manor Farm Rawmarsh - £31k Rother Valley Country Park automated parking system - £9k Tennis Courts at Wales - £40k </td> <td>0.080</td> <td>0.000</td> </tr> <tr> <td>Contributions to school improvement works have been added to the programme. <ul style="list-style-type: none"> Thomas Rotherham college £100k Hilltop (Maltby) £40k </td> <td>0.000</td> <td>0.140</td> </tr> <tr> <td>Total Revisions</td> <td>-4.592</td> <td>-43.176</td> </tr> </tbody> </table>	Directorate/Scheme	2020/21 £M	Post 2020/21 £m	Regeneration & Environment			The Future High Streets Fund (FHSF) and Town Centre Investment Fund programmes have been revised to bring them into line with the latest business case for FHSF to MHCLG and to reflect the direct provision of private sector funding which technically is not a part of the Council's own Capital Programme.	-5.672	-43.316	Town Centre Accelerator:	1.000	0.000	S106 Allocations to capital: The following S106 contributions have been included into the capital programme. <ul style="list-style-type: none"> Play areas at Manor Farm Rawmarsh - £31k Rother Valley Country Park automated parking system - £9k Tennis Courts at Wales - £40k 	0.080	0.000	Contributions to school improvement works have been added to the programme. <ul style="list-style-type: none"> Thomas Rotherham college £100k Hilltop (Maltby) £40k 	0.000	0.140	Total Revisions	-4.592	-43.176
Directorate/Scheme	2020/21 £M	Post 2020/21 £m																				
Regeneration & Environment																						
The Future High Streets Fund (FHSF) and Town Centre Investment Fund programmes have been revised to bring them into line with the latest business case for FHSF to MHCLG and to reflect the direct provision of private sector funding which technically is not a part of the Council's own Capital Programme.	-5.672	-43.316																				
Town Centre Accelerator:	1.000	0.000																				
S106 Allocations to capital: The following S106 contributions have been included into the capital programme. <ul style="list-style-type: none"> Play areas at Manor Farm Rawmarsh - £31k Rother Valley Country Park automated parking system - £9k Tennis Courts at Wales - £40k 	0.080	0.000																				
Contributions to school improvement works have been added to the programme. <ul style="list-style-type: none"> Thomas Rotherham college £100k Hilltop (Maltby) £40k 	0.000	0.140																				
Total Revisions	-4.592	-43.176																				
2.57	The following grant bids will be presented to the Mayoral Combined Authority (MCA) meeting on the 16 November 2020. Should they receive formal approval from the MCA and support from Cabinet the Capital Programme will be updated																					

	<p>for the additional grant resources as required and the schemes implemented. The following schemes are being presented:</p> <ul style="list-style-type: none"> • Progression of Rotherham Town Centre Masterplan to full approval and award of £2.18m grant to Rotherham Metropolitan Borough Council. The scheme aims to undertake public realm improvements and site clearance in Rotherham Town Centre as part of the delivery of the Masterplan. • Progression of Century BIC II to full approval and award of £2m grant to Rotherham Metropolitan Borough Council. The project aims to create high quality, publicly owned and operated employment space which will complement the existing space available for growing businesses. • Project change request from “Greasbrough Road Corridor” to agree an extension to works completion from April 2021 to September 2021 and reprofile of £1.05m from 20/21 to 21/22 and reprofile of outputs and outcomes in accordance with the revised timescales. The scheme comprises of one junction improvement - replacement of the existing mini-roundabout at the junction of B6089 Potter Hill, B6089 Main St and Coach Road, Greasbrough with a signalised priority junction including right turning lanes, left filter lanes and staged pedestrian crossings. The delay is due to longer than anticipated lead in for utility works and programme delivery. • A630 Parkway Widening Grant Acceptance and Grant Award. The Parkway Widening scheme intends to reduce congestion on the major arterial route between Junction 33 of the M1 and Sheffield city centre through the expansion of the existing dual carriageway to a three-lane route. The MCA have previously approved the submission of the business case to the DfT. In total this scheme is expected to cost c. £46.39m. To-date the DfT have contributed £2.1m to scheme development, with a further award of £40.16m now offered to the MCA for the delivery of the approved scheme. The balance of funding will be contributed by Rotherham MBC as the scheme promoter. • Pothole and Challenge Fund Allocation from the Department for Transport. This will approve an allocation for Rotherham MBC of £3.409m from the Potholes fund and £399k from the Challenge Fund. The allocations are in line within expectations. 												
2.58	<p>The proposed updated Capital Programme to 2023/24 is shown by Directorate in Table 3 below.</p> <p>Table 3: Proposed Updated Capital Programme 2020/21 to 2023/24</p> <table border="1" data-bbox="280 1848 1431 1998"> <thead> <tr> <th data-bbox="280 1848 635 1962">Directorate</th> <th data-bbox="635 1848 815 1962">2020/21 Budget £m</th> <th data-bbox="815 1848 970 1962">2021/22 Budget £m</th> <th data-bbox="970 1848 1125 1962">2022/23 Budget £m</th> <th data-bbox="1125 1848 1279 1962">2023/24 Budget £m</th> <th data-bbox="1279 1848 1431 1962">Total Budget £m</th> </tr> </thead> <tbody> <tr> <td colspan="6" data-bbox="280 1962 1431 1998">General Fund Capital</td> </tr> </tbody> </table>	Directorate	2020/21 Budget £m	2021/22 Budget £m	2022/23 Budget £m	2023/24 Budget £m	Total Budget £m	General Fund Capital					
Directorate	2020/21 Budget £m	2021/22 Budget £m	2022/23 Budget £m	2023/24 Budget £m	Total Budget £m								
General Fund Capital													

	Children and Young People's Services	14.823	11.308	4.508	6.573	37.211
	Assistant Chief Executive	0.255	0.210	0.210	0.210	0.885
	Adult Care & Housing	4.549	6.523	12.653	6.130	29.855
	Finance and Customer Services	9.582	3.008	3.124	10.523	26.236
	Regeneration and Environment	76.355	46.152	31.888	20.797	175.192
	Capitalisation Direction	2.000	2.000	-	-	4.000
	Total General Fund Capital	107.563	69.201	52.383	44.232	273.379
	Total HRA Capital	57.634	56.371	44.178	43.198	201.381
	Total RMBC Capital Programme	165.197	125.572	96.560	87.430	474.759
	Funding position of Capital Programme 2020/21					
2.59	The £165.197m of capital expenditure is funded as shown in the Table 4 below.					
2.60	Table 4: Funding of the approved Capital Programme					
	Funding Stream					2020/21 Budget £m
	Grants and Contributions					55.711
	Unsupported Borrowing					44.524
	Capital Receipts					5.150
	Capital Receipts - Flexible Use & HRA Contribution					2.000
	HRA Contribution					0.178
	Total Funding - General Fund					107.563
	Grants and Contributions					10.214
	Unsupported Borrowing					-
	Housing Major Repairs Allowance					28.718
	Capital Receipts					5.316
	Revenue Contribution					13.387
	Total Funding - HRA					57.634
	Total					165.197

	Capital Receipts																								
2.61	The Council is continuing to undertake a comprehensive review of its assets and buildings portfolio with the aim of rationalising both its operational and non-operational asset holdings. This may contribute future capital receipts which are earmarked to support the revenue budget, in accordance with the Council's approved flexible use of capital receipts strategy.																								
2.62	<p>In 2020/21 to date General Fund Capital receipts of £480k have been generated as shown in the table below. Although loan repayments will be received during the financial year, these cannot be used to support the revenue budget as only those receipts by the disposal of property, plant and equipment can be used in that way.</p> <table border="1"> <thead> <tr> <th>Description</th> <th>Total as at 31st September 2020 £m</th> </tr> </thead> <tbody> <tr> <td>Galaxy Building</td> <td>-0.015</td> </tr> <tr> <td>Land 36 Nelson Street</td> <td>-0.018</td> </tr> <tr> <td>6 Dale Road</td> <td>-0.008</td> </tr> <tr> <td>47 Allendale Road</td> <td>-0.007</td> </tr> <tr> <td>Wath Town Hall</td> <td>-0.090</td> </tr> <tr> <td>Hope Street</td> <td>-0.019</td> </tr> <tr> <td>Land off Simmonite Road</td> <td>-0.162</td> </tr> <tr> <td>Land at Whinney Hill</td> <td>-0.141</td> </tr> <tr> <td>Total Capital Receipts (Excluding loan repayments)</td> <td>-0.460</td> </tr> <tr> <td>Repayment of Loans</td> <td>-0.020</td> </tr> <tr> <td>Total Capital Receipts</td> <td>-0.480</td> </tr> </tbody> </table>	Description	Total as at 31st September 2020 £m	Galaxy Building	-0.015	Land 36 Nelson Street	-0.018	6 Dale Road	-0.008	47 Allendale Road	-0.007	Wath Town Hall	-0.090	Hope Street	-0.019	Land off Simmonite Road	-0.162	Land at Whinney Hill	-0.141	Total Capital Receipts (Excluding loan repayments)	-0.460	Repayment of Loans	-0.020	Total Capital Receipts	-0.480
Description	Total as at 31st September 2020 £m																								
Galaxy Building	-0.015																								
Land 36 Nelson Street	-0.018																								
6 Dale Road	-0.008																								
47 Allendale Road	-0.007																								
Wath Town Hall	-0.090																								
Hope Street	-0.019																								
Land off Simmonite Road	-0.162																								
Land at Whinney Hill	-0.141																								
Total Capital Receipts (Excluding loan repayments)	-0.460																								
Repayment of Loans	-0.020																								
Total Capital Receipts	-0.480																								
2.63	The detailed disposal programme is currently being updated and so coupled with the COVID19 situation, it is very difficult to forecast. Therefore, at this stage the forecast for useable capital receipts is between £500k and £1m and includes surplus property disposals which are subject to Cabinet approval. These receipts are made up of a small number of disposals and therefore any changes to these could impact on these forecasts significantly.																								
3.	Options considered and recommended proposal																								
3.1	With regard to the current forecast net revenue budget overspend of £2.3m, further management actions continue to be identified with the clear aim of bringing expenditure into line with budgets. This includes holding back all spend, where possible and safe to do so, for the remainder of the financial year.																								
4.	Consultation on proposal																								

4.1	The Council consulted extensively on budget proposals for 2020/21. Details of the consultation are set out in the Budget and Council Tax 2019/20 report approved by Council on 17th February 2020.
5.	Timetable and Accountability for Implementing this Decision
5.1	Strategic Directors, Managers and Budget Holders will ensure ongoing tight management and close scrutiny of spend this financial year.
5.2	Financial Monitoring reports are taken to Cabinet meetings during the year. The Financial Outturn report for 2020/21 will be taken to Cabinet in July 2021.
6.	Financial and Procurement Advice and Implications
6.1	The Council's net overspend position is detailed within the report along with the estimated impact of COVID-19. This position continues to be monitored closely. Control over spending remains critical to both maintaining the robust Reserves Strategy and Medium Term Financial Strategy. All savings are being closely monitored and tracked, with all areas at risk of shortfall subject to review and the identification of alternative options.
6.2	The update to the Council's Medium Term Financial Strategy, within the Budget and Council Tax 2020/21 report approved by Cabinet and Council in February 2020, indicated that a balanced budget could be maintained across the MTFS period to 2022/23. This position is reviewed and updated further within the MTFS update report on this Cabinet agenda, taking into account the COVID-19 impact, the latest profiles of delivery of budget savings and cost reductions and the anticipated financial outturn for 2020/21 as described in this report.
6.3	There are no direct procurement implications arising from the report.
7.	Legal Advice and Implications
7.1	No direct legal implications.
8.	Human Resources Advice and Implications
8.1	No direct implications.
9.	Implications for Children and Young People and Vulnerable Adults
9.1	The report includes reference to the cost pressures on both Children's and Adult Social care budget.
10.	Equalities and Human Rights Advice and Implications
10.1	No direct implications.
11.	Implications for Partners

11.1	No direct implications.
12.	Risks and Mitigation
12.1	At a time of economic difficulty and tight financial constraints, managing spend in line with the Council's budget is paramount. Careful scrutiny of expenditure and income across all services and close budget monitoring therefore remain a top priority if the Council is to deliver both its annual and medium term financial plans while sustaining its overall financial resilience
13.	Accountable Officers
	Graham Saxton, Assistant Director – Financial Services
	Rob Mahon, Head of Corporate Finance

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	Click here to enter a date.
Head of Legal Services (Monitoring Officer)	Bal Nahal	Click here to enter a date.

Report Author: Rob Mahon, Head of Corporate Finance

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

This page is intentionally left blank

APPENDIX 1

Initial Equality Screening Assessment (Part A)

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

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

Completed at the earliest opportunity it will help to determine:

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

Directorate: Finance and Customer Services	Service area: Finance
Lead person: Rob Mahon	Contact number: 01709 254518

1. Title:

Is this a:

Strategy / Policy

Service / Function

Other

If other, please specify

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

The Council has a framework of budgetary monitoring and reporting that ensures budget management is exercised within annual cash limits.

Each month the Budget Manager receives timely information on income and expenditure to enable them to fulfil their budgetary responsibilities. Following the review of the budget information, each budget manager provides a forecast of their projected outturn position on each service. The Strategic Director subsequently provides a consolidated forecast for their directorate to the Chief Finance Officer and relevant Cabinet Member.

A budget monitoring report, which includes an up-to-date outturn forecast, information about significant variances from approved budgets and proposals for dealing with them, is submitted to Cabinet at least 6 times a year, culminating with

APPENDIX 1

the Council's Financial Outturn report.

Whilst the framework described above relates to revenue budgets, the capital programme is also similarly monitored and reported alongside the Council's revenue position.

The financial monitoring position report summarises the key variances for each directorate and considers the key financial pressures and risks.

Given that the revenue and capital budgets have been approved by Council in February 2020, when equality assessments would have been considered at that time in respect of the budget proposals, there are no further issues in respect of equality and diversity.

3. Relevance to equality and diversity

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

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

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

Questions	Yes	No
Could the proposal have implications regarding the accessibility of services to the whole or wider community?		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 complete **sections 5 and 6**.

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

APPENDIX 1

4. Considering the impact on equality and diversity

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

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

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

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

n/a

- **Key findings**

n/a

- **Actions**

n/a

Date to scope and plan your Equality Analysis:	<i>n/a</i>
Date to complete your Equality Analysis:	<i>n/a</i>
Lead person for your Equality Analysis (Include name and job title):	<i>n/a</i>

APPENDIX 1

5. Governance, ownership and approval

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

Name	Job title	Date
Judith Badger	Strategic Director – Finance and Customer Services	3 November 2020

6. Publishing

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

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

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

Date screening completed	23-6-2020
If relates to a Key Delegated Decision, Executive Board, Council or a Significant Operational Decision – report date and date sent for publication	
Date screening sent to Performance, Intelligence and Improvement equality@rotherham.gov.uk	

Committee Name and Date of Committee Meeting

Cabinet – 23 November 2020

Report Title

Review and Update of the Medium Term Financial Strategy

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

Yes

Strategic Director Approving Submission of the Report

Judith Badger, Strategic Director of Finance and Customer Services

Report Author(s)

Graham Saxton

Assistant Director – Financial Services

Graham.saxton@rotherham.gov.uk

Ward(s) Affected

Borough-Wide

Report Summary

The report sets out a review and update of the Council's Medium Term Financial Strategy to 2022/23.

This is an interim review and will be revised further in advance of the Council Budget setting meeting in March 2021, to take account of the Local Government Finance Settlement for 2021/22 when issued, along with budget policy proposals on levels of council tax and fees and charges and any budget investment.

The MTFS review, alongside the latest Financial Monitoring 2020/21 report on this same Cabinet agenda, envisages a balanced financial outturn position being achieved for 2020/21, whilst maintaining the £4.3m top-up to reserves included within the Budget and MTFS Strategy and preserving the £4m budget contingency and savings arising in 2020/21 as support for the 2021/22 budget.

The updated MTFS forecasts identify that a balanced budget for 2021/22 can still be set but that at this stage there is a potential funding gap arising in 2022/23. These positions are subject to the further reviews as described above.

Recommendations

1. That the MTFS review and update is noted.

2. That the plans to reserve funding and savings from 2020/21 to support the 2021/22 budget are noted.
3. That finalisation of the Budget and MTFS for 2021/22 and 2022/23 maintains the approved Budget Strategy and Budget Savings as already agreed.
4. That the assumptions within the MTFS to increase Fees and Charges by 2% for 2021/22 remain unchanged for this update.

List of Appendices Included

Appendix 1 Budget and MTFS 2021/22 to 2022/23

Appendix 2 Initial Equality Screening Assessment

Background Papers

Budget and Council Tax 2020/21 report to Council 26th February 2020

Consideration by any other Council Committee, Scrutiny or Advisory Panel

No

Council Approval Required

No

Exempt from the Press and Public

No

Review and Update of the Medium Term Financial Strategy

1.	Background
1.1	The Council's Medium Term Financial Strategy (MTFS) to 2021/22 was approved at Council in February 2019. The MTFS was reviewed and extended to 2022/23 within the Budget and Council Tax 2020/21 and Medium Term Financial Strategy report to Council in February 2020.
1.2	Within that review of the MTFS, funding and expenditure projections up to the 2022/23 financial year showed an expected balanced budget position based on current service activity (as in place at that time).
1.3	The report also cautioned that future Government funding allocations were unknown beyond 2020/21 and would be dependant on the outcomes of the Government Spending Review to be undertaken in 2020.
1.4	The Government has since announced that the Spending Review will report on 25 th November 2020 but that it will again be for one year only (2021/22).
1.5	This review and update of the MTFS therefore focusses on a review and update of the Council's financial assumptions, including an estimate of the impact of the Covid-19 pandemic on income from Business Rates and Council Tax and on the Council's timeline for the delivery of the agreed savings within the Budget and MTFS. This review will support and inform the detailed budget setting process for 2021/22, alongside taking into account the outcomes of the Local Government Finance Settlement for 2021/22, when issued, which will follow on from the Spending Review announcement, probably around mid-December.
2.	Key Issues
	Current MTFS
2.1	The current MTFS as revised and approved in February 2020 was based on the following key financial planning assumptions: <ul style="list-style-type: none"> • Standstill funding from Government in real terms (pending the outcomes of the Spending Review). • Moderate growth in the Business Rates Baseline and the Council Tax Base, consistent with actual growth levels of recent years. • Completion of the delivery of the agreed budget savings and cost reductions by 1st April 2021.
2.2	The onset of the Covid-19 pandemic in March 2020 results in a number of changes to these financial planning assumptions which need to be taken into account in revising the MTFS.

2.3	The Financial Monitoring 2020/21 reports to Cabinet during 2020 have highlighted and summarised the impact of Covid-19 on the Council's financial position. The monthly financial monitoring returns to the Ministry for Housing, Communities and Local Government (MHCLG) have also been included as appendices to the Financial Monitoring reports to illustrate the detail of the impact of Covid in the current financial year on the Council's costs, income and ability to deliver the agreed savings and cost reductions included in the Budget.
2.4	The latest Financial Monitoring report to Cabinet is on the same agenda as this MTFS review and update report and contains a number of cross-references to this report, outlining the link between the anticipated financial outturn for 2020/21 and the MTFS update.
Review of Financial Planning Assumptions	
2.5	<p>Forecast resources across the MTFS period to 2022/23 have been revised to reflect:</p> <ul style="list-style-type: none"> • September 2020 inflation figures which will be used by Government to uplift funding for 2021/22 (before any adjustment from the Spending Review and Finance Settlement). • In-year collection rates for Business Rates and Council Tax and revised growth and tax base assumptions. • Government proposals to spread any Business Rates and/or Council Tax Collection Fund deficits arising in 2020/21 across the three years 2021/22 to 2023/24. This will be prescribed treatment and not a choice for individual councils.
2.6	The expenditure budgets have been reviewed to take account of the known and potential impact of Covid, variations to service demand from previous assumptions and alignment with the anticipated 2020/21 financial outturn, including ways in which funding can be reserved from the current financial year to support delivery of the 2021/22 budget.
2.7	Clearly the timespan of the ongoing pandemic and the implications into the MTFS period on the cost of services cannot be determined at this stage. The MTFS review has to be on the premise that the Government continues to fund councils for the additional Covid costs and loss of income through further allocations of Covid emergency grant funding into 2021/22 if necessary.
2.8	The review has however taken into account the impact of Covid on the profile of the delivery of the agreed budget savings and cost reductions included within the budget. This impact is significant, particularly on the progression of savings from delivering social care services differently, on which most of the remaining agreed savings depend.
2.9	The two-year budget for 2019/20 and 2020/21 set at Council in February 2019 required £31.5m of budget savings to be delivered to meet estimated funding gaps over the two years, including savings that had been agreed in previous years for delivery across this timescale. Delivery of over £16m of these savings

	will have been completed by the end of the current financial year, leaving around £15m to continue to address across the MTFS.
2.10	However, whilst recognising the Covid impact on savings delivery as noted above, it is still anticipated that the remaining agreed savings can be delivered as planned, but over a longer timescale, with most, but not quite all, of the savings delivered by 2022/23.
2.11	On that basis, there are no recommendations within this review of the MTFS to vary from the agreed package of savings, either to remove any of the savings from the budget or to seek alternative savings. The focus remains on completing the delivery of the savings already agreed.
Review of Budget and MTFS Strategy	
2.12	The Budget and MTFS Strategy as set within the report to February 2020 Council includes the following key elements: <ul style="list-style-type: none"> • Provision to replenish reserves by £4.3m in 2020/21, taking the General Fund Minimum Balance Reserve to £25m. • Delivery of the balance of agreed budget savings and cost reductions by 2021/22. • A £4m budget contingency provision to support delivery of the budget across the MTFS period.
2.13	In addition, the favourable financial outturn for 2019/20, as reported to Cabinet in July and Council in September, preserved £2m of the remaining budget contingency reserve, which remains available to support future years' budgets.
2.14	As identified in the Financial Monitoring report on this same Cabinet agenda, it is currently anticipated that the Council will achieve a balanced budget position for 2020/21, whilst still replenishing reserves by £4.3m and without needing to draw on either the £4m budget contingency or the £2m budget contingency reserve. These contingencies can therefore remain available to support the MTFS and specifically the 2021/22 budget.
2.15	The Financial Monitoring report also highlights that £3.5m of savings are expected within Central Services budgets, mostly from Treasury Management activity and that these savings can also be reserved to support the 2021/22 budget provided that a balanced budget outturn can be achieved in the current financial year without needing to use these savings.
2.16	Achievement of a balanced financial outturn for 2020/21, recognising that there are still 5 months of the financial year remaining, depends on the Council being able to continue to manage the Covid response broadly in line with Government funding support and on maintaining the effective financial management discipline in place across the Council.
Updated MTFS 2021/22 and 2022/23	

2.17	The updated MTFS for the next two financial years is attached at Appendix 1. It is important to note that this is an interim position and will change as the budget proposals are finalised for budget setting at March 2021 Council, which will reflect the Finance Settlement and also Members' policy decisions on Council Tax, budget investment etc.
2.18	In summary, the update shows that a balanced budget can be maintained for 2021/22, but at this stage, a funding gap of £7.6m is anticipated for 2022/23.
2.19	The overall financial outlook across the MTFS therefore remains challenging and robust management arrangements for delivery of the budget will need to continue. Whilst the budget projections for 2021/22 identify how a balanced budget can be set, this overall position leaves little room for manoeuvre if budget plans are not maintained on track.
2.20	The 2022/23 forecast position will be kept under review. There are two Government Spending Reviews and two Local Government Finance Settlements before the level of Government funding to be provided to the Council in 2022/23 is finalised. In context, if a forecast £7.6m funding gap for 2022/23 were to be met from reserves, when taken alongside the planned replenishment of reserves of £4.3m in 2020/21, this would result in a net reduction of reserves of £3.3m from the current level. At this stage it is too early to make any decisions in relation to this potential gap in 2022/23 and this will be reassessed when the 2021/22 budget is set in March 2021.
2.21	<p>These respective positions are predicated on the following:</p> <ul style="list-style-type: none"> • A financial outturn for 2020/21 as anticipated and as reflected in this report and in the financial monitoring report and that the financial benefits arising in 2020/21 are reserved to support the 2021/22 budget. • Utilising both the £4m budget contingency and the £2m budget contingency reserve to support the 2021/22 budget. There is therefore no budget contingency remaining to support the 2022/23 budget. • The updated profile of delivering agreed budget savings and cost reductions across the MTFS can be maintained, without additional slippage. • The achievement of further significant savings from Treasury Management activity to support the budget across the MTFS. In addition to the £3.5m expected to be achieved in 2020/21 and carried forward into 2021/22, a further £5m savings are anticipated in 2021/22 and a further £3m savings in 2022/23. There is a high degree of confidence that savings at this level can be delivered across these two years.
	Next Steps
2.22	If the updates to the Budget and MTFS Strategy as set out in this report and the 2020/21 Financial Monitoring report to November Cabinet are accepted, the next steps are to take into account the impact of the Financial Settlement when known, alongside any changes to assumptions to reflect Members' views on budget policy, across the MTFS but for 2021/22 in particular, with specific

	reference to levels of Fees and Charges, Council Tax and Budget Investment. The current MTFS anticipated annual Fees and Charges increases of 2%. If Members wish to maintain that position, that preserves some flexibility for consideration of other budget policy matters as an alternative to revising the Fees and Charges assumption downwards more towards current inflation rates.
2.23	Finalisation of budget proposals for 2021/22 and a further MTFS update taking into account the above, will take place during November and December, working towards final budget proposals being concluded in January for consideration by Cabinet in February 2021 and Council in March 2021.
3.	Options considered and recommended proposal
3.1	As detailed in the report.
4.	Consultation on proposal
4.1	The Council consulted extensively on budget proposals for 2020/21. Details of the consultation are set out in the Budget and Council Tax 2019/20 report approved by Council on 17th February 2020.
5.	Timetable and Accountability for Implementing this Decision
5.1	The information, proposals and recommendations will feed into the development of specific budget proposals for 2021/22 and the MTFS update for 2022/23 within the Budget and Council Tax 2021/22 report to Cabinet in February 2021 and Council in March 2021.
6.	Financial and Procurement Advice and Implications (to be written by the relevant Head of Finance and the Head of Procurement on behalf of s151 Officer)
6.1	The financial implications are set out in the report.
6.2	There are no direct procurement implications arising from the report.
7.	Legal Advice and Implications (to be written by Legal Officer on behalf of Assistant Director Legal Services)
7.1	There are no direct legal implications arising from the report.

8.	Human Resources Advice and Implications
8.1	There are no direct HR implications arising from the report.
9.	Implications for Children and Young People and Vulnerable Adults
9.1	The report recognises that the timescale for the delivery of the agreed budget savings from these services is severely impacted and proposes to reprofile the timescale accordingly.
9.2	The MTFs review and update takes into account the current and projected demand for these services across the MTFs period.
10.	Equalities and Human Rights Advice and Implications
10.1	No direct implications arising from this report.
11.	Implications for Ward Priorities
11.1	No direct implications arising from this report.
12.	Implications for Partners
12.1	No direct implications arising from this report.
13.	Risks and Mitigation
13.1.	Risks and mitigation are described within the report.
14.	Accountable Officers
	Graham Saxton, Assistant Director – Financial Services

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	04/11/20
Head of Legal Services (Monitoring Officer)	Named officer	Click here to enter a date.

Report Author:

Graham Saxton, Assistant Director – Financial Services
Graham.saxton@rotherham.gov.uk

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

Budget and MTFS 2021/22 to 2022/23

<u>Resources</u>	2021/22 Estimated £000	2022/23 Estimated £000
<u>Government Funding</u>		
Revenue Support Grant	15,175	15,479
Business Rates Top-Up Grant	29,739	30,334
S31 Grant as compensation for Multiplier Cap on Top-Up Grant	1,175	1,175
New Homes Bonus	493	169
Public Health Grant	16,673	17,006
Housing Benefit and Local Council Tax Support Administration	1,238	1,238
Social Care Support Grant	8,393	8,393
iBCF additional funding 2019/20	2,605	2,605
Total Government Funding	75,491	76,399
<u>Council Resources</u>		
Retained Business Rates	36,000	36,000
S31 Grants as compensation for Government determined business rates reliefs	5,289	5,448
Council Tax Collection Fund – annual review and use of surplus	1,500	1,500
Council Tax and Adult Social Care Precept	114,012	118,595
Total Council Resources	156,801	161,543
Total Resources	232,292	237,942

<u>Expenditure</u>	2021/22 Estimated £000	2022/23 Estimated £000
Baseline Budget at 2020/21 pay and prices	233,333	233,333
Adjust for non-recurring budgets and savings from 2020/21	-5,146	-5,146
Other MTFS/Budget adjustments agreed within MTFS Strategy	-1,076	-1,315
Provision for pay, price and fees and charges income inflation	6,960	14,971
Adult Care – care transitions and transforming care	703	1,553
Impact on treasury management budget of earlier years MRP reprofiling	3,182	3,182
Continuation of crisis support after use of funds set aside	-	100
Adult Social Care demand	1,557	1,815
Home to School Transport - further demand	200	200
Agreed Capital Investment to 2023/24 – financing costs	1,729	2,498
Budget savings and cost reductions, variations to delivery profile across MTFS period	3,850	-4,150
Adult Care – enhanced discharge cover with NHS partners	1,500	1,500
Use of savings and funds within Budget/MTFS Strategy :		
• Treasury Management Strategy Savings	-8,500	-3,000
• Use of Budget Contingency	-4,000	0
• Use of Budget Contingency Reserve	-2,000	0
Total Expenditure Budgets	232,292	245,541

Summary	2021/22 Estimated £000	2022/23 Estimated £000
Resources	232,292	237,942
Expenditure Budgets	232,292	245,541
Gap to be funded from Reserves	0	7,599

This page is intentionally left blank

Appendix 2

Initial Equality Screening Assessment (Part A)

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

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

Completed at the earliest opportunity it will help to determine:

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

Directorate: Finance and Customer Services	Service area: Finance
Lead person: Graham Saxton	Contact number: 01709 822034

1. Title:

Is this a:

Strategy / Policy
 Service / Function
 Other

If other, please specify

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

The review and update of the Council's Medium Term Financial Strategy is an interim review which will be revised further in advance of the Council Budget Setting meeting in March 2021.

The information within the report will support the development of the detailed budget proposals for 2021/22 and the update of the outline budget for 2022/23. No changes to the Council's approved budget and financial strategy are proposed within the report.

Appendix 2

3. Relevance to equality and diversity

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

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

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

Questions	Yes	No
Could the proposal have implications regarding the accessibility of services to the whole or wider community?		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 prior to carrying out an **Equality Analysis**.

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

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

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

Appendix 2

<ul style="list-style-type: none"> • Key findings 	
<ul style="list-style-type: none"> • Actions 	
Date to scope and plan your Equality Analysis:	n/a
Date to complete your Equality Analysis:	n/a
Lead person for your Equality Analysis (Include name and job title):	n/a

5. Governance, ownership and approval

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

Name	Job title	Date
Graham Saxton	Assistant Director – Financial Services	3 November 2020

6. Publishing

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

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

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

Date screening completed	3 November 2020
If relates to a Key Delegated Decision, Executive Board, Council or a Significant Operational Decision – report date and date sent for publication	
Date screening sent to Performance, Intelligence and Improvement equality@rotherham.gov.uk	

Appendix 2

Public Report with Exempt Appendices
Cabinet

Committee Name and Date of Committee Meeting

Cabinet – 23 November 2020

Report Title

Forge Island Preparatory Works and Demolition of Riverside Precinct, 8 – 18 Corporation Street and Pedestrian Footbridge

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

Yes

Strategic Director Approving Submission of the Report

Paul Woodcock, Strategic Director of Regeneration and Environment

Report Author(s)

James Green, Senior Inward Investment, Programmes & Project Officer
01709 255837 or james.green@rotherham.gov.uk

Ward(s) Affected

Boston Castle

Report Summary

This report seeks authority to undertake required demolition works to Riverside Precinct, 8-18 Corporation Street and the pedestrian footbridge, alongside other remediation works, to enable the Forge Island leisure development.

Recommendations

1. That approval be given to undertake the demolition and remediation works as described in this report to enable the Forge Island leisure development, funded by the allocated Town Centre Investment Fund.

List of Appendices Included

Appendix 1 Equality Analysis – Initial Screening
Appendix 2 Exempt Financial Information
Appendix 3 Site Plan

Background Papers

Forge Island Development – Cabinet Paper – June 2018.

Consideration by any other Council Committee, Scrutiny or Advisory Panel

No.

Council Approval Required

No

Exempt from the Press and Public

Yes or No? If yes, use text below.

An exemption is sought for Appendix 2 of this report under paragraph 3 (Information relating to the financial or business affairs of any particular person (including the authority holding that information)) of Part I of Schedule 12A of the Local Government Act 1972 is requested, as this report contains sensitive commercial information with regards to contracts with Service Providers.

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

Forge Island Preparatory Works and Demolition of Riverside Precinct, 8 – 18 Corporation Street and Pedestrian Footbridge

1.	Background
1.1	The Rotherham Town Centre Masterplan was adopted by the Council in September 2017. This Masterplan set out a number of recommended interventions aimed at improving the vitality and viability of the town centre. It highlights the critical need for a major scheme, the redevelopment of Forge Island, to act as a catalyst for the regeneration and repurposing of Rotherham town centre.
1.2	This proposal to demolish these buildings forms part of the advanced enabling works to prepare the site for development.
1.3	The Council owns the freehold and majority of the leasehold interests of the named properties and is in the process of acquiring the remaining leasehold interests that form part of the Riverside Precinct.
2.	Key Issues
2.1	This report seeks authority to approve the demolition of the existing Riverside Precinct, 8-18 Corporation Street, pedestrian footbridge, and undertake appropriate remediation works as part of enabling works for the Forge Island scheme. Appendix 3 shows the site plan and the buildings and bridge included in the proposals.
2.2	The Capital Programme includes an allocation of £22m overall in respect of a Town Centre Investment Fund (TCIF) and it is from this budget that funds are proposed to be allocated to undertake this project.
2.3	These works will be delivered before the construction works begin on site.
3.	Options considered and recommended proposal
3.1	These works are being undertaken to enable the main redevelopment at Forge Island. Not undertaking these would require significant amendments to the plans already approved for the redevelopment and may result in delays and increased costs.
3.2	Delivery of this proposal will allow the redevelopment of the Forge Island site in line with the plans currently approved and latest development programme.
3.3	It is recommended therefore that the works outlined in this document are approved and required resources allocated from the identified TCIF resource.
4.	Consultation on proposal
4.1	Public consultation on the Town Centre Masterplan and the statutory consultation as part of the Forge Island planning application approved in

	June 2020 have already taken place. Further information and notifications are to be provided as the scheme progresses, including the statutory notice period on site, required for the demolition works.
5.	Timetable and Accountability for Implementing this Decision
5.1	Subject to satisfactory survey results and the subsequent appointment of a contractor to undertake the phased works, a start on site date is currently programmed for Q1 2021 with completion estimated for Q3 2021.
5.2	Progress on the project is currently reported to the Town Centre Masterplan Project Board with oversight from the Housing and Regeneration Programme Board where required. This governance structure is proposed to continue to oversee the implantation of this decision and the project.
6.	Financial and Procurement Advice and Implications (to be written by the relevant Head of Finance and the Head of Procurement on behalf of s151 Officer)
6.1	The project is proposed to be funded from the Council's Capital Programme, with an allocation from the TCIF.
6.2	The exempt Appendix 2 provides additional information on the estimated budget resource required to undertake the proposed works.
6.3	The appointment of a contractor to undertake the demolition and associated works must be procured in compliance with the Public Contracts Regulations 2015 and the Council's own Financial and Procurement Procedure Rules.
7.	Legal Advice and Implications (to be written by Legal Officer on behalf of Assistant Director Legal Services)
7.1	There are no direct legal implications from the recommendation in this report.
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	There are no children and young people and vulnerable adults implications arising from this report.
10.	Equalities and Human Rights Advice and Implications
10.1	There are no known negative impacts identified as a consequence of taking forward the recommendations identified within this report.
11.	Implications for Ward Priorities

11.1	There are no known implications.
12.	Implications for Partners
12.1	There are no known implications.
13.	Risks and Mitigation
13.1.	A contingency sum for risk of 20% of the contract sum has been included, which is considered adequate for a scheme of this nature.
13.2	Agreements have been reached to acquire all the outstanding interests in Riverside Precinct and it is expected that full vacant possession will be available to allow the works to progress. In the event that vacant possession is delayed the programme of works can be adapted to allow for phasing.
14.	Accountable Officers
	James Green, Senior Inward Investment, Programmes & Project Officer
	Daniel Watson, Investment & Economic Initiatives 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)	Named officer	Click here to enter a date.
Head of Legal Services (Monitoring Officer)	Named officer	Click here to enter a date.

*Report Author: James Green
Senior Inward Investment, Programmes & Project Officer
01709 255837 or james.green@rotherham.gov.uk*

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

This page is intentionally left blank

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: RIVERSIDE PRECINCT, 8 – 18 CORPORATION STREET, FOOTBRIDGE DEMOLITION AND ASSOCIATED PREPARATORY WORKS IN PREPARATION FOR THE FORGE ISLAND DEVELOPMENT

Directorate:
Regeneration and Environment

Service area:
RiDO

Lead person:
James Green

Contact number:
01709 255837

Is this a:

Strategy / Policy

Service / Function

Other

If other, please specify

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

This report seeks authority to approve the demolition of the existing Riverside Precinct, 8-18 Corporation Street and pedestrian footbridge, to allow appropriate remediation works to take place ahead of the main development.

Appendix 1

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
Could the proposal affect the Council's workforce or employment practices? <i>(If the answer is yes you may wish to seek advice from your HR business partner)</i>		X

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

This project includes the undertaking of small scale construction works on the physical infrastructure in the town centre of Rotherham. This can be completed with minimal impact on visitors and local businesses through the use of relevant industry standard health and safety protocols.

All current tenants will have vacated the premises before works commence.

Appendix 1

The works will involve the temporary removal of one of the pedestrian entrances to the Forge Island car park, however two alternative, fully accessible vehicle and pedestrian entrances are provided from Bridge Street and Market Street.

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?**

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

- **Key findings**

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

- **Actions**

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

Date to scope and plan your Equality Analysis:

Date to complete your Equality Analysis:

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

5. Governance, ownership and approval

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

Name	Job title	Date
------	-----------	------

Appendix 1

Daniel Watson	Investment & Economic Initiatives Manager	12.10.20
Tim O'Connell	Head of RiDO	16.10.20
Steve Eling	Policy and Equalities Manager	19.10.20

6. Publishing

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

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

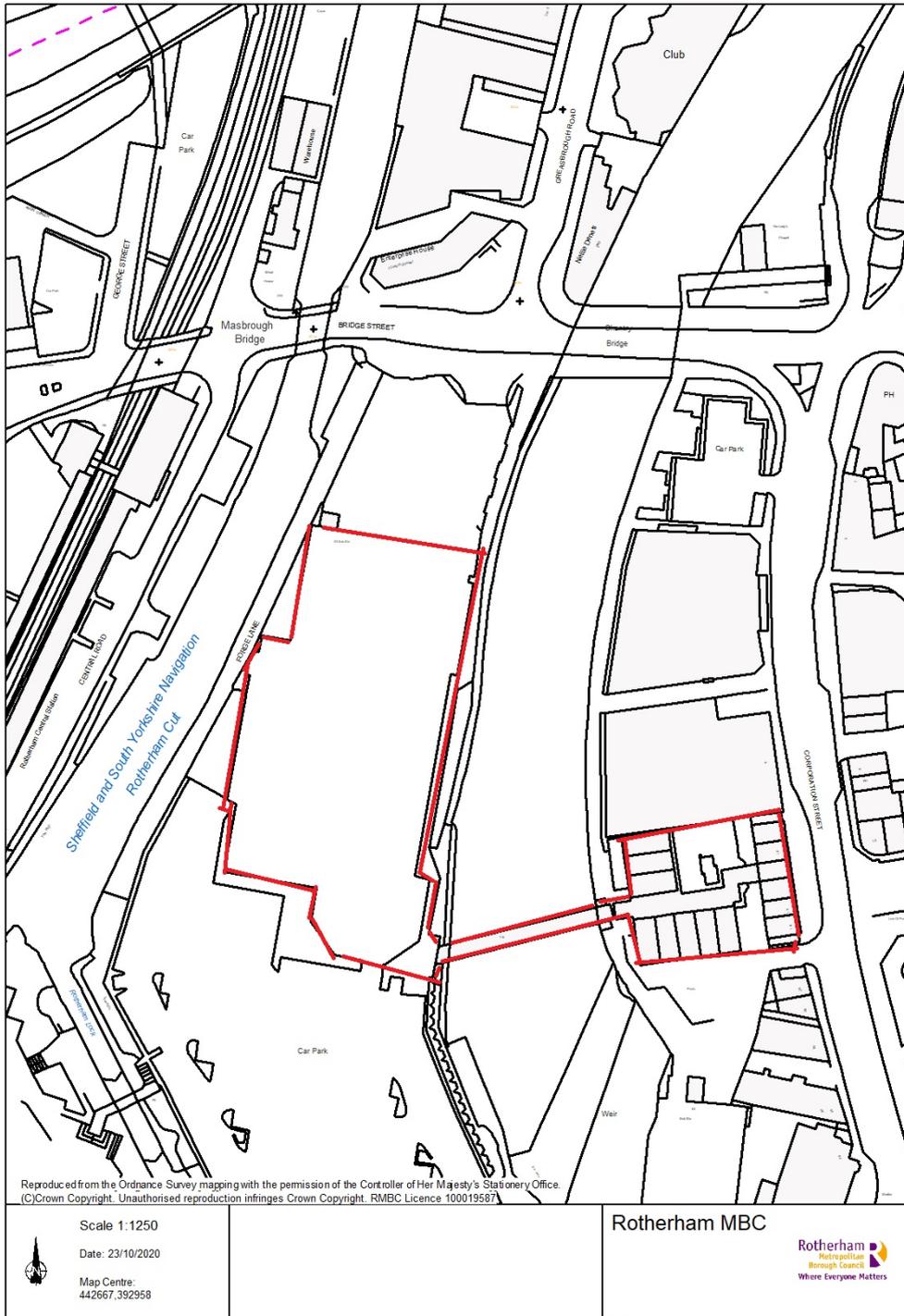
A copy of **all** screenings should also be sent to equality@rotherham.gov.uk For record keeping purposes it will be kept on file and also published on the Council's Equality and Diversity Internet page.

Date screening completed	12/10/2020
Report title and date	Forge Island Preparatory Works and Demolition of Riverside Precinct, 8 – 18 Corporation Street and Pedestrian Footbridge
If relates to a Cabinet, key delegated officer decision, Council, other committee or a significant operational decision – report date and date sent for publication	Report Date – 23/11/2020
Date screening sent to Performance, Intelligence and Improvement equality@rotherham.gov.uk	19/10/2020

By virtue of paragraph(s) 3 of Part 1 of Schedule 12A
of the Local Government Act 1972.

Document is Restricted

This page is intentionally left blank



This page is intentionally left blank